

History of World Civilization II

History of World Civilization II

*FIONA FOSTER, TIDEWATER
COMMUNITY COLLEGE*



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IMPORTANT NOTICE

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PART I

FACULTY RESOURCES

I. Discussions

Module 2:

How did Africans respond to the slave trade? How might attitudes have changed from the Trans-Saharan to the Trans-Atlantic networks?

Module 3:

Based on the reading, “A Visit to the Wife of Suleiman the Magnificent,” what was the role of women in the Islamic World?

Module 4:

Visit <https://www.ngv.vic.gov.au/exhibition/a-golden-age-of-china/> and https://etcweb.princeton.edu/asianart/timeperiod_china.jsp?ctry=China&pd=Qing. Using what you’ve read about the arts and Qing Emperors, what is the significance of the devotions to arts and literature by the Manchu dynasty to their rule in China?

Module 7:

Based on Montesquieu’s *The Spirit of the Laws*, what system of government does Montesquieu support? Why? Do you agree or disagree?

Module 8:

How did the Enlightenment inspire the American and French Revolutions?

Module 9:

After reading the “Evidence Given before the Sadler Committee,” what surprised you most? Why?

Module 10:

Pick one of the primary source documents assigned in Module 10. What is the central argument made in this document? How does it fit within the conversation of the 19th century in Europe? Can we make any connections to East Asia?

Module 11:

How does nationalism influence imperialism? Provide examples.

Module 12:

Pick one (1) topic discussed in this week's readings and share what you learned. What about this topic surprised you? Why? (ex. Gender, women, nationalism, militarism, etc)

Module 14:

Looking back over the semester, what is a common thread/theme/idea that you have seen appear consistently throughout each module? How did this theme appear in Module 14? Be sure to highlight commonalities across geographic location.

2. HIS 112: History of World Civilizations II Quiz 1

- 1) Who was Bartolomeu Dias and what was he known for?
- 2) Who was the first explorer to sail around the tip of Africa and make it to India?
- 3) Where in North America did Columbus first land?
- 4) Who is America named after?
- 5) Who was the first explorer who encountered a major American civilization?
- 6) Who were conquistadors?
- 7) Who was Zheng He and what was he known for?
- 8) How did the Ottoman Empire inspire European nations to find new trade routes to Asia?
- 9) What were two reasons for European exploration (other than new trade routes)?
- 10) Opinion: If Columbus thought he was in Asia when he landed in North America, can we really say he discovered America? Why or why not?

3. HIS 112: History of World Civilizations II Quiz 2

- 1) What disease did the Tsetse fly spread in West Africa?
- 2) Art and architecture is a big part of culture in the Islamic World. Give an example of art or architecture in the Islamic World and explain a little about it.
- 3) Under the Ottoman Empire, what was the state's primary responsibility?
- 4) What was the official religion of the Safavid Empire?
- 5) Which European nation was the first to trade for slaves in Africa?
- 6) What was the Middle Passage?
- 7) Who founded the Ottoman Empire?
- 8) Before the TransAtlantic Slave Trade, what slave trade network existed? Who was involved?
- 9) Which empire in the Islamic World was the largest and wealthiest?
- 10) What system of power took control of the Mughal Empire in 1857?

4. HIS 112: History of World Civilizations II Exam I

Part I: Identification

Identify the following terms and explain the historical significance in 3-4 sentences.

- 1) Manchus
- 2) Mughal Empire
- 3) Ming Taizu
- 4) Zheng He
- 5) British Raj
- 6) Extraterritoriality
- 7) Qianlong
- 8) Columbian Exchange
- 9) Trans-Saharan Slave Trade
- 10) Boxer Protocol
- 11) Osman I
- 12) Atlantic Slave Trade
- 13) Safavid Empire

Part II:

Short Answer

- 1) Which region did China cede to Britain as part of the peace agreement after the Opium Wars?

2) India was the largest exporter of which two commodities under the British Raj?

3) Slavery changed over time. Explain the shift in slavery and the events that led to its spread. Finally, why did slavery become based on race?

4) Why did the Ming Dynasty collapse?

5) Which countries and goods were connected to the Afroeurasian Trade Network in the 15th-17th centuries?

6) What are the four main reasons that motivated European exploration in the 15th and 16th centuries?

7) Discuss the link between education and government in Ming society.

5. HIS 112: History of World Civilizations II Quiz 3

- 1) What was the Peace of Westphalia?
- 2) What was the Peace of Augsburg of 1555?
- 3) Galileo is known for his laws of inertia. What is his law of inertia?
- 4) Is Montesquieu in favor of absolutism or constitutional monarchy? Why?
- 5) Who revoked the Edict of Nantes? Why?
- 6) What were the causes of the Thirty Years' War?
- 7) What was the Little Ice Age?
- 8) What is Absolutism? Name a country where this was found.
- 9) What is a constitutional monarchy? Name a country where this was found.
- 10) Who was Frederick the Great and why is he important?

6. HIS 112: History of World Civilizations II Exam 2

Part I: Identification

Identify the following terms and explain the historical significance in 3-4 sentences.

- 1) Little Ice Age
- 2) Edict of Nantes
- 3) Estates General
- 4) Scientific Revolution
- 5) Seven Years' War
- 6) Frederick II (Prussia)
- 7) Napoleon
- 8) Thirty Years' War
- 9) Age of Crisis
- 10) Bill of Rights of 1689

Part II: Essay

Choose one of the following prompts and answer in essay format. Minimum 3 paragraphs.

1) The 17th century saw the rise of absolute monarchies in Europe. What was divine right absolutism? How did monarchs use this to solidify their control over their states? How did the Enlightenment ideals challenge absolutism? Discuss both Enlightened absolute rulers and shifts to constitutional monarchies.

2) The Enlightenment is a significant event in history and its impact is felt throughout the 18th and 19th centuries. What is the Enlightenment? Who are some key philosophes? What are their critiques on 17th and 18th century systems of power? Do these ideals create change in Europe?

3) The French Revolution is another landmark event in European history. What were the causes of the French Revolution (long term and short term)? What were the goals of the revolutionaries? Were they successful, why or why not?

7. HIS 112: History of World Civilizations II Quiz 4

1) Name one invention linked to the Industrial Revolution. How did this help production?

2) What was the Factory Act of 1833?

3) What was the goal of the Franco-Prussian War, according to Bismarck?

4) Who wrote the Communist Manifesto?

5) Where did the Industrial Revolution begin? Why? Connect the following terms with their definitions:

6) Liberalism a) linking people by a shared culture,
language, history, religion

7) Socialism b) ideal of universal equality and freedoms with limited state and church control

8) Nationalism c) equality through means of production

9) Who were the Luddites?

10) What was Metternich's opinion on liberalism?

8. HIS 112: History of World Civilizations II Quiz 5

1) Who tried to ignite tensions between France and Britain in the First Moroccan Crisis?

2) What was the League of Nations?

3) Who were the Central Powers?

4) Name 2 causes of the First World War.

5) What was the initial policy of the US towards World War I?

6) What was the Schlieffen plan?

7) What was the Zimmerman Telegram?

8) The First World War brought new methods of warfare. Provide an example and explain its role in the war.

9) What was the Treaty of Versailles? Use examples to explain.

10) What is total war?

9. HIS 112: History of World Civilizations II Exam 3

Part I: Identification

Identify the following terms and explain the historical significance in 3-4 sentences.

- 1) Axis Powers
- 2) Triple Entente
- 3) Nazism
- 4) Fascism
- 5) Blitzkrieg
- 6) Quadruple Alliance
- 7) Industrial Revolution
- 8) Liberalism
- 9) Nationalism
- 10) Private Sphere

Part II: Essay

Choose one of the following prompts and answer in essay format.
Minimum 3 paragraphs.

1) What were the Revolutions of 1848? Who underwent reform in 1848, avoiding revolution? Who underwent actual Revolution? What were the underlying causes of the series of Revolutions? Were the revolutions successful?

2) What were the long and short term causes of the First World War?

3) Some historians argue for a 30 year thesis linking the First World War to the Second. Can the Second World War be seen as an extension of the First World War? Why or Why not? Use examples to support your answer.

10. I Need Help



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PART II

I: GLOBAL EXPLORATION

II. Age of Exploration

Age of Exploration

The so-called Age of Exploration was a period from the early 15th century and continuing into the early 17th century, during which European ships were traveled around the world to search for new trading routes and partners to feed burgeoning capitalism in Europe. In the process, Europeans encountered peoples and mapped lands previously unknown to them. Among the most famous explorers of the period were Christopher Columbus, Vasco da Gama, Pedro Álvares Cabral, John Cabot, Juan Ponce de León, and Ferdinand Magellan.

The Age of Exploration was rooted in new technologies and ideas growing out of the Renaissance, these included advances in cartography, navigation, and shipbuilding. The most important development was the invention of first the Carrack and then caravel in Iberia. These that were a combination of traditional European and Arab designs were the first ships that could leave the relatively passive Mediterranean and sail safely on the open Atlantic.



The Santa Maria at anchor by Andries van Eertvelt, painted c. 1628

The first great wave of expeditions was launched by Portugal under Prince Henry the Navigator. Sailing out into the open Atlantic the Madeira Islands were discovered in 1419 and in 1427 the Azores were discovered and both became Portuguese colonies. The main project of Henry the Navigator was exploration of the West Coast of Africa. For centuries the only trade routes linking West Africa with the Mediterranean world were over the Sahara Desert. These routes were controlled by the Muslim states of North Africa, long rivals to Portugal. It was the Portuguese hope that the Islamic nations could be bypassed by trading directly with West Africa by sea. It was also hoped that south of the Sahara the states would be Christian and potential allies against the Muslims in the Maghreb. The Portuguese navigators made slow but steady progress, each year managing to push a few miles further south and in 1434 the obstacle of Cape Bojador was overcome. Within two decades the barrier of the Sahara had been overcome and trade in gold and slaves began in what is today Senegal. Progress continued as trading forts were built at Elmina and Sao Tome and Principe became the first sugar producing

colony. In 1482 an expedition under Diogo Cão made contact with the Kingdom of Kongo. The crucial breakthrough was in 1487 when Bartolomeu Dias rounded the Cape of Good Hope and proved that access to the Indian Ocean was possible. In 1498 Vasco da Gama made good on this promise by reaching India.

Portugal's larger rival Spain had been somewhat slower than their smaller neighbour to begin exploring the Atlantic, and it was not until late in the fifteenth century that Castilian sailors began to compete with their Iberian neighbours. The first contest was for control of the Canary Islands, which Castille won. It was not until the union of Aragon and Castille and the completion of the reconquista that the large nation became fully committed to looking for new trade routes and colonies overseas. In 1492 the joint rulers of the nation decided to fund Christopher Columbus' expedition that they hoped would bypass Portugal's lock on Africa and the Indian Ocean reaching Asia by travelling west to reach the east.



Christopher Columbus

Columbus did not reach Asia, but rather found a New World, North America. The issue of defining areas of influence became

critical. It resolved by Papal intervention in 1494 when the Treaty of Tordesillas divided the world between the two powers. The Portuguese “received” everything outside of Europe east of a line that ran 270 leagues west of the Cape Verde islands; this gave them control over Africa, Asia and western South America (Brazil). The Spanish received everything west of this line, territory that was still almost completely unknown.

Columbus and other Spanish explorers were initially disappointed with their discoveries. Unlike Africa or Asia the Caribbean islanders had little to trade with the Spanish ships. The islands thus became the focus of colonization efforts. It was not until the continent itself was explored that Spain found the wealth it had sought in the form of abundant gold. In the Americas the Spanish found a number of empires that were as large and populous as those in Europe. However, the Spanish conquistadors, with the aid of the pandemics of disease their arrival unleashed, managed to conquer them with only a handful of men. Once Spanish suzerainty was established the main focus became the extraction and export of gold and silver.

The nations outside of Iberia refused to acknowledge the Treaty of Tordesillas. France, the Netherlands, and Britain each had a long maritime tradition and, despite Iberian protections, the new technologies and maps soon made their way north.

The first of these missions was that of the British funded John Cabot. It was the first of a series of French and British missions exploring North America. Spain had largely ignored the northern part of the Americas as it had few people and far fewer riches than Central America. The expeditions of Cabot, Cartier and others were mainly hoping to find the Northwest passage and thus a link to the riches of Asia. This was never discovered but in their travels other possibilities were found and in the early seventeenth century colonist from a number of Northern European states began to settle on the east coast of North America.



Defeat of the Spanish Armada, 8 August 1588 by Philippe-Jacques de Loutherbourg, painted 1796 depicts the battle of Gravelines

It was the northerners who also became the great rivals to the Portuguese in Africa and around the Indian Ocean. Dutch, French, and British ships began to flaunt the Portuguese monopoly and found trading forts and colonies of their own. Gradually the Portuguese were forced out of many of their most valuable possessions. The northerners also took the lead in exploring the last unknown regions of the Pacific Ocean. Dutch explorers such as Willem Jansz and Abel Tasman explored the coasts of Australia while in the eighteenth century it was British explorer James Cook that mapped much of Polynesia.

The effect of the Age of Exploration was unprecedented. For millennia it had been the Mediterranean economy that had been the continent's most vibrant and regions like Italy and Greece had thus been the wealthiest and most potent. The newly dominant Atlantic economy was controlled by the states of Western Europe, such as France, Britain, and Germany, and to the present they have been the wealthiest and most powerful on the continent.

Following the period of exploration was the Commercial Revolution when trans-oceanic trade became commonplace. The importance of trade made it so that traders and merchants, not the

feudal landowners, were the most powerful class in society. In time in Britain, France and other nations thus bourgeoisie would come to control the politics and government of the nations.

12. Reasons for European Exploration

13. European Voyages of Exploration: Intro

The European Voyages of Exploration: Introduction

Beginning in the early fifteenth century, European states began to embark on a series of global explorations that inaugurated a new chapter in world history. Known as the Age of Discovery, or the Age of Exploration, this period spanned the fifteenth through the early seventeenth century, during which time European expansion to places such as the Americas, Africa, and the Far East flourished. This era is defined by figures such as Ferdinand Magellan, whose 1519–1522 expedition was the first to traverse the Atlantic to the Pacific Ocean and the first to circumnavigate the globe.

The European Age of Exploration developed alongside the Renaissance. Both periods in Western history acted as transitional moments between the Middle Ages and the early modern period. Competition between burgeoning European empires, such as Spain and England, fueled the evolution and advancement of overseas exploration. Motivated by religion, profit, and power, the size and influence of European empires during this period expanded greatly. The effects of exploration were not only felt abroad but also within the geographic confines of Europe itself. The economic, political, and cultural effects of Europe's beginning stages of global exploration impacted the longterm development of both European society and the entire world.

Empire and Politics

During the eighth century, the Islamic conquest of North Africa, Spain, France, and parts of the Mediterranean, effectively impeded European travel to the Far East for subsequent centuries. This led many early explorers, such as Vasco de Gama and Christopher Columbus, to search for new trade routes to the East. Previous travel accounts from the early expeditions of figures such as Marco Polo (during the late thirteenth century) encouraged many Europeans to search for new territories and places that would lead to the East. Ocean voyages were extremely treacherous during the beginnings of European exploration. The navigation techniques were primitive, the maps were notoriously unreliable, and the weather was unpredictable. Additionally, explorers worried about running out of supplies, rebellion on the high seas, and hostile indigenous peoples.

The Spanish and Portuguese were some of the first European states to launch overseas voyages of exploration. There were several factors that led to the Iberian place in the forefront of global exploration. The first involved its strategic geographic location, which provided easy access to venturing south toward Africa or west toward the Americas. The other, arguably more important, factor for Spain and Portugal's leading position in overseas exploration was these countries' acquisition and application of ancient Arabic knowledge and expertise in math, astronomy, and geography.

The principal political actors throughout the Age of Exploration were Spain, Portugal, The Netherlands, England, and France. Certain European states, primarily Portugal and The Netherlands, were primarily interested in building empires based on global trade and commerce. These states established worldwide trading posts and the necessary components for developing a successful economic infrastructure. Other European powers, Spain and England in particular, decided to conquer and colonize the new

territories they discovered. This was particularly evident in North and South America, where these two powers built extensive political, religious, and social infrastructure.

Economic Factors

Before the fifteenth century, European states enjoyed a long history of trade with places in the Far East, such as India and China. This trade introduced luxury goods such as cotton, silk, and spices to the European economy. New technological advancements in maritime navigation and ship construction allowed Europeans to travel farther and explore parts of the globe that were previously unknown. This, in turn, provided Europeans with an opportunity to locate luxury goods, which were in high demand, thereby eliminating Europe's dependency on Eastern trade. In many ways, the demand for goods such as sugar, cotton, and rum fueled the expansion of European empires and their eventual use of slave labor from Africa. Europe's demand for luxury goods greatly influenced the course of the transatlantic slave trade.

During the fifteenth and sixteenth centuries small groups financed by private businesses carried out the first phase of European exploration. Members of the noble or merchant class typically funded these early expeditions. Over time, as it became clear that global exploration was extremely profitable, European states took on a primary role. The next phase of exploration involved voyages taken in the name of a particular empire and monarch (e.g., France or Spain). The Iberian empires of Spain and Portugal were some of the earliest states to embark on new voyages of exploration. In addition to seeking luxury goods, the Spanish empire was driven by its quest for American silver.

Science and Culture

The period of European exploration introduced the people of Europe to the existence of new cultures worldwide. Before the fifteenth century, Europeans had minimal knowledge of the people and places beyond the boundaries of Europe, particularly Africa and Asia. Before the discovery of the Americas, Europeans did not even know of its existence. Europeans presumed that the world was much smaller than it was in actuality. This led early explorers such as Columbus and Magellan to believe that finding new routes to the Far East would be much easier than it turned out to be.

Profound misconceptions about geography and the cultures of local populations would change very slowly throughout the early centuries of European exploration. By the sixteenth century, European maps started to expand their depictions and representations to include new geographic discoveries. However, due to the intense political rivalries during the period, European states guarded their geographic knowledge and findings from one another.

With the growth of the printing press during the sixteenth century, accounts of overseas travels, such as those of Marco Polo in the late thirteenth century, spread to a wider audience of European readers than had previously been possible. The Age of Exploration also coincided with the development of Humanism and a growing intellectual curiosity about the natural world. The collection and study of exotic materials such as plants and animals led to a new age of scientific exploration and inquiry. These initial surveys and analyses influenced future revolutionary developments in numerous fields of science and natural history in the late seventeenth and eighteenth centuries.

Religious Factors

One of the tenets of Catholicism decreed that Christianity ought to be the universal religion and faith among all mankind. The Crusades in the centuries preceding the Age of Exploration exposed Europeans to new places, people, and goods. It also reflected the zealous nature of medieval Christianity and foreshadowed the fervent missionary work that would form a major part of all early global expeditions. The pope played an important and validating role in these voyages by sanctioning and encouraging worldwide exploration. This often included the approbation of enslaving Africans and indigenous peoples. Missionaries were frequently a part of the early expeditions of Spain with the aim of bringing Christianity to the native inhabitants. Europeans typically viewed indigenous populations as barbaric heathens who could only become civilized through the adoption of Christianity.

Summary:

- The age of European exploration and discovery represented a new period of global interaction and interconnectivity. As a result of technological advancements, Europeans were able to forge into new and previously undiscovered territories. They understood this to be a “New World.”
- European exploration was driven by multiple factors, including economic, political, and religious incentives. The growing desire to fulfill European demand for luxury goods, and the desire to unearth precious materials such as gold and silver, acted as a particularly crucial motivation.
- The period of European global exploration sparked the beginning phases of European empire and colonialism, which would continue to develop and intensify over the course of the next several centuries.
- As European exploration evolved and flourished, it saw the increasing oppression of native populations and the

enslavement of Africans. During this period, Europeans increasingly dealt in African slaves and started the transatlantic slave trade.

14. Columbian Exchange at a Glance

The Columbian Exchange at a glance

Countless animals, plants, and microorganisms crossed the Atlantic Ocean with European explorers and colonists in the sixteenth, seventeenth, and eighteenth centuries. This chart lists some of the organisms that had the greatest impact on human society worldwide.

	Old World → New World	New World → Old World
Domestic animals	<ul style="list-style-type: none"> • horses • cattle • pigs • sheep • goats • chickens 	<ul style="list-style-type: none"> • turkeys • llamas • alpacas • guinea pigs
Crops	<ul style="list-style-type: none"> • rice • wheat • barley • oats • coffee • sugar cane • citrus fruits • bananas • melons • Kentucky bluegrass 	<ul style="list-style-type: none"> • maize (corn) • potatoes • sweet potatoes • cassava • peanuts • tobacco • squash • peppers • tomatoes • pumpkins • cacao (the source of chocolate) • sunflowers • pineapples • avocados • vanilla
Diseases	<ul style="list-style-type: none"> • smallpox • measles • mumps • malaria • yellow fever • influenza • whooping cough • typhus • chicken pox • the common cold 	<ul style="list-style-type: none"> • syphilis (possibly)

15. Making of the Atlantic World

The Making of the Atlantic World

For the greater period of human history, societies in the Americas had no sustained contacts with the Old World continents of Africa, Europe, and Asia. This changed in the late fifteenth century, notably with the voyages of Christopher Columbus that spanned the Atlantic Ocean.

This connection of the Americas with Europe and Africa ushered in a new era in world history and created an “Atlantic World”—that is, a connected set of societies around and within the Atlantic zone. The subsequent European conquest and settlement of the Americas had a devastating effect on Native American populations and resulted in massive population loss. As a result, European expansion in the New World involved the unparalleled replacement of indigenous populations by new ones from both Europe and Africa.

Columbus was unaware of the existence of the two American continents before he embarked on his much-celebrated voyage of exploration. Yet the fact remains that the connecting of the two great landmasses, coupled with the opening of new, permanent maritime routes around Africa and—after 1517—across the Pacific, marked a major development in world history with long-term repercussions for humans everywhere. Humans flowed across these new ocean routes as settlers, both willing and unwilling, along with technologies, culture, ideas, and organisms including domesticated animals (cattle, pigs, etc), crops (wheat, sugarcane, potatoes), diseases (syphilis, cholera, smallpox), and pests (rats, weeds). Historian Alfred W. Crosby Jr. has labeled this movement of things, goods, and species the “Columbian Exchange.”

Africans played roles in this exchange as merchants, sailors, and settlers, but above all as enslaved captives. Portuguese traders had

been trafficking in African slaves since 1441, when they made their first raid in West Africa, captured twelve African men, and sold them in Portugal. Many European cities soon had sizable African populations. As colonies emerged in the Atlantic producing raw materials, Africans were drawn into this system as unfree laborers.

The widespread deaths of many Native Americans encouraged Europeans to rely on African slave labor in the Americas as early as the sixteenth century. As early as 1510, Ferdinand of Spain authorized fifty African slaves to be sent from Spain to shore up the gold-mining labor force on the island of Hispaniola. By 1601, slave traders had already transported 150,000 African slaves to the territories of Spanish America. Numbers grew after this quite rapidly. These African slaves were used for a variety of tasks such as mining, domestic service, and agricultural pursuits—including sugar plantations. Some settlers recreated the sugar plantation model already established in the Canary Islands, and began to cultivate sugar on Hispaniola and then along the coast of the Gulf of Mexico.

Much of the unit that follows focuses on this trade in slaves and the experiences of Africans within this system. Before we turn to that, however, it's important to note that the Atlantic World would not have existed in the way it did without Africans playing many roles. They were producers of raw materials within Africa and as enslaved or otherwise unfree workers outside of the continent. They consumed many new products coming from Europe and the Americas. They traded and developed new uses for many of these products. They also participated in the cultural and intellectual development of new societies in the Americas and across the Atlantic World. Yet this is not to say that Africa benefited from the new Atlantic trading networks in the same way as Europeans. As we will see, this was a very uneven system that worked to the detriment of Africa and Africans in a variety of ways.

16. Exploration and Discovery

17. Columbus, de Gama, Zheng He- Crash Course World History #21



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18. History of the Holidays: Columbus Day



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19. Columbus Day: Crash Course World History #23



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PART III

2: AFRICAN SLAVE TRADE

20. Excerpts Slavery and Empire

“HE WAS NO COMMON SLAVE” Any West African, regardless of status, might be enslaved. Ayuba Suleiman Diallo, who was born around 1701 to a family of Muslim clerics, was a well- educated merchant in the Senegambian region of West Africa, which had supplied Europe with beeswax, gold, gum, ivory, and small numbers of slaves since the fifteenth century. In 1730, he was kidnapped and transported to Maryland. In Maryland, he wrote a letter to his father, which came to the attention of James Oglethorpe, the founder of Georgia, who helped purchase his freedom and bring him to England, where he was known as Job ben Solomon. In February, 1730, Job's father hearing of an English ship at Gambia River, sent him, with two servants to attend him, to sell two Negroes, and to buy paper, and other necessities; but desired him not to venture over the river, because the country of the Mandingoes, who are enemies...lies on the other side. Job not agreeing with Captain Pike...sent back the two servants to acquaint his father with it, and to let him know that he intended to go farther. Accordingly having agreed with another man, named Loumein Yoas, who understood the Mandingoe language, to go with him as his interpreter, he crossed the River Gambia, and disposed of his Negroes for some cows. As he was returning home, he stoppped for some refreshment at the house of an old acquaintance; and the weather being hot, he hung up his arms in the house, while he refreshed himself. Those arms were very valuable; consisting of a gold- hilted sword, a gold knife, which they wear by their side, and a rich quiver of arrows, which King Sambo had made him a present of. It happened that a company of the Mandingoes, who live upon plunder, passing by at that time, and observing him unarmed, rushed in, to the number of seven or eight at once, at a back door, and pinioned Job, before he

could get to his arms, together with his interpreter, who is a slave in Maryland still. They then shaved their heads and beards, which Job and his man resented as the highest indignity; tho' the Mandingoes meant no more by it, than to make them appear like Slaves taken in war. On the 27th of February, 1730, they carried them to Captain Pike at Gambia, who purchased them; and on the first of March they were put on board. Soon after Job found means to acquaint Captain Pike that he was the same person that came to trade with him a few days before, and after what manner he had been taken. Upon this Captain Pike gave him leave to redeem himself and his man; and Job sent to an acquaintance of his father's, near Gambia, who promised to send to Job's father, to inform him of what had happened, that he might take some course to have him set at liberty. But it being a fortnight's journey between that friend's house and his father's, and the ship sailing in about a week after, Job was brought with the rest of the slaves to Annapolis and Maryland, and delivered to Mr. Vachell Denton, factor to Mr. Hunt, before mentioned. Job heard since, by vessels that came from Gambia, that his father sent down several slaves, a little after Captain Pike sailed, in order to procure his redemption; and that Sambo, King of Futa, had made war upon the Mandingoes, and cut off great numbers of them, upon of the account of the injury they had done to his schoolfellow. Mr. Vachell Denton sold Job to one Mr. Tolsey in Kent Island in Maryland, who put him to work in making tobacco; but he was soon convinced that Job had never been used to such labour. He every day showed more and more uneasiness under this exercise, and at last grew sick, being no way able to bear it; so that his master was obliged to find easier work for him, and therefore put him to tend the cattle. Job would often leave the cattle, and withdraw into the woods to pray; but a white boy frequently watched him, and whilst he was at his devotion would mock him, and throw dirt in his face. This very much disturbed Job, and added considerably to his other misfortunes; all which were increased by his ignorance of the English language, which prevented him from complaining, or telling his case to any person about him. Grown in some measure desperate, by reason

of his present hardship, he resolved to travel at a venture; thinking he might possibly be taken up by some master, who would use him better or otherwise meet with some lucky accident, to divert or abate his grief. Accordingly, he travelled thro' the woods, till he came to the County of Kent, upon Delaware Bay, now esteemed part of Pensilvania; altho' it is properly a part of Maryland, and belongs to my Lord Baltimore. There is a law in force, throughout the colonies of Virginia, Maryland, Pensilvania, etc. as far as Boston in New England, viz. that any Negroe, or white servant who is not known in the county, or has no pass, may be secured by any person, and kept in the common gaol, till the master of such servant shall fetch him. Therefore Job being able to give no account of himself, was put in prison there. This happened about the beginning of June, 1731 when I, who was attending the courts there, and had heard of Job, went with several gentlemen to the gaoler's house, being a tavern, and desired to see him. He was brought into the tavern to us, but could not speak one word of English. Upon our taking and making signs to him, he wrote a line or two before us, and when he read it, pronounced the words Allah and Mahommed; by which, and his refusing a glass of wine we offered him, we perceived he was a Mahomedtan, but could not imagine of what country he was, or how he got thither; for by his affable carriage, and the easy composure of his countenance, we could perceive he was no common slave. When Job had been some time confined, an old Negroe man, who lived in that neighbourhood, and could speak the Jalloff language, which Job also understood, went to him, and conversed with him. By this Negroe the keeper was informed to whom Job belonged, and what was the cause of his leaving his master. The keeper thereupon wrote to his master, who soon after fetched him home, and was much kinder to him than before; allowing him a place to pray in, and some other conveniences, in order to make his slavery as easy as possible. Yet slavery and confinement was by no means agreeable to Job, who had never been used to it; he therefore wrote a letter in Arabick to his father, acquainting him with his misfortunes, hoping he might yet find means to redeem him. This letter he sent to Mr.

Vachell Denton, desiring it might be sent to Africa by Captain Pike; but he being gone to England, Mr. Denton sent the letter inclosed to Mr. Hunt, in order to be sent to Africa by Captain Pike from England; but Captain Pike had sailed for Africa before the letter came to Mr. Hunt, who therefore kept it in his own hands, till he should have a proper opportunity of sending it. It happened that this letter was seen by James Oglethorpe, Esq. [an English philanthropist who found the colony of Georgia as a haven for debtors], who, according to his usual goodness and generosity, took compassion on Job, and gave his bond to Mr. Hunt for the payment of a certain sum, upon the delivery of Job here in England. Mr. Hunt upon this sent to Mr. Denton, who purchased him again of his master for the same money which Mr. Denton had formerly received for him; his master being very willing to part with him, as finding him no ways fit for his business. Source: Thomas Bluett, *Some Memoirs of the Life of Job, the Son of Solomon* (London, 1734).

Slavery existed in every colonyAt the dawn of the American Revolution, 20 percent of the population in the thirteen colonies was of African descent. The legalized practice of enslaving blacks occurred in every colony, but the economic realities of the southern colonies perpetuated the institution first legalized in Massachusetts in 1641. During the Revolutionary era, more than half of all African Americans lived in Virginia and Maryland. Most blacks lived in the Chesapeake region, where they made up more than 50 to 60 percent of the overall population. The majority, but not all, of these African Americans were slaves. In fact, the first official United States Census taken in 1790 showed that eight percent of the black populace was free. [Edgar A. Toppin. "Blacks in the American Revolution" (published essay, Virginia State University, 1976), p. 1]. Whether free or enslaved, blacks in the Chesapeake established familial relationships, networks for disseminating information, survival techniques, and various forms of resistance to their condition. <http://www.history.org/almanack/people/african/aaintro.cfm>

Beginnings of African SlaveryEngland, or the British colonists in

colonial North America did not invent slavery. Slavery has been around for eons. In fact, Europeans were rather late in the history of slavery. Ancient Mesopotamians held slaves. Ancient Egyptians owned slaves. Greeks owned slaves. Roman owned slaves. Every ethnic group was somehow complicit in slavery. Christians, Muslims, and Jews owned slaves. And eventually Europeans nations will own slaves. What's different about the European history of slavery is that Europeans will expand slavery from outside the shores of Africa to Europe and the Western Hemisphere and in doing so will transport millions of people out of Africa. Certainly slavery was a big part of the Colombian Exchange. The Portuguese were the first to establish colonies along the west coast of Africa. The Portuguese also established sugar plantations in the Canary Islands, which are located northwest of Africa. And the Portuguese will import Africans to work in their Canary Island sugar plantations. When the Spanish turned from Indians to Africans for slaves, they too took Africans from the West coast of Africa. Finally, when the English got involved in the African slave trade, to bring workers to their own sugar plantations in the Caribbean, England used Africans from the West coast. There are three reasons why European powers used in particular Africans from the West coast. First, West coast Africans knew how to grow and harvest sugar. Remember, sugar as not new to that part of the world. Sugar was brought into the Western Hemisphere from Africa. Second, equatorial Africa is hot, humid, and wet. Conditions that are prevalent in sugar plantations in the Western Hemisphere. In other words, West coast Africans were used to working in such extremes of weather. Now, mosquitoes thrive in hot, humid, wet conditions such as in equatorial Africa, the colonies of Virginia, the Carolinas, and Barbados. Europeans did not know why, all they knew is that equatorial Africans rarely got sick with malaria -a disease carried by mosquitoes. Of course we know that people of African descent are relatively immune to malaria because of a blood trait called sickle cell anemia, a dangerous genetic disorder in its own right.

Slavers of All NationsThe Moors controlled many African ports

along the west coast, until they lost Spain around 1492, creating a power vacuum which was filled by the Portuguese and Spanish. Early African slaves were used by the Iberian countries to work their sugar cane fields in islands off the northwest coast of Africa, such as the Cannery Islands. And before the Europeans got involved with African slavery, Africans used fellow Africans as slaves. There were several reasons why European interest in African slaves rose in the end of the fifteenth and early sixteenth centuries. First, location, location, location. Africa was nearby to western Europe and thus a short boat ride south. Second, the trade winds and currents facilitated easy transportation from Equatorial Africa to the Americas (think hurricanes every summer). The Pope decreed that Christians could no longer hold fellow Christians in bondage, thus Africans fit the bill. Finally, western European nations wanted people to farm who knew how to farm the “European way.” Remember, American Indians planted small plots of corn, beans, and squash. West coast Equatorial Africans planted huge rows upon rows of wheat. They knew how to ranch cattle (Indians did not have cattle) and they were accustomed to working in hot, humid conditions (like in the Chesapeake and American South). Europeans rarely caught the slaves themselves. Rather Europeans would pay one tribe to attack another tribe, usually occurring in the middle of the night. The attackers would carry off the prospective slaves, tie them up, then march them to the coast, where Europeans waited. Once on the coast, Europeans would separate Africans: men, women, and children would be placed in holding pens, sometimes being branded with the mark of the ship’s captain in case they escaped. In ships that brought 200 or 300 European colonists to the Americas transported 400 to 600 African slaves, chained together, in the ship’s hold (below the water line); chained to shelf-like devices in which the slaves were either lying on their backs or in spoon fashion. Slaves would be chained below deck for about 20 hours a day. Then in small groups, the white sailors would bring batches of slaves up on deck. Slaves would be given something to eat, usually no more than a handful of rice cooked in a fish broth. The slaves

would be rinsed off (remember, they were chained below deck for 20 hours at a time, meaning they urinated, defecated, and threw up on themselves and those near by). Finally, they would be made to “dance” (jump around for exercise). Then the slaves would be escorted back below deck, where they would remain chained for another 20 hours.

The Middle Passage The route from Africa to the Americas was known as the Middle Passage because it was the middle of a three-leg route: Finished goods from Europe to Africa, slaves from Africa to the Americas, and the slaves would grow/collect raw resources which were shipped back to Europe to be made into finished goods. Depending on the weather, time of year, current strength, and destinations, it would take anywhere from a few weeks to a few months to make it to an American port. The number one port of entry of African slaves into the British colonies of North America was Charleston, South Carolina. So many Africans went through Charleston that today 25% of all African Americans can trace their roots back to Charleston. The slave trade effected Africa as well as the Americas. African population centers were decimated. Remember, for every 1 African that made it alive to the Americas, 2 died along the way. Second, African economies stagnated because there was no impetus to modernize or industrialize as long as the money flowed from Europeans into African slavers' hands. Finally, the African slave trade resulted in centuries-long disputes between tribes that continue today.

Slavery in the Colonies Slavery manifested differently in different parts of the British colonies of North America. The Chesapeake. In the Chesapeake (present-day Virginia, Maryland, and Delaware) your average slave owner owned one slave. Slaves were used to work the labor-intensive tobacco harvest. Tobacco was harvested once a year and so slaves only toiled in the fields for a few months out of the year. Thus a secondary use for slaves in the Chesapeake was the leasing of slaves to other families. Leased slaves worked in fields or sometimes in the homes of their new masters. As the Chesapeake work force tended to be populated by criminals, there

was little need for slaves, except for the tobacco harvest. What we would call the Middle Class owned slaves in the Chesapeake such as politicians, teachers, lawyers, doctors, and business owners. There was very little commercial farming in the Chesapeake due primarily to the limited growing season (ie, Winter). The Lower South. From the Carolinas to Georgia slaves tended to work year-round as the weather provided for multiple harvests. Initially, the majority of southern slaves were on the British island of Barbados, working in the sugar cane fields. Remember, the colony the Carolinas was created to supply food for the slaves and slave owners in Barbados. Slowly, however, slave owners realized that the weather and soil from the Carolinas to Georgia could result in year-round farming and so slave owners moved their slaves to the American south. Farms tended to be larger in the lower South than in the Chesapeake, and farmers worked a variety of crops such as rice, indigo and tobacco meaning there would be year-round harvests, meaning there was a need for year-round slaves. Your average British colonists living in the south owned three slaves. A far cry from the novelization of the plantation in *Gone With the Wind*. The North. Slavery existed in the north, but for very specific reasons. For example, most slaves would be encountered working the major ports such as Boston or Baltimore or New York City. These slaves would be owned by the various ship captains and their jobs was to load and unload the ships. The socio-economic make up of northern colonists was the nuclear family: dad, mom, and six or eight children. Northern families farmed just enough land to bring them enough food to live, no more no less. But sometimes the children were too young to help with the harvest, thus you might see a Northern colonist renting a slave for a few days. Likewise, when your spouse was about to have a baby, you might rent a female slave to assist with the childbirth or cook food while your wife recuperates. Ben Franklin noted that slaves were omnipresent in Philadelphia, the City of Brotherly Love, on Sundays. He scratched his head in wonder. You see, once upon a time, clothing was proscribed based on your socio-political status in British life. And

the highest ranking people, those who had familial connections with the royal crown, could sport clothes dyed in purple. However with the widespread use of indigo, every one could wear purple clothes, and they did. Wealthy people needed a new symbol of their wealth. Something that showed the underclass that they were wealthy and privileged. And so the very wealthy in Philadelphia would purchase one slave, dress them up, and take them along with the family to church each Sunday so that everyone can see just how wealthy and important they were. Something akin to the rage in the early 21st century when “celebrities” carried pocket dogs wherever they went.

North American Slave Societies: The Africanization of the SouthFor the most part, until the Revolution, slaves worked six days a week. They were given Sundays off to garden (sustenance farming), hunting with snares for small game, and fishing to augment their weekly food rations. Your average slave worked in the fields, wore clothes given to them by the masters, were given weekly food rations from the master, and initially slave families were bought together (the belief being that a family is less likely to try to run away). But the economic reality of slavery meant that families would be pulled apart and sold off. While slaves married other slaves, their marriages were not considered legal in the Americas. Slaves even knew their marriages were not permanent as evidenced in their vows: “Until death or distance do we part.” Slaves were initially (until the 1760s) allowed to practice their indigenous religious beliefs and customs which included group singing, the call and answer, and dancing in religious services. They were allowed to play all musical instruments except for drums out of fear that slaves would try to communicate with drums. Slaves lived together in large, one room houses (like a barracks). Sometimes they were allowed to visit their family members on other farms in the area on Sundays. Human beings naturally group together into small units called families. The trauma of slavery did not diminish the slaves desire to be a part of a family and so slaves began to embrace, when anthropologists call, Fictive Kinship. Relationships not based on blood or marriage. For example, men of the same

age would refer to each other as “brother” while women called each others “sister”. Younger children referred to people in their 20s and 30s as “uncle” or “auntie” and older people called children “sons” or “daughters”. Creating family where none actually existed is fictive kinship. Africans spoke a wide variety of languages and dialects. There is no such thing as the African language. And so the linguistically diverse peoples created their own, new language with two regional dialects: Gullah and Geechee. Both are still used today in the Sea Islands (off the coast of South Carolina). Slave women worked in the kitchens and so slave women cooked what they knew to cook and how they knew to cook. If you were from Italy you probably would make lasagna. If you were from Mexico you might make tacos al carbon. Well Africans had their own kinds of food and ways to prepare that food. For example, barbecue. Barbecue (not the regional sauces that developed in the 19th century) is simply the cooking of meat over a very low heat for an extended period of time. Normally this is done to poor cuts of meat (tough and lots of tissue or sinew). So African women introduced Southern white families to barbecue. Africans also fried meat as a way of adding calories and flavor, such as fried chicken. Africans cooked black-eyed peas and collard greens for their white masters. They also cooked with lots of hot spices. Hot spices, such as cayenne, makes you sweat, your temperature rises. When you perspire, the sweat evaporates leaving your skin with a cooling sensation. Cooling off was something that equatorial Africans strove to do. So “southern” culture included new ways of eating and new dishes to eat, different from how English families ate in the northern part of the colonies. African architecture also became popular in the lower south. Traditional African homes consisted of huge peaked roofs in order to draw the heat away from their heads. English roofs were flat in order to keep the heat near their heads. While traditional English architecture worked fine in the northern colonies, more African examples of building became widely used in the south. High ceilings means you need strong supports, such as columns around the house. Africans wrapped those columns in wood, creating a new

public space called the porch. No one wanted to sit outside on a porch when its 42 degrees in Boston, but when its 82 in Charleston, sitting outside might be another way to try to cool off so porches became all the rage in the south. African words crept into the southern lexicon. Words such as goober, yam, banjo, tote, and okay were being used by the English colonists. So where did the traditional southern accent come from? Certainly an English man did not lose his English accent just because he moved to Georgia. So how did it develop? Do you know what a wet nurse was? A wet nurse was a women, not the mother, who would breast feed someone's children. In European society only the wealthiest of families could afford a wet nurse. Well the wet nurse tradition was carried along to the Americas. In order to lactate, a women has to first become really pregnant. And thus to ensure that his wife and future wet nurse both became pregnant at the same time, the husband/master would impregnate both his wife and his female slave. This female slave did not grow up speaking proper English. We typically learn new languages slowly and at first we mispronounce words. Yet, these white English babies were handed over the the non-English speaking wet nurse to not only feed but to raise for the first 5 or 6 years. And thus, we think, the southern drawl was born when white children learn to speak English for a non-English speaking person. So how did the drawl spread throughout the whole south? Peers. Human being want to belong to wealthy, powerful, or celebrity groups. Why do some people pay \$100 for a shirt with a horse on it when they can get the same shirt at Target for \$15? People want to be associated with the Polo brand, the Polo logo, and the Polo lifestyle. Very, very, very few southern children spoke with a drawl, and they were from the wealthiest and most powerful families. So children, who want to appear to be from wealthy and powerful families begin talking with a drawl, until it becomes permanent. That's a theory.

Violence and Resistance African slaves were whipped, beaten, raped, hobbled, and castrated for the smallest of infractions. Their hands or arms would be cut off. Female slaves would endure being

raped or having one of their breasts lopped off as a form of punishment. Punishment that was almost always done in public as a lesson or warning to other slaves. You can only witness so much abuse before you would strike out against the abusers and Africans did just that in British colonial America. Whites had feared slave uprisings because whites experienced Indian uprisings when they initially tried to use Indians as slaves. Some fled to Spanish Florida where they lived with the Creek Indians and formed a new people that the Spanish called “the Wild Ones” or Cimarron, Seminole in English. There were plenty of slave rebellions such as the Stono Rebellion hatched along the Stono River in South Carolina. The plan was to kill their master, then move south to Florida killing white slave owners along the way and freeing more slaves. Slaves killed some whites, but were outnumbered and all were caught and executed. But, the Stono Rebellion was so fearful that the good people of South Carolina ended the importation of African slaves. From 1739 to 1749, very few slaves entered the Americas through Charleston. After ten years the people of South Carolina got over their fear and began the importation of Africans. Slave revolts were not limited to the South. In New York slave revolts happened in 1712 and 1741. In 1714 23 rebellion slaves were killed, along with 9 white colonists. 70 slaves were arrested and 21 were executed. After the 1741 slave rebellion, the people of New York City began to outlaw slaves.

Slavery and the Economics of Empire Slave colonies produced 95% of all British exports between the establishment of Virginia to the American Revolution. That was a tremendous amount of wealth. And according to the mercantilistic practices of the day, the raw resources would be turned into finished goods in England and then imported into the Americas to be purchased, thus creating new markets for English goods. Slavery was not part of the culture of the North, thus northerners tended to be self-sufficient. They grew their own food. Made their own stuff. And what they could not grow, what they could not make, they did without. Slavery was part of the economic culture of the Chesapeake (in tobacco) and the

lower South (rice, indigo, and tobacco and eventually cotton). And until 1808 (when the importation of African slaves became against the law) it was simply cheaper to work slaves to death and but new ones than it was to take care of their slaves. Thus there was a growing, constant need for more and more African slaves, especially as Southerners pushed further and further West; cultivating new land, needing more slaves. Wealth was in the hands of the few. 10% of the population owned 60% of the land. Large plantation owners tended to be “old money” (from the House of Lords, for example) while half the population were small, family farmers. And 40% of colonists owned no land.

White Privilege Why do we pass laws? In order to correct past actions. Laws are not forward-looking, rather they are backward looking. We pass laws to stop people from acting in ways they used to be able to act. Thus before something becomes illegal, it was legal. In 1670, it became illegal in Virginia for free blacks to own Christian slaves. Which meant that before 1670, free blacks could own Christian slaves. Then Virginia passed laws prohibiting free blacks from voting, holding political office, and testifying in court, which means before that blacks could (and did) vote, hold political office, and testify in court. Such as the case of Anthony Johnson. Johnson was a free black, living in Virginia, who owned slaves. Johnson leased some slaves to a ship captain named Goldsmith. But Goldsmith did not return the slaves on time so Johnson sued Goldsmith in court in 1655. Johnson prevailed and Goldsmith was forced to pay Johnson for the extended use of his slaves. In 1691, in Virginia, it became illegal for interracial sexual relations. Remember, that one's status was based on their mother's status. If the baby's mother was a slave then the baby (even with a white father) was a slave. If the baby's mother was free then the baby was free (even when the father was black). According to the census of 1770, there were 4,000 children living in Maryland whose mothers were white and fathers were black. Colonial authorities did not arrest white men when they fathered babies with slave women (this was simply a way for the slave owner to get more slaves).

Unless, the white slave owner flaunted his relationship by setting up the slave in her own home, buying her fancy dresses, or taking her to church. If his relationship became public then the wife would lose honor (honor was a public thing back in the day). To regain her lost honor, the slave woman would need to be punished for “seducing” her husband. And thus was born the stereotype of Jezebel: young, female slaves who were sexually attracted to white men. So why were there so many free black-white children in Maryland? Mainly because when your white daughter had a half-black baby, your family would lose honor unless that baby is disappeared. They wouldn't kill the baby. Instead they would ship it off to one of the Catholic orphanages in Maryland.

Conclusion Doing work yourself was part of the liberties of English colonists living in the northern half of the colonies. While liberty for southerners included the liberal use of unfree labor (slavery). Africans were considered less than civilized thus English men justified their use of Africans in the slave trade. The African slave trade also brought previously unknown wealth to many English colonists. And those who were already wealthy, such as George Washington and Thomas Jefferson, became exceptionally wealthy over the use of African slaves. Americans will not pause to reflect on their particular definitions of freedom or liberty and their application beyond white people until the American Revolution forces such a rethinking. When that happens, northern states will reject slavery, such as Vermont which made slavery illegal in 1777.

2I. TransSaharan Slave Trade

The **Arab slave trade** was the practice of [slavery](#) in the [Arab world](#), mainly in [Western Asia](#), [North Africa](#), [East Africa](#), and certain parts of [Europe](#) (such as [Iberia](#) and [Sicily](#)) during their period of domination by [Arab leaders](#). The trade was focused on the slave markets of the [Middle East](#), North Africa and the [Horn of Africa](#). People traded were not limited to a certain race, ethnicity, or religion,^[1] and included [Turks](#), [Iranians](#), [Europeans](#), and [Berbers](#), especially during the trade's early days.

During the 8th and 9th centuries of the [Fatimid Caliphate](#), most of the slaves were Europeans (called [Saqaliba](#)) captured along European coasts and during wars.^[2] However, slaves were drawn from a wide variety of regions and included [Mediterranean](#) peoples, [Persians](#), peoples from the [Caucasus](#) mountain regions (such as [Georgia](#), [Armenia](#) and [Circassia](#)) and parts of Central Asia and [Scandinavia](#), [English](#), [Dutch](#) and [Irish](#), Berbers from North Africa, and various other peoples of varied origins as well as those of African origins.

Toward the 18th and 19th centuries, the flow of [Zanj](#) (Bantu) slaves from East Africa increased with the rise of the [Oman sultanate](#), which was based in [Zanzibar](#). They came into direct trade conflict and competition with [Portuguese](#) and other Europeans along the [Swahili coast](#).^[3] The North African Barbary states carried on piracy against European shipping and enslaved thousands of European Christians. They earned revenues from the ransoms charged; in many cases in Britain, village churches and communities would raise money for such ransoms. The government did not ransom its citizens.

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SCOPE OF THE TRADE

Historians estimate that between 650 and 1900, 10 to 18 million peoples were enslaved by Arab slave traders and taken from Africa across the [Red Sea](#), [Indian Ocean](#), and [Sahara](#) desert.^{[4][5][6][7]} The term Arab when used in historical documents often represented an [ethnic](#) term, as many of the “Arab” slave traders, such as [Tippu Tip](#) and others, were physically indistinguishable from the “Africans”

whom they enslaved and sold. Due to the nature of the Arab slave trade, it is impossible to be precise about actual numbers.^{[8][9][10]}

To a smaller degree, Arabs also enslaved Europeans. According to Robert Davis, between 1 million and 1.25 million Europeans were captured between the 16th and 19th centuries by [Barbary corsairs](#), who were vassals of the [Ottoman Empire](#), and [sold as slaves](#).^{[11][12]} These slaves were captured mainly from seaside villages from Italy, Spain, Portugal and also from more distant places like France or England, the Netherlands, Ireland and even [Iceland](#). They were also taken from ships stopped by the pirates.^[13] The effects of these [attacks](#) was devastating: France, England, and Spain each lost thousands of ships. Long stretches of the Spanish and Italian coasts were almost completely abandoned by their inhabitants, because of frequent pirate attacks. [Pirate](#)raids discouraged settlement along the coast until the 19th century.^{[14][15]}

Periodic Arab raiding expeditions were sent from [Islamic Iberia](#) to ravage the Christian Iberian kingdoms, bringing back booty and slaves. In a raid against [Lisbon](#) in 1189, for example, the [Almohad](#) caliph, [Abu Yusuf Yaqub al-Mansur](#), took 3,000 female and child captives, while his governor of [Córdoba](#), in a subsequent attack upon [Silves](#) in 1191, took 3,000 Christian slaves.^[16]

The [Ottoman wars in Europe](#) and [Tatar raids](#) brought large numbers of European Christian slaves into the [Muslim world](#) too.^{[17][18][19]}

The 'Oriental' or 'Arab' slave trade is sometimes called the '[Islamic slave trade](#)', but a religious imperative was not the driver of the slavery, [Patrick Manning](#), a professor of World History, states. However, if a non-Muslim population refuses to adopt Islam or pay the [jizya](#) protection/subjugation tax, that population is considered to be at war with the Muslim "[ummah](#)" (nation), and it becomes legal under [Islamic law](#) to take slaves from that non-Muslim population. Usage of the terms "Islamic trade" or "Islamic world" has been disputed by some Muslims as it treats Africa as outside of Islam, or a negligible portion of the [Islamic world](#).^[20] Propagators of [Islam](#)

[in Africa](#) often revealed a cautious attitude towards proselytizing because of its effect in reducing the potential reservoir of slaves.^[21]

From a Western point of view, the subject merges with the Oriental slave trade, which followed two main routes in the [Middle Ages](#):

- Overland routes across the [Maghreb](#) and Mashriq deserts ([Trans-Saharan](#) route)^[22]
- Sea routes to the east of Africa through the Red Sea and Indian Ocean (Oriental route)^{[23][24]}

The Arab slave trade originated before Islam and lasted more than a millennium.^{[25][26][27]} Arab traders brought Africans across the Indian Ocean from present-day [Kenya](#), [Mozambique](#), [Tanzania](#),^[28] [Eritrea](#), [Ethiopia](#) and elsewhere in East Africa to present-day [Iraq](#), [Iran](#), [Kuwait](#), [Somalia](#), [Turkey](#) and other parts of the Middle East^[29] and South Asia (mainly Pakistan and India). Unlike the [trans-Atlantic slave trade](#) to the [New World](#), Arabs supplied African slaves to the Muslim world, which at its peak stretched over three continents from the Atlantic to the Far East.

SOURCES AND HISTORIOGRAPHY OF THE SLAVE TRADE

A RECENT AND CONTROVERSIAL TOPIC

The history of the slave trade has given rise to numerous debates amongst historians. For one thing, specialists are undecided on the number of Africans taken from their homes; this is difficult to resolve because of a lack of reliable statistics: there was no census system in medieval Africa. Archival material for the transatlantic

trade in the 16th to 18th centuries may seem useful as a source, yet these record books were often falsified. Historians have to use imprecise narrative documents to make estimates which must be treated with caution: Luiz Felipe de Alencastro states that there were 8 million slaves taken from Africa between the 8th and 19th centuries along the Oriental and the Trans-Saharan routes.^[30]

Olivier Pétré-Grenouilleau has put forward a figure of 17 million African people enslaved (in the same period and from the same area) on the basis of Ralph Austen's work.^[31] [Paul Bairoch](#) suggests a figure of 25 million African people subjected to the Arab slave trade, as against 11 million that arrived in the Americas from the transatlantic slave trade.^[32] Ronald Segal estimates between 11.5 and 14 million were enslaved by the Arab slave trade.^{[33][34][35]}

Another obstacle to a history of the Arab slave trade is the limitations of extant sources. There exist documents from non-African cultures, written by educated men in Arabic, but these only offer an incomplete and often condescending look at the phenomenon. For some years there has been a huge amount of effort going into historical research on Africa. Thanks to new methods and new perspectives, historians can interconnect contributions

from [archaeology](#), [numismatics](#), [anthropology](#), [linguistics](#) and [demography](#) to compensate for the inadequacy of the written record.

The Arab trade of [Zanj](#) (Bantu) slaves in East Africa is one of the oldest slave trades, predating the European transatlantic slave trade by 700 years.^{[36][37][38]} Male slaves were often employed as servants, soldiers, or laborers by their owners, while female slaves, including those from Africa, were long traded to the Middle Eastern countries and kingdoms by Arab and Oriental traders as [concubines](#) and servants. Arab, African and Oriental traders were involved in the capture and transport of slaves northward across the Sahara desert and the Indian Ocean region into the Middle East, Persia and the Far east.^{[37][38]}

650 TO 20TH CENTURY

From approximately 650 until around the 1960s, the Arab slave trade continued in one form or another. Historical accounts and references to slave-owning nobility in [Arabia](#), [Yemen](#) and elsewhere are frequent into the early 1920s.^[36] In 1953, [sheikhs](#) from [Qatar](#) attending the coronation of [Queen Elizabeth II](#) included slaves in their retinues, and they did so again on another visit five years later.^[6]

As recently as the 1950s, [Saudi Arabia](#)'s slave population was estimated at 450,000 — approximately 20% of the population.^[39] It is estimated that as many as 200,000 Sudanese children and women had been taken into [slavery](#) during the [Second Sudanese Civil War](#).^{[40][41]} [Slavery in Mauritania](#) was legally abolished by laws passed in 1905, 1961, and 1981.^[42] It was finally criminalized in August 2007.^[43] It is estimated that up to 600,000 Mauritians, or 20% of [Mauritania](#)'s population, are currently in conditions which some consider to be “slavery”, namely, many of them used as [bonded labour](#) due to poverty.^[44]

The Arab slave trade in the Indian Ocean, Red Sea, and Mediterranean Sea long predated the arrival of any significant number of Europeans on the African continent.^{[36][45]}

Some descendants of African slaves brought to the Middle East during the slave-trade still live there today, and are aware of their African origins. The number of descendants was limited as men were castrated by their Arab masters to be [eunuchs](#) in domestic service.^{[29][46]}

MEDIEVAL ARABIC SOURCES

These are given in chronological order. Scholars

and [geographers](#) from the Arab world had been travelling to Africa since the time of [Muhammad](#) in the 7th century.

- [Al-Masudi](#) (died 957), *Muruj adh-dhahab* or [The Meadows of Gold](#), the reference manual for geographers and historians of the Muslim world. The author had travelled widely across the Arab world as well as the Far East.
- [Ya'qubi](#) (9th century), *Kitab al-Buldan* or *Book of Countries*
- [Abraham ben Jacob](#) (Ibrahim ibn Jakub) (10th century), Jewish merchant from Córdoba^[47]
- [Al-Bakri](#), author of *Kitāb al-Masālik wa'l-Mamālik* or [Book of Roads and Kingdoms](#), published in Córdoba around 1068, gives us information about the Berbers and their activities; he collected eye-witness accounts on Saharan [caravan routes](#).
- [Muhammad al-Idrisi](#) (died circa 1165), *Description of Africa and Spain*
- [Ibn Battuta](#) (died circa 1377), [Moroccan](#) geographer who travelled to sub-Saharan Africa, to [Gao](#) and to [Timbuktu](#). His principal work is called *A Gift to Those Who Contemplate the Wonders of Cities and the Marvels of Travelling*.
- [Ibn Khaldun](#) (died in 1406), historian and philosopher from North Africa. Sometimes considered as the historian of Arab, Berber and Persian societies. He is the author of [Muqaddimah](#) or *Historical Prolegomena* and *History of the Berbers*.
- [Al-Maqrizi](#) (died in 1442), Egyptian historian. His main contribution is his description of [Cairo](#) markets.
- [Leo Africanus](#) (died circa 1548), author of *Descrittione dell' Africa* or [Description of Africa](#), a rare description of Africa.
- [Rifa'a al-Tahtawi](#) (1801–1873), who translated medieval works on geography and history. His work is mostly about Muslim Egypt.
- Joseph Cuoq, *Collection of Arabic sources concerning Western Africa between the 8th and 16th centuries* (Paris 1975)

EUROPEAN TEXTS (16TH–19TH CENTURIES)

- [João de Castro](#), *Roteiro de Lisboa a Goa* (1538)
- [James Bruce](#), (1730–1794), *Travels to Discover the Source of the Nile* (1790)
- [René Caillié](#), (1799–1838), *Journal d'un voyage à Tombouctou*
- Robert Adams, *The Narrative of Robert Adams* (1816)
- [Johann Ludwig Burckhardt](#), (1784–1817), *Travels in Nubia* (1819)
- [Henry Morton Stanley](#), (1841–1904), *Through the Dark Continent* (1878)

OTHER SOURCES

- African Arabic and [Ajam](#) Manuscripts, such as [Tarikh al-Sudan](#)
- African [oral tradition](#)
- [Kilwa](#) Chronicle (16th century fragments)
- Numismatics: analysis of coins and of their [diffusion](#)
- Archaeology: architecture of trading posts and of towns associated with the slave trade
- Iconography: Arab and Persian [miniatures](#) in major libraries
- European engravings, contemporary with the slave trade, and some more modern
- Photographs from the 19th century onward
- Ethiopian ([Ge'ez](#) and [Amharic](#)) historical texts, such as [Kebra Nagast](#)

HISTORICAL AND GEOGRAPHICAL CONTEXT

A brief review of the region and era in which the Oriental and trans-Saharan slave trade took place should be useful here. It is not a detailed study of the Arab world, nor of Africa, but an outline of key points which will help with understanding the slave trade in this part of the world.

THE ISLAMIC WORLD

The religion of Islam appeared in the 7th century CE. In the next hundred years, it quickly diffused throughout the Mediterranean area, spread by Arabs after they [conquered the Sassanid Persian Empire](#) and [many territories from the Byzantine Empire](#), including [the Levant](#), [Armenia](#) and [North Africa](#). The Muslims [invaded the Iberian peninsula](#), where they displaced the [Visigothic Kingdom](#). These regions therefore had a diverse range of different peoples and were, to some extent, unified by an Islamic culture built on both religious and civic foundations. For example, they used the Arabic language and the [dinar](#) (currency) in commercial transactions. [Mecca](#) in Arabia, then as now, was the holy city of Islam and the center of [pilgrimages](#) for all Muslims, whatever their origins.

According to [Bernard Lewis](#), the Arab Empire was the first “truly universal civilization,” which brought together for the first time “peoples as diverse as the [Chinese](#), the Indians, the people of the Middle East and North Africa, black Africans, and white Europeans.”^[48]

The conquests of the [Arab armies](#) and the expansion of the Islamic state that followed have always resulted in the capture of war prisoners who were subsequently set free or turned into slaves

or *Raqeeq* (رقيق) and servants rather than taken as prisoners as was the Islamic tradition in wars. Once taken as slaves, they had to be dealt with in accordance with the [Islamic law](#) which was the law of the Islamic state, especially during the [Umayyad](#) and [Abbasid](#) eras. According to that law, slaves were allowed to earn their living if they opted for that, otherwise it is the owner's (master) duty to provide for that. They also could not be forced to earn money for their masters unless with an agreement between the slave and the master. This concept is called *مخارجه* (mukharaja ? please verify) in Islamic law. If slaves agree to that and they would like the money they earn to be counted toward their [emancipation](#), then this has to be written in the form of a contract between the slave and the master. This is called *مكاتبة* ([mukataba](#)) in [Islamic jurisprudence](#). Muslims believe that slave owners are strongly encouraged to perform *mukataba* with their slaves as directed by the [Quran](#):

...And if any of your slaves ask for a deed in writing (to enable them to earn their freedom for a certain sum), give them such a deed if ye know any good in them: yea, give them something yourselves out of the means which [Allah](#) has given to you. ...

—Quran, [sura](#) 24 ([An-Nur](#)), [ayah](#) 33^[49]

The framework of Islamic civilization was a well-developed network of towns and [oasis](#) trading centers with the market ([souq](#), [bazaar](#)) at its heart. These towns were inter-connected by a system of roads crossing semi-arid regions or deserts. The routes were traveled by convoys, and slaves formed part of this [caravan](#) traffic.

In contrast to the Atlantic slave trade, where the male-female ratio was 2:1 or 3:1, the Arab slave trade instead usually had a higher female-to-male ratio. This suggests a general preference for female slaves. [Concubinage](#) and reproduction served as incentives for importing female slaves (often Caucasian), though many were also imported mainly for performing household tasks.^[50]

ARAB VIEWS ON AFRICAN PEOPLE

In the Quran, the [Islamic prophet](#) Muhammad, and the overwhelming majority of [Islamic jurists](#) and [theologians](#), all stated that humankind has a single origin and rejected the idea of certain [ethnic groups](#) being superior to others.^[48] According to the [hadiths](#):

...an Arab has no superiority over a non-Arab nor a non-Arab has any superiority over an Arab; also a white has no superiority over black nor a black has any superiority over white except by piety and good action.

—Muhammad, [THE FAREWELL SERMON](#)^[51]

Despite this, some [ethnic prejudices](#) later developed among Arabs for at least two reasons: 1) their extensive conquests and slave trade,^[48] and 2) the influence of [Aristotle](#)'s idea that slaves are slaves by nature.^[52]^[POV? - discuss] A refinement of Aristotle's view was put forward by [Muslim philosophers](#) such as [Al-Farabi](#) and [Avicenna](#), particularly in regards to Turkic and black peoples,^[48] and the influence of ideas from the early mediaeval [Geonic](#) academies regarding divisions among mankind between the three [sons of Noah](#), with the Babylonian [Talmud](#) stating that “the [descendants of Ham](#) are cursed by being black, and [it] depicts [Ham](#) as a sinful man and his progeny as degenerates.”^[53] However, ethnic prejudice among some elite Arabs was not limited to darker-skinned people, but was also directed towards fairer-skinned “ruddy people” (including Persians, Turks and Europeans), while Arabs referred to themselves as “swarthy people”.^[54] The concept of an Arab identity itself did not exist until modern times.^[55] According to [Arnold J. Toynbee](#): “The extinction of race consciousness as between Muslims is one of the outstanding achievements of Islam and in the contemporary world there is, as it happens, a crying need for the propagation of this Islamic virtue.”^[56]

The famous 9th-century Muslim author [Al-Jahiz](#), an [Afro-Arab](#) and the grandson of a [Zanj](#)^{[37][57][38]} slave, wrote a book entitled *Risalat mufakharat al-Sudan 'ala al-bidan* (*Treatise on the Superiority of Blacks over Whites*), in which he stated that Blacks:

...have conquered the country of the Arabs as far as Mecca and have governed them. We defeated [Dhu Nowas](#) ([Jewish](#) King of Yemen) and killed all the [Himyarite](#) princes, but you, White people, have never conquered our country. Our people, the Zenghs ([Negroes](#)) revolted forty times in the [Euphrates](#), driving the inhabitants from their homes and making Oballah a bath of blood.

—[Joel Augustus Rogers](#) and [John Henrik Clarke](#), WORLD'S GREAT MEN OF COLOR^[58]

And that:

Blacks are physically stronger than no matter what other people. A single one of them can lift stones of greater weight and carry burdens such as several Whites could not lift nor carry between them. [...] They are brave, strong, and generous as witness their nobility and general lack of wickedness.

—[Yosef Ben-Jochannan](#), AFRICAN ORIGINS OF MAJOR WESTERN RELIGIONS^[59]

Al-Jahiz also stated in his *Kitab al-Bukhala* (“Avarice and the Avaricious”) that:

“We know that the Zanj (blacks) are the least intelligent and the least discerning of mankind, and the least capable of understanding the consequences of their actions.” Jahiz’ criticism however, was limited to the Zanj and not blacks in totality, likely as a result of the [Zanji revolts](#) in his native Iraq.

This sentiment was echoed in the following passage

from *Kitab al-Bad' wah-tarikh* (vol.4) by the medieval Arab writer [Al-Muqaddasi](#):

As for the Zanj, they are people of black color, flat noses, kinky hair, and little understanding or intelligence.^[60]

[Al-Dimashqi](#) (Ibn al-Nafis), the Arab [polymath](#), also described the inhabitants of the [Sudan \(region\)](#) and the Zanj coast, among others, as being of “dim” intelligence and that:

...the moral characteristics found in their mentality are close to the instinctive characteristics found naturally in animals.

—Andrew Reid and Paul J. Lane, *AFRICAN HISTORICAL ARCHAEOLOGIES*^[61]

By the 14th century, an overwhelming number of slaves came from [sub-Saharan Africa](#), leading to prejudice against black people in the works of several [Arabic historians](#) and geographers. For example, the [Egyptian](#) historian Al-Abshibi (1388–1446) wrote: “It is said that when the [black] slave is sated, he fornicates, when he is hungry, he steals.”^[62]

Mistranslations of Arab scholars and geographers from this time period have led many to attribute certain racist attitudes that weren't prevalent until the 18th and 19th century to writings made centuries ago.^{[7][63]} Although bias against those of very black complexion existed in the Arab world in the 15th century it didn't have as much stigma as it later would. Older translations of Ibn Khaldun, for example in *The Negroland of the Arabs Examined and Explained*^[64] which was written in 1841 gives excerpts of older translations that were not part of later colonial propaganda and show black Africans in a generally positive light.

In 14th century North Africa, the Arab sociologist, Ibn Khaldun, wrote in his *Muqaddimah*:

When the conquest of the West (by the Arabs) was completed, and merchants began to penetrate into the interior, they saw no nation of the Blacks so mighty as [Ghanah](#), the dominions of which extended westward as far as the Ocean. The King's court was kept in the city of Ghanah, which, according to the author of the [Book of Roger \(El Idrisi\)](#), and the author of the [Book of Roads and Realms \(El Bekri\)](#), is divided into two parts, standing on both banks of the [Nile](#), and ranks among the largest and most populous cities of the world. The people of Ghanah had for neighbours, on the east, a nation, which, according to historians, was called [Susu](#); after which came another named [Mali](#); and after that another known by the name of Kaukau; although some people prefer a different orthography, and write this name Kaghoh. The last-named nation was followed by a people called [Tekrur](#). The people of Ghanah declined in course of time, being overwhelmed or absorbed by the Molaththemun (or muffled people; that is, the Morabites), who, adjoining them on the north towards the Berber country, attacked them, and, taking possession of their territory, compelled them to embrace the Mohammedan religion. The people of Ghanah, being invaded at a later period by the Susu, a nation of Blacks in their neighbourhood, were exterminated, or mixed with other Black nations.

—William Desborough Cooley, THE NEGROLAND OF THE ARABS EXAMINED AND EXPLAINED^[64]

Ibn Khaldun suggests a link between the decline of Ghana and rise of the [Almoravids](#). However, there is little evidence of there actually being an Almoravid conquest of

Ghana^{[65][66]} aside from the parallel conflict with Takkur, which was allied with the Almoravid and eventually absorbed by them.

Ibn Khaldun attributed the “strange practices and customs” of certain African tribes to the hot climate of sub-Saharan Africa and made it clear that it was not due to any curse in their lineage, dismissing the Hamitic theory as a myth.^[67]

His critical attitude towards Arabs has led the scholar Mohammad A. Enan to suggest that Ibn Khaldun may have been a Berber pretending to be an Arab in order to gain social status, but Muhammad Hozien has responded to this claim stating that Ibn Khaldun or anyone else in his family never claimed to be Berber even when the Berbers were in power.^[68]^[relevant? – discuss]

The 14th-century North African Berber geographer and traveller, Ibn Battuta, on his trip to western Sudan, was impressed with occasional aspects of life.

Battuta later visited the Zanj-inhabited portions of East Africa and held more positive views of its black people.^{[3][69]}

We ... traveled by sea to the city of [Kulwa](#) ([Kilwa](#) in Tanzania)...Most of its people are Zunuz, extremely black...The city of Kulwa is amongst the most beautiful of cities and most elegantly built... Their uppermost virtue is religion and righteousness and they are Shafi'i in rite.

[The people of [Mombasa](#) in Kenya] are a religious people, trustworthy and righteous. Their mosques are made of wood, expertly built.

Ibn Battuta was also impressed with aspects of the Mali Empire of West Africa, which he visited in 1352, writing that the people there:

...possess some admirable qualities. They are seldom unjust, and have a greater abhorrence of injustice than any other people. There is complete security in their country. Neither traveler nor inhabitant in it has anything to fear from robbers or men of violence.
—Ibn Battuta, TRAVELS IN ASIA AND AFRICA 1325-1354^[70]

In addition, he wrote many other positive comments on the people of the Mali Empire, including the following:^[69]

I met the [qadi](#) of Malli... he is a black, has been on a pilgrimage, and is a noble person with good qualities of character... I met the interpreter Dugha, a noble black and a leader of theirs... They performed their duty towards me [as a guest] most perfectly; may God bless and reward them for their good deeds!

Another of [the Malli blacks'] good qualities is their concern for learning the sublime Qur'an by heart...One day I passed a handsome youth from them dressed in fine clothes and on his feet was a heavy chain. I said to the man who was with me, 'What has this youth done — has he killed someone?' The youth heard my remark and laughed. It was told me, 'He has been chained so that he will learn the Qur'an by heart.'

[the people of [Iwalatan](#) in West Africa] were generous to me and entertained me...and as for their women — they are extremely beautiful and are more important than the men...

Ibn Battuta's remarks contrasted greatly to that of many other comments from Arab authors concerning blacks. However, many of the exaggerated accounts are noted to

have been based on hearsay and even perpetuated by Africans themselves in an attempt to keep their states and economies isolated, in addition to Ibn Battuta having been the only medieval Muslim scholar referenced here to have actually traveled to both east and west Africa.^[60]

AFRICA: 8TH THROUGH 19TH CENTURIES

In April 1998, Elikia M'bokolo, wrote in [Le Monde diplomatique](#). "The African continent was bled of its human resources via all possible routes. Across the Sahara, through the Red Sea, from the Indian Ocean ports and across the Atlantic. At least ten centuries of slavery for the benefit of the Muslim countries (from the ninth to the nineteenth)." He continues: "Four million slaves exported via the Red Sea, another four million through the [Swahili](#) ports of the Indian Ocean, perhaps as many as nine million along the trans-Saharan caravan route, and eleven to twenty million (depending on the author) across the Atlantic Ocean"^[71]

In the 8th century, Africa was dominated by Arab-Berbers in the north: Islam moved southwards along the Nile and along the desert trails.

- The Sahara was thinly populated. Nevertheless, since antiquity there had been cities living on a [trade in salt](#), gold, slaves, cloth, and on agriculture enabled by irrigation: [Tiaret](#), [Oualata](#), [Sijilmasa](#), Zaouila, and others.
- In the Middle Ages, sub-Saharan Africa was called *bilad -ul- Sûdân* in Arabic, meaning *land of the Blacks* (Sudan region). It provided a pool of manual labour for North Africa and Saharan Africa. This region was dominated by certain states and people: the Ghana Empire, the Empire of Mali, the [Kanem-Bornu Empire](#), the [Fulani](#) and [Hausa](#).
- In eastern Africa, the coasts of the Red Sea and Indian Ocean

were controlled by native Muslims, and Arabs were important as traders along the coasts. [Nubia](#) had been a “supply zone” for slaves since antiquity. The Ethiopian coast, particularly the port of [Massawa](#) and [Dahlak Archipelago](#), had long been a hub for the exportation of slaves from the interior, even in [Aksumite](#) times. The port and most coastal areas were largely Muslim, and the port itself was home to a number of Arab and Indian merchants.^[72]

The [Solomonic dynasty](#) of Ethiopia often exported [Nilotic](#) slaves from their western borderland provinces, or from newly conquered or reconquered Muslim provinces.^[73] The [Somali](#) and [Afar](#) Muslim [sultanates](#), such as the [Adal Sultanate](#), exported slaves as well.^[74] Arabs also set up slave-trading posts along the southeastern coast of the Indian Ocean, most notably in the archipelago of Zanzibar, along the coast of present-day Tanzania. East Africa and the Indian Ocean continued as an important region for the Oriental slave trade up until the 19th century. [Livingstone](#) and Stanley were then the first Europeans to penetrate to the interior of the [Congo Basin](#) and to discover the scale of slavery there. The Arab Tippu Tip extended his influence and made many people slaves. After Europeans had settled in the [Gulf of Guinea](#), the trans-Saharan slave trade became less important. In Zanzibar, slavery was abolished late, in 1897, under Sultan [Hamoud bin Mohammed](#).

GEOGRAPHY OF THE SLAVE TRADE

“SUPPLY” ZONES

Merchants of slaves for the Orient stocked up in Europe. Danish merchants had bases in the [Volga](#) region and dealt in Slavs with

Arab merchants. [Circassian](#) slaves were conspicuously present in the [harems](#) and there were many [odalisques](#) (from the Turkish *odalık*, meaning “[chambermaid](#)”) from that region in the paintings of [Orientalists](#). Non-Muslim slaves were valued in the harems, for all roles (gate-keeper, servant, odalisque, musician, dancer, [court dwarf](#), concubine). In the Ottoman Empire, the last black slave sold in Ethiopia named Hayrettin Effendi, was freed in 1918. The slaves of Slavic origin in Al-Andalus came from the [Varangians](#) who had captured them. They were put in the [caliph](#)’s guard and gradually took up important posts in the army (they became *saqaliba*), and even went to take back [taifas](#) after the civil war had led to an implosion of the Western [Caliphate](#). Columns of slaves feeding the great harems of Córdoba, [Seville](#) and [Grenada](#) were organised by Jewish merchants (*mercaderes*) from Germanic countries and parts of Northern Europe not controlled by the [Carolingian Empire](#). These columns crossed the [Rhône](#) valley to reach the lands to the south of the [Pyrenees](#).

There are also historical evidence of North African Muslim slave raids all along the Mediterranean coasts across Christian Europe and beyond to even as far north as the [British Isles](#) and Iceland (see the book titled *White Gold* by [Giles Milton](#)).^[75] The majority of slaves traded across the Mediterranean region were predominantly of European origin from the 7th to 15th centuries.^[76] The Barbary pirates continued to capture slaves from Europe and, to an extent, North America, from the 16th to 19th centuries.

Slaves were also brought into the Arab world via Central Asia, mainly of Turkic or [Tartar](#) origin. Many of these slaves later went on to serve in the armies forming an elite rank.

- At sea, Barbary pirates joined in this traffic when they could capture people by boarding ships or by incursions into coastal areas, mainly in Southern Europe as well as other European coasts.
- Nubia and Ethiopia were also “exporting” regions: in the 15th

century, Ethiopians sold slaves from western borderland areas (usually just outside of the realm of the [Emperor of Ethiopia](#)) or Ennarea,^[77] which often ended up in India, where they worked on ships or as soldiers. They eventually rebelled and took power (dynasty of the [Habshi](#) Kings in Bengal 1487-1493).

- The Sudan region and Saharan Africa formed another “export” area, but it is impossible to estimate the scale, since there is a lack of sources with figures.
- Finally, the slave traffic affected eastern Africa, but the distance and local hostility slowed down this section of the Oriental trade.

ROUTES

Caravan trails, set up in the 9th century, went past the oasis of the Sahara; travel was difficult and uncomfortable for reasons of climate and distance. Since [Roman times](#), long convoys had transported slaves as well as all sorts of products to be used for [barter](#). To protect against attacks from desert nomads, slaves were used as an escort. Any who slowed down the progress of the caravan were killed.

Historians know less about the sea routes. From the evidence of illustrated documents, and travellers’ tales, it seems that people travelled on [dhows](#) or *jalbas*, Arab ships which were used as transport in the Red Sea. Crossing the Indian Ocean required better organisation and more resources than overland transport. Ships coming from Zanzibar made stops on [Socotra](#) or at [Aden](#) before heading to the [Persian Gulf](#) or to India. Slaves were sold as far away as India, or even China: there was a colony of Arab merchants in [Canton](#). Serge Bilé cites a 12th-century text which tells us that most well-to-do families in Canton had black slaves whom they regarded as savages and demons because of their physical appearance. Although Chinese slave traders bought slaves (*Seng*

Chi i.e. the Zanj^[78]) from Arab intermediaries and “stocked up” directly in coastal areas of present-day Somalia, the local Somalis—referred to as *Baribah* and *Barbaroi* (Berbers) by medieval Arab and ancient [Greek](#) geographers, respectively (see [Periplus of the Erythraean Sea](#)),^{[37][57][79]} and no strangers to capturing, owning and trading slaves themselves^[80]—were not among them.^[81]

One important commodity being transported by the Arab dhows to Somalia was slaves from other parts of East Africa. During the nineteenth century, the East African slave trade grew enormously due to demands by Arabs, Portuguese, and French. Slave traders and raiders moved throughout eastern and central Africa to meet the rising demand for enslaved men, women, and children. Somalia did not supply slaves — as part of the Islamic world Somalis were at least nominally protected by the religious tenet that free Muslims cannot be enslaved — but Arab dhows loaded with human cargo continually visited Somali ports.

—Catherine Lowe Besteman, UNRAVELING SOMALIA: RACE, CLASS, AND THE LEGACY OF SLAVERY^[82]

Slave labor in East Africa was drawn from the Zanj, Bantu peoples that lived along the East African coast.^{[37][38]} The Zanj were for centuries shipped as slaves by Arab traders to all the countries bordering the Indian Ocean. The Umayyad and Abbasid caliphs recruited many Zanj slaves as soldiers and, as early as 696, we learn of slave revolts of the Zanj against their Arab enslavers in Iraq (see [Zanj Rebellion](#)). Ancient Chinese texts also mention ambassadors from Java presenting the Chinese emperor with two Seng Chi (Zanj) slaves as gifts, and Seng Chi slaves reaching China from the [Hindu](#) kingdom of [Srivijaya](#) in [Java](#).^[78]

BARTER

Slaves were often bartered for objects of various kinds: in the Sudan, they were exchanged for cloth, trinkets and so on. In the Maghreb, they were swapped for horses. In the desert cities, lengths of cloth, pottery, [Venetian glass slave beads](#), dyestuffs and jewels were used as payment. The trade in black slaves was part of a diverse commercial network. Alongside gold coins, [cowrie shells](#) from the Indian Ocean or the Atlantic ([Canaries](#), [Luanda](#)) were used as money throughout black Africa (merchandise was paid for with sacks of cowries).

SLAVE MARKETS AND FAIRS

Enslaved Africans were sold in the towns of the Muslim world. In 1416, al-Maqrizi told how pilgrims coming from Takrur (near the [Senegal River](#)) had brought 1,700 slaves with them to Mecca. In North Africa, the main slave markets were in Morocco, [Algiers](#), [Tripoli](#) and Cairo. Sales were held in public places or in [souks](#). Potential buyers made a careful examination of the “merchandise”: they checked the state of health of a person who was often standing naked with wrists bound together. In Cairo, transactions involving eunuchs and concubines happened in private houses. Prices varied according to the slave’s quality. Thomas Smee, the commander of the British research ship *Ternate*, visited such a market in Zanzibar in 1811 and gave a detailed description:

‘The show’ commences about four o’clock in the afternoon. The slaves, set off to the best advantage by having their skins cleaned and burnished with cocoa-nut oil, their faces painted with red and white stripes and the hands, noses, ears and feet ornamented with a profusion of bracelets of gold and silver and jewels, are ranged in a line, commencing

with the youngest, and increasing to the rear according to their size and age. At the head of this file, which is composed of all sexes and ages from 6 to 60, walks the person who owns them; behind and at each side, two or three of his domestic slaves, armed with swords and spears, serve as guard. Thus ordered the procession begins, and passes through the market-place and the principle streets... when any of them stikes a spectator's fancy the line immediately stops, and a process of examination ensues, which, for minuteness, is unequalled in any cattle market in Europe. The intending purchaser having ascertained there is no defect in the faculties of speech, hearing, etc., that there is no disease present, next proceeds to examine the person; the mouth and the teeth are first inspected and afterwards every part of the body in succession, not even excepting the breasts, etc., of the girls, many of whom I have seen handled in the most indecent manner in the public market by their purchasers; indeed there is every reasons to believe that the slave-dealers almost universally force the young girls to submit to their lust previous to their being disposed of. From such scenes one turns away with pity and indignation. ^[83]

TOWNS AND PORTS INVOLVED IN THE SLAVE TRADE

- [North Africa](#):
 - [Tangier \(Morocco\)](#)
 - [Marrakesh \(Morocco\)](#)
 - [Algiers \(Algeria\)](#)
 - [Tripoli \(Libya\)](#)
 - [Cairo \(Egypt\)](#)
 - [Aswan \(Egypt\)](#)
 - [East Africa](#):
 - [Bagamoyo \(Tanzania\)](#)
 - [Zanzibar \(Tanzania\)](#)
 - [Kilwa \(Tanzania\)](#)
 - [Sofala \(Beira, Mozambique\)](#)
 - [Mombasa Kenya](#)
 - [Arabian Peninsula](#):
 - [Zabid \(Yemen\)](#)
 - [Muscat \(Oman\)](#)
 - [Aden \(Yemen\)](#)
 - [Socotra \(India\)](#)
 - [West Africa](#):
 - [Salaga \(Ghana\)](#)
 - [Aoudaghost \(Mauritania\)](#)
 - [Timbuktu \(Mali\)](#)
 - [Gao \(Mali\)](#)
 - [Bilma \(Niger\)](#)
 - [Kano \(Nigeria\)](#)
 - [Horn of Africa](#):
 - [Assab \(Eritrea\)](#)
 - [Massawa \(Eritrea\)](#)
 - [Nefasit \(Eritrea\)](#)
 - [Zeila \(Somalia\)](#)
 - [Mogadishu \(Somalia\)](#)
 - [Kismayo \(Somalia\)](#)
 - [Indian Ocean](#):
 - [Debal \(Sindh\)](#)
 - [Karachi \(Sindh\)](#)
 - [Janjira \(India\)](#)
 - [Surat \(India\)](#)
-

SEE ALSO

- [Slavery in antiquity](#)
- [Christian views on slavery](#)
- [Judaism and slavery](#)
- [Black orientalism](#)

This article was initially translated from the featured French wiki article “Traite musulmane” on 19 May 2006.

FURTHER READING

- Edward A. Alpers, *The East African Slave Trade* (Berkeley 1967)

- [Ibn Khaldun](#), *The Muqaddimah*, trans. F. Rosenthal, ed. N. J. Dawood (Princeton 1967)
- Murray Gordon, *Slavery in the Arab World* (New York 1989)
- Habeeb Akande, *Illuminating the Darkness: Blacks and North Africans in Islam* (Ta Ha 2012)
- [Bernard Lewis](#), *Race and Slavery in the Middle East* (OUP 1990)
- [Patrick Manning](#), *Slavery and African Life: Occidental, Oriental, and African Slave Trades* (Cambridge 1990)
- Paul E. Lovejoy, *Transformations in Slavery: A History of Slavery in Africa* (Cambridge 2000)
- Allan G. B. Fisher, *Slavery and Muslim Society in Africa*, ed. C. Hurst (London 1970, 2nd edition 2001)
- *The African Diaspora in the Mediterranean Lands of Islam* (Princeton Series on the Middle East) Eve Troutt Powell (Editor), John O. Hunwick (Editor) (Princeton 2001)
- Ronald Segal, *Islam's Black Slaves* (Atlantic Books, London 2002)
- Robert C. Davis, *Christian Slaves, Muslim Masters: White Slavery in the Mediterranean, the Barbary Coast, and Italy, 1500-1800* (Palgrave Macmillan, London 2003)
- Audio Documentary

EXTERNAL LINKS

- Arab Slave Trade
- BBC – History – British Slaves on the Barbary Coast
- BBC – Islam and Slavery
- s Guide to Black History
- iAbolish.ORG! American Anti-Slavery Group (AASG) – particular focus on North African slaves
- Digital History/Slavery Facts & Myths Mintz, S.

22. Slavery Before TransAtlantic Trade

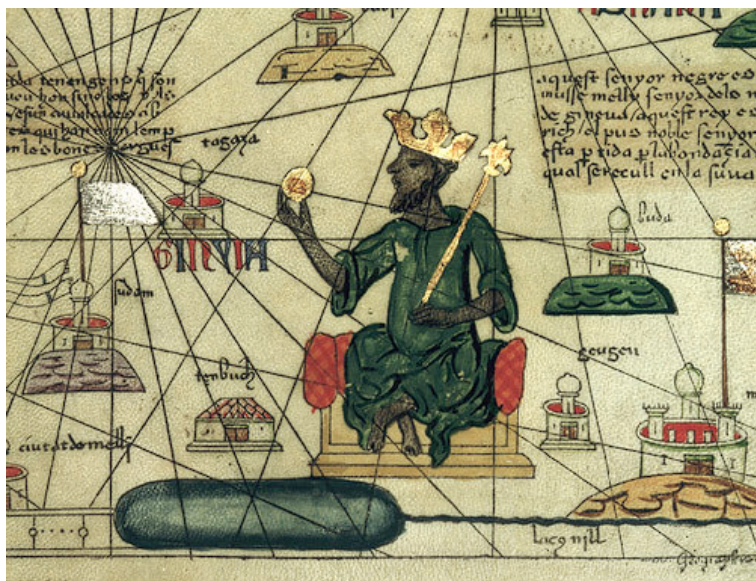
Slavery before the Trans-Atlantic Trade



Roman collared slaves, marble relief, Smyrna (present day Izmir, Turkey), 200 A.D., courtesy of the [Ashmolean Museum](#).

Various forms of slavery, servitude, or [coerced human labor](#) existed throughout the world before the development of the trans-Atlantic slave trade in the sixteenth century. As historian [David Eltis](#) explains, “almost all peoples have been both slaves and slaveholders at some point in their histories.” Still, earlier coerced labor systems in the Atlantic World generally differed, in terms of scale, legal status, and racial definitions, from the trans-Atlantic

chattel slavery system that developed and shaped New World societies from the sixteenth to the nineteenth centuries.

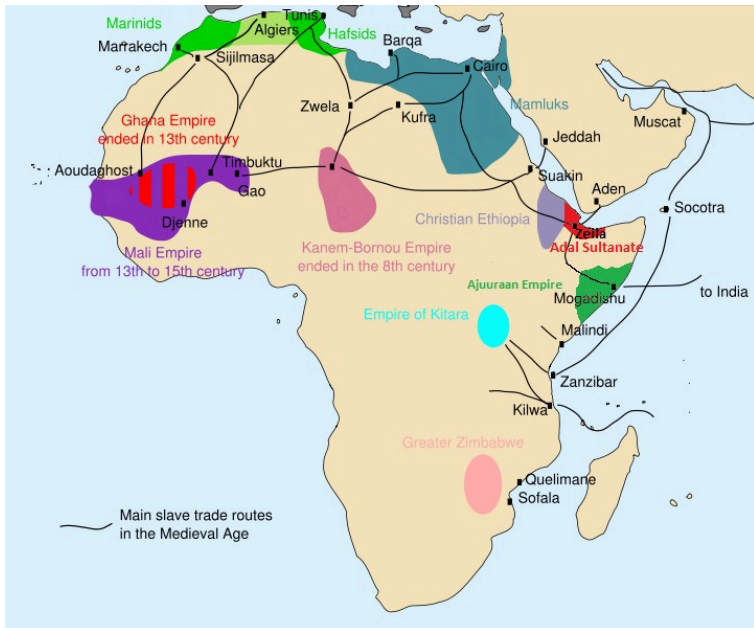


[Mansa Musa](#) in [Catalan Atlas](#), drawn by Abraham Cresques of Mallorca, 1375, courtesy of the [British Library](#). Mansa Musa was the African ruler of the [Mali Empire](#) in the 14th century. When Mansa Musa, a Muslim, took a pilgrimage to Mecca in 1324 he reportedly brought a procession of 60,000 men and 12,000 slaves.

SLAVERY IN WEST AND CENTRAL AFRICA

Slavery was prevalent in many [West](#) and [Central African](#) societies before and during the trans-Atlantic slave trade. When diverse African empires, small to medium-sized nations, or kinship groups came into conflict for various political and economic reasons, individuals from one African group regularly enslaved captives from another group because they viewed them as outsiders. The rulers of these slaveholding societies could then exert power over these captives as prisoners of war for labor needs, to expand their kinship group or nation, influence and disseminate spiritual beliefs, or

potentially to trade for economic gain. Though shared African ethnic identities such as [Yoruba](#) or [Mandinka](#) may have been influential in this context, the concept of a unified black racial identity, or of individual freedoms and labor rights, were not yet meaningful.



Map of [Main slave trade routes in Medieval Africa](#) before the development of the trans-Atlantic slave trade, 2012.

West and Central African elites and royalty from slaveholding societies even relied on their kinship group, ranging from family members to slaves, to secure and maintain their wealth and status. By controlling the rights of their kinship group, western and central African elites owned the products of their labor. In contrast, before the trans-Atlantic trade, western European elites focused on owning land as private property to secure their wealth. These elites held rights to the products produced on their land through various labor systems, rather than owning the laborers as chattel property.

In contrast, land in rural western and central African regions (outside of densely populated or riverine areas) was often open to cultivation, rather than divided into individual landholdings, so controlling labor was a greater priority. The end result in both regional systems was that elites controlled the profits generated from products cultivated through laborers and land. The different emphasis on what or whom they owned to guarantee rights over these profits shaped the role of slavery in these regions before the trans-Atlantic trade.

Scholars also argue that West Africa featured several politically decentralized, or stateless, societies. In such societies the village, or a confederation of villages, was the largest political unit. A range of positions of authority existed within these villages, but no one person or group claimed the positions of ruler or monarchy. According to historian [Walter Hawthorne](#), in this context, government worked through group consensus. In addition, many of these small-scale, decentralized societies rejected slaveholding.

As the trans-Atlantic slave trade with Europeans expanded from the sixteenth to nineteenth centuries, however, both non-slaveholding and slaveholding West and Central African societies experienced the pressures of greater demand for enslaved labor. In contrast to the chattel slavery that later developed in the New World, an enslaved person in West and Central Africa lived within a more flexible kinship group system. Anyone considered a slave in this region before the trans-Atlantic trade had a greater chance of becoming free within a lifetime; legal rights were generally not defined by racial categories; and an enslaved person was not always permanently separated from biological family networks or familiar home landscapes.

The rise of [plantation agriculture](#) as central to Atlantic World economies from the sixteenth to nineteenth centuries led to a generally more extreme system of chattel slavery. In this system, human beings became movable commodities bought and sold in mass numbers across significant geographic distances, and their status could be shaped by concepts of racial inferiority and passed

on to their descendants. New World plantations also generally required greater levels of exertion than earlier labor systems, so that slaveholders could produce a profit within competitive trans-Atlantic markets.



Pyramid ruins in [Yaxzhilan](#), an ancient Mayan city in Chiapas, Mexico, 2005. [Maya](#) was a hierarchical Mesoamerican civilization established ca. 1500-2000 BC. The Mayan social hierarchy included captive or tribute laborers who helped build structures such as pyramids.

SLAVERY IN THE AMERICAS

In the centuries before the arrival of European explorers, diverse American Indian groups lived in a wide range of social structures. Many of these socio-political structures included different forms of slavery or coerced labor, based on enslaving prisoners of war between [conflicting groups](#), enforcing slavery within the class hierarchy of an empire, or forced tribute payments of goods or labor to demonstrate submission to a leader. However, like West and Central African slavery, American Indian slavery generally functioned within a more fluid kinship system in contrast to what later developed in the New World.

Ultimately, the practice of slavery as an oppressive and exploitative labor system was prevalent in both Western Africa and

the Americas long before the influence of Europeans. Still, the factors that defined the social, political, and economic purposes and scale of slavery significantly changed, expanded, and intensified with the rise of the trans-Atlantic slave trade and American plantation agriculture launched by European expansion. For these reasons, African and American Indian slavery before the trans-Atlantic trade differed significantly from the chattel slavery systems that would later develop in the Atlantic World.



“>

Greek slave presenting infant to its mother, vase, Eretria, Ancient Greece, 470-460 B.C., courtesy of the [National Archaeological Museum](#).



Serfs in [feudal England](#), on a calendar page for August, Queen Mary's Psalter, ca. 1310, courtesy of the [British Library Manuscripts Online Catalogue](#).

THE DECLINE OF SLAVERY IN WESTERN EUROPE

In contrast to other Atlantic World regions, slavery was not prevalent in Western Europe in the centuries before the trans-Atlantic slave trade. Instead, labor contracts, convict labor, and [serfdom](#) prevailed. This had not always been the case. During the [Roman Empire](#) and into the early Middle Ages, enslaved Europeans could be found in every region of this subcontinent. After the Roman Empire collapsed (starting in 400 A.D. in northern Europe), the practice of individual Europeans owning other Europeans as chattel property began to decline.

As described in the following sections, this decline occurred due to unique religious, geographic, and political circumstances in Western Europe. By 1200, chattel slavery had all but disappeared from northwestern Europe. Southern Europeans along the Mediterranean coast continued to purchase slaves from various parts of Eastern Europe, Asia, the Middle East, and Africa. In Lisbon, for example, African slaves comprised one tenth of the population in the 1460s. Overall, however, the slave trade into southern Europe was relatively small compared to what later developed in the New World.

After the fall of the Roman Empire, western European elites began to focus on acquiring and controlling land, and the goods produced on the land they owned, rather than controlling laborers through

slavery to accumulate goods. The European labor systems that began to replace slavery should not be confused with modern free labor, but serfdom, convict labor, and contract systems did grant workers access to rights that were denied to slaves. For example, European serfs were bound to work for the lord of a manor, but in return the lord provided protection and land that serfs could farm for their own subsistence. While serfs did not own the land they worked, they could not be sold away from it like chattel slaves. Instead, serfs were bound to whichever lord currently owned the manor. By the fourteenth and fifteenth centuries, serfdom declined in Western Europe due to population changes and economic shifts resulting from the [Black Death](#). Hiring contract laborers became more profitable for landowners in Western Europe and as a result, European laborers gained greater control over their own labor and mobility.

23. A Brief Overview of Trans-Atlantic Slave Trade

Introduction

The trans-Atlantic slave trade was the largest long-distance coerced movement of people in history and, prior to the mid-nineteenth century, formed the major demographic well-spring for the re-peopling of the Americas following the collapse of the Amerindian population. Cumulatively, as late as 1820, nearly four Africans had crossed the Atlantic for every European, and, given the differences in the sex ratios between European and African migrant streams, about four out of every five females that traversed the Atlantic were from Africa. From the late fifteenth century, the Atlantic Ocean, once a formidable barrier that prevented regular interaction between those peoples inhabiting the four continents it touched, became a commercial highway that integrated the histories of Africa, Europe, and the Americas for the first time. As the above figures suggest, slavery and the slave trade were the linchpins of this process. With the decline of the Amerindian population, labor from Africa formed the basis of the exploitation of the gold and agricultural resources of the export sectors of the Americas, with sugar plantations absorbing well over two thirds of slaves carried across the Atlantic by the major European and Euro-American powers. For several centuries slaves were the most important reason for contact between Europeans and Africans.

What can explain this extraordinary migration, organized initially on a continent where the institution of slavery had declined or totally disappeared in the centuries prior to Columbian contact, and where, even when it had existed, slavery had never been confined to one group of people? To pose the question differently, why slavery,

and why were the slaves carried across the Atlantic exclusively African? The short answer to the first of these two questions is that European expansion to the Americas was to mainly tropical and semi-tropical areas. Several products that were either unknown to Europeans (like tobacco), or occupied a luxury niche in pre-expansion European tastes (like gold or sugar), now fell within the capacity of Europeans to produce more abundantly. But while Europeans could control the production of such exotic goods, it became apparent in the first two centuries after Columbian contact that they chose not to supply the labor that would make such output possible. Free European migrants and indentured servants never traveled across the Atlantic in sufficient numbers to meet the labor needs of expanding plantations. Convicts and prisoners – the only Europeans who were ever forced to migrate – were much fewer in numbers again. Slavery or some form of coerced labor was the only possible option if European consumers were to gain access to more tropical produce and precious metals.

The Enslavement of Africans

But why were the slaves always African? One possible answer draws on the different values of societies around the Atlantic and, more particularly, the way groups of people involved in creating a trans-Atlantic community saw themselves in relation to others – in short, how they defined their identity. Ocean-going technology brought Europeans into large-scale face-to-face contact with peoples who were culturally and physically more different from themselves than any others with whom they had interacted in the previous millennium. In neither Africa nor Asia could Europeans initially threaten territorial control, with the single and limited exception of western Angola. African capacity to resist Europeans ensured that sugar plantations were established in the Americas rather than in Africa. But if Africans, aided by tropical pathogens, were able

to resist the potential invaders, some Africans were prepared to sell slaves to Europeans for use in the Americas. As this suggests, European domination of Amerindians was complete. Indeed, from the European perspective it was much too complete. The epidemiological impact of the Old World destroyed not only native American societies, but also a potential labor supply.

Every society in history before 1900 provided at least an unthinking answer to the question of which groups are to be considered eligible for enslavement, and normally they did not recruit heavily from their own community. A revolution in ocean-going technology gave Europeans the ability to get continuous access to remote peoples and move them against their will over very long distances. Strikingly, it was much cheaper to obtain slaves in Europe than to send a vessel to an epidemiologically coast in Africa without proper harbors and remote from European political, financial, and military power. That this option was never seriously considered suggests a European inability to enslave other Europeans. Except for a few social deviants, neither Africans nor Europeans would enslave members of their own societies, but in the early modern period, Africans had a somewhat narrower conception of who was eligible for enslavement than had Europeans. It was this difference in definitions of eligibility for enslavement which explains the dramatic rise of the trans-Atlantic slave trade. Slavery, which had disappeared from northwest Europe long before this point, exploded into a far greater significance and intensity than it had possessed at any point in human history. The major cause was a dissonance in African and European ideas of eligibility for enslavement at the root of which lies culture or societal norms, not easily tied to economics. Without this dissonance, there would have been no African slavery in the Americas. The slave trade was thus a product of differing constructions of social identity and the ocean-going technology that brought Atlantic societies into sudden contact with each other.

The trans-Atlantic slave trade therefore grew from a strong demand for labor in the Americas, driven by consumers of

plantation produce and precious metals, initially in Europe. Because Amerindians died in large numbers, and insufficient numbers of Europeans were prepared to cross the Atlantic, the form that this demand took was shaped by conceptions of social identity on four continents, which ensured that the labor would comprise mainly slaves from Africa. But the central question of which peoples from Africa went to a given region of the Americas, and which group of Europeans or their descendants organized such a movement cannot be answered without an understanding of the wind and ocean currents of the North and South Atlantics. There are two systems of wind and ocean currents in the North and South Atlantic that follow the pattern of [giant wheels](#) – one lies north of the equator turns clockwise, while its counterpart to the south turns counterclockwise. The northern wheel largely shaped the north European slave trade and was dominated by the English. The southern wheel shaped the huge traffic to Brazil which for three centuries was almost the almost exclusive preserve of the largest slave traders of all, the Portuguese.⁽¹⁾ Despite their use of the Portuguese flag, slave traders using the southern wheel ran their business from ports in Brazil, not in Portugal. Winds and currents thus ensured two major slave trades – the first rooted in Europe, the second in Brazil. Winds and currents also ensured that Africans carried to Brazil came overwhelmingly from Angola, with south-east Africa and the Bight of Benin playing smaller roles, and that Africans carried to North America, including the Caribbean, left from mainly West Africa, with the Bights of Biafra and Benin and the Gold Coast predominating. Just as Brazil overlapped on the northern system by drawing on the Bight of Benin, the English, French, and Dutch carried some slaves from northern Angola into the Caribbean.

African Agency and Resistance

If demand for slave-grown produce, social identity, and the Atlantic

environment were three key factors shaping the traffic, the agency of Africans comprised a fourth major influence, but one which has received less attention from historians. The merchants who traded slaves on the coast to European ship captains – for example the Vili traders north of the Congo, the Efik in the Bight of Biafra – and behind them the groups that supplied the slaves, such as the Kingdom of Dahomey, the Aro network, and further south, the Imbangala, all had strict conceptions of what made an individual eligible for enslavement. Among such criteria were constructions of gender, definitions of criminal behavior, and conventions for dealing with prisoners of war. The make up of slaves purchased on the Atlantic coast thus reflected whom Africans were prepared to sell as much as whom Euro-American plantation owners wanted to buy. But the victims of the slave trade also had a major impact on the trade. Probably about one in ten slaving voyages experienced major rebellions, of which the attempts to control increased the costs of a slave voyage to the point where far fewer slaves entered the traffic than would have been the case without resistance. In addition, vessels from some regions on the coast appear to have been more prone to experience slave uprisings than those from other regions. The rebellion-prone areas were precisely those regions, broadly comprising Upper Guinea (Senegambia, Sierra Leone, and the Windward Coast) which had the least participation in the slave trade. The strong inference is that European slave traders avoided this part of the African coast except in those years when demand for slaves, and their prices, were particularly high.

Early Slaving Voyages

With the key forces shaping the traffic briefly described, we can now turn to a short narrative of the slave trade. The first Africans forced to work in the New World left from Europe at the beginning of the sixteenth century, not from Africa. There were few vessels

that carried only slaves on this early route, so that most would have crossed the Atlantic in smaller groups on vessels carrying many other commodities, rather than dedicated slave ships. Such a slave route was possible because an extensive traffic in African slaves from Africa to Europe and the Atlantic islands had existed for half a century before Columbian contact, such that ten percent of the population of Lisbon was black in 1455,(2) and black slaves were common on large estates in the Portuguese Algarve. The [first slave voyage](#) direct from Africa to the Americas probably sailed in 1526. Before mid-century, all trans-Atlantic slave ships sold their slaves in the Spanish Caribbean, with the gold mines in Cibao on Hispaniola emerging as a major purchaser. [Cartagena](#), in modern Columbia, appears as the first mainland Spanish American destination for a slave vessel – in the year 1549. On the African side, the great majority of people entering the early slave trade came from the Upper Guinea coast, and moved through Portuguese factories initially in Arguim, and later the Cape Verde islands. Nevertheless, the 1526 voyage set out from the other major Portuguese factory in West Africa – Sao Tome in the Bight of Biafra – though the slaves almost certainly originated in the Congo.

The slave traffic to Brazil, eventually accounting for about forty percent of the trade, got underway around 1560. Sugar drove this traffic, as Africans gradually replaced the Amerindian labor force on which the early sugar mills (called *engenhos*) had drawn over the period 1560 to 1620. By the time the Dutch invaded Brazil in 1630, Pernambuco, Bahia, and Rio de Janeiro were supplying almost all of the sugar consumed in Europe, and almost all the slaves producing it were African. Consistent with the earlier discussion of Atlantic wind and ocean currents, there were by 1640 two major branches of the trans-Atlantic slave trade operating, one to Brazil, and the other to the mainland Spanish Americas, but together they accounted for less 7,500 departures a year from the whole of sub-Saharan Africa, almost all of them by 1600 from west-central Africa. The sugar complex spread to the eastern Caribbean from the beginning of the 1640s. Sugar consumption steadily increased in Europe, and

the slave system began [two centuries of westward expansion](#) across tropical and sub-tropical North America. At the end of the seventeenth century, gold discoveries in first Minas Gerais, and later in Goias and other parts of Brazil, began a transformation of the slave trade which triggered further expansion of the business. In Africa, the Bights of Benin and Biafra became major sources of supply, in addition to Angola, and were joined later by the more marginal provenance zones of Sierra Leone, the Windward Coast, and South-east Africa. The volume of slaves carried off reached thirty thousand per annum in the 1690s and eighty-five thousand a century later. More than eight out of ten Africans pulled into the traffic in the era of the slave trade made their journeys in the century and a half after 1700.

Empire and Slavery

In the second half of the eighteenth century six imperial systems straddled the Atlantic each one sustained by a slave trade. The English, French, Portuguese, Spanish, Dutch, and Danish all operated behind trade barriers (termed mercantilistic restrictions) and produced a range of plantation produce – sugar, rice, indigo, coffee, tobacco, alcohol, and some precious metals – though with sugar usually the most valuable. It is extraordinary that consumers' pursuit of this limited range of exotic consumer goods, which collectively added so little to human welfare, could have generated for so long the horrors and misery of the Middle Passage and plantation slavery. Given the dominance of Portuguese and British slave traders, it is not surprising that Brazil and the British Americas received the most Africans, though both nations became adept at supplying foreign slave systems as well. Throughout the slave trade, more than seven out of every ten slaves went to these regions. The French Americas imported about half the slaves that the British did, with the majority going to Saint-Domingue. The Spanish flag, which

dominated in the earliest phase of the trade before retreating in the face of competition, began to expand again in the late nineteenth century with the growth of the Cuban sugar economy.

Yet, in the next century – between 1750 and 1850 – every one of these empires had either disappeared or become severely truncated. A massive shift to freer trade meant that instead of six plantation empires controlled from Europe, there were now only three plantation complexes, two of which—Brazil and the United States—were independent, and the third, Cuba, was far wealthier and more dynamic than its European owner. Extreme specialization now saw the United States producing most of the world's cotton, Cuba most of the world's sugar, and Brazil with a similar dominance in coffee. Slaves thus might disembark in six separate jurisdictions in the Americas in the eighteenth century, but by 1850 they went overwhelmingly to only two areas, Brazil and Cuba, given that American cotton planters drew on Africa for almost none of their labor needs, relying instead on natural population growth and a domestic slave trade. Indeed, overall the United States absorbed only 5 percent of the slaves arriving in the Americas. This massive reorganization of the traffic and the rapid natural growth of the US slave population had little immediate impact on the size of the slave trade. The British, Americans, Danish, and Dutch dropped out of the slave trade, but the decade 1821 to 1830 still saw over 80,000 people a year leaving Africa in slave ships. Well over a million more – one tenth of the volume carried off in the slave trade era – followed in the next twenty years.

The African Side of the Trade

On the African side, the sheer human and environmental diversity of the continent makes it difficult to examine the trade from Africa as a whole. The slave trade did not expand, nor, indeed, decline, in all areas of Africa at the same time. Rather, a series of marked

expansions (and declines) in individual regions contributed to a more gradual composite trend for sub-Saharan Africa as a whole. Each region that exported slaves experienced a marked upswing in the amount of slaves it supplied for the trans-Atlantic trade and, from that point, the normal pattern was for a region to continue to export large numbers of slaves for a century or more. The three regions that provided the fewest slaves – Senegambia, Sierra Leone, the Windward Coast – reached these higher levels for much shorter periods.

By the third quarter of the eighteenth century, all regions had undergone an intense expansion of slave exports. A cargo of slaves could be sought at particular points along the entire Western African coast. As the Brazilian coffee and sugar boom got under way near the end of the eighteenth century, slavers rounded the Cape of Good Hope and traveled as far as southeast Africa to fill their vessels' holds. But while the slave trade pervaded much of the African coast, its focus was no less concentrated in particular African regions than it was among European carriers. West Central Africa, the long stretch of coast south of Cape Lopez and stretching to Benguela, sent more slaves than any other part of Africa every quarter century with the exception of a fifty-year period between 1676 and 1725. From 1751 to 1850, this region supplied nearly half of the entire African labor force in the Americas; in the half century after 1800, West Central Africa sent more slaves than all of the other African regions combined. Overall, the center of gravity of the volume of the trade was located in West Central Africa by 1600. It then shifted northward slowly until about 1730, before gradually returning to its starting point by the mid-nineteenth century.

Further, slaves left from relatively few ports of embarkation within each African region, even though their origins and ethnicities could be highly diverse. Although Whydah, on the Slave Coast, was once considered the busiest African slaving port on the continent, it now appears that it was surpassed by Luanda, in West Central Africa, and by Bonny, in the Bight of Biafra. Luanda alone dispatched some 1.3 million slaves, and these three most active ports together

accounted for 2.2 million slave departures. The trade from each of these ports assumed a unique character and followed very different temporal profiles. Luanda actively participated in the slave trade from as early as the 1570s, when the Portuguese established a foothold there, through the nineteenth century. Whydah supplied slaves over a shorter period, for about two centuries, and was a dominant port for only thirty years prior to 1727. Bonny, probably the second largest point of embarkation in Africa, sent four out of every five of all the slaves it ever exported in just the eighty years between 1760 and 1840. It is not surprising, therefore, that some systematic links between Africa and the Americas can be perceived. As research on the issue of trans-Atlantic connections has progressed, it has become clear that the distribution of Africans in the New World is no more random than the distribution of Europeans. Eighty percent of the slaves who went to southeast Brazil were taken from West Central Africa. Bahia traded in similar proportions with the Bight of Benin. Cuba represents the other extreme: no African region supplied more than 28 percent of the slave population in this region. Most American import regions fell between these examples, drawing on a mix of coastal regions that diversified as the trade from Africa grew to incorporate new peoples.

The Middle Passage

Whatever the route taken, conditions on board reflected the outsider status of those held below deck. No European, whether convict, indentured servant, or destitute free migrant, was ever subjected to the environment which greeted the typical African slave upon embarkation. The sexes were separated, kept naked, packed close together, and the men were chained for long periods. No less than 26 percent of those on board were classed as children, a ratio that no other pre-twentieth century migration could come close to matching. Except for the illegal period of the trade when

conditions at times became even worse, slave traders typically packed two slaves per ton. While a few voyages sailing from Upper Guinea could make a passage to the Americas in three weeks, the average duration from all regions of Africa was just over two months. Most of the space on a slave ship was absorbed by casks of water. Crowded vessels sailing to the Caribbean from West Africa first had to sail south before turning north-west and passing through the doldrums. In the nineteenth century, improvements in sailing technology eventually cut the time in half, but mortality remained high in this period because of the illegal nature of the business. Throughout the slave trade era, filthy conditions ensured endemic gastro-intestinal diseases, and a range of epidemic pathogens that, together with periodic breakouts of violent resistance, meant that between 12 and 13 percent of those embarked did not survive the voyage. Modal mortality fell well below mean mortality as catastrophes on a relatively few voyages drove up average shipboard deaths. Crew mortality as a percentage of those going on board, matched slave mortality over the course of the voyage, but as slaves were there for a shorter period of time than the crew, mortality rates for slaves (over time) were the more severe. The eighteenth-century world was violent and life-expectancy was short everywhere given that the global mortality revolution was still over the horizon, but the human misery quotient generated by the forced movement of millions of people in slave ships cannot have been matched by any other human activity.

The Ending of the Slave Trade

When the trans-Atlantic slave trade came to an end, it did so rather suddenly. When Brazilian authorities began arresting slave ships at the end of 1850, the volume of the traffic of the traffic slipped back to levels not seen for two centuries, and the last trans-Atlantic slave expedition – to Cuba and probably from the Congo River

- completed its voyage in 1867. For the last two decades of the traffic, only the Bight of Benin and the Congo region were heavily engaged in the trade. Nevertheless, over the whole period of the trade, some 12.5 million slaves had been shipped from Africa, and 10.7 million had arrived in the Americas, likely the most costly in human life of all of long-distance global migrations. Why the rather sudden end to a business which, despite its high morbidity and mortality, had been seen as no different from any other until the late eighteenth century? This is a very large question which it would be presumptuous to attempt to answer here given the massive literature on the topic. One point is clear, the traffic did not fade away; rather, it was suppressed at a time when the prices of slaves were rising to levels that had never previously attained. The economic imperatives clearly pointed to a continuation of the trade and without attempts to suppress it, the majority of the millions of people who crossed the Atlantic between 1820 and 1920 might well have been African rather than European, and enslaved rather than free. As it was, by the 1850s, for most in the Atlantic world, the slave trade had become a despised and illegal traffic. By the 1840s, the British had committed ten percent of their naval resources to suppressing the trade; a scant half century earlier they were the leading slave trading nation.

One contributing factor to this shift is an extension of an argument made earlier in this essay. In one sense, abolition was a shift in conceptions of who was eligible for enslavement. The definition of eligibility had certainly included other Europeans prior to the thirteenth century, as a thriving slave trade within Europe saw people from the North captured by other Europeans and carried for sale in the South, many, ultimately, to the prosperous Islamic areas. This situation was little different from what existed in Africa, but, as already noted, by the time of Columbian contact, eligibility had come to exclude other Europeans. Africa was a much larger land mass and home to human populations of more diversity than could be found in any other area of similar size on the globe. It is not surprising that Africans did not have a continent-wide

conception of insidership – that is, peoples whom one could not enslave. In one sense, the massive and unprecedented flow of racially-exclusive coerced labor across the Atlantic is perhaps the result of the differential pace in the evolution of a cultural pan-Europeanness on the one hand, and a pan-Africanism on the other. An interlude of two or three centuries between the former and the latter provided a window of opportunity in which the slave trade rose and fell dramatically. For four centuries from the mid-fifteenth century to 1867, Europeans were not prepared to enslave each other, but were prepared to buy Africans and keep them and their descendants enslaved. Given that “Africa” scarcely existed as a concept for Africans in any sense before the nineteenth century, most people living in the sub-continent south of the Sahara (as in Europe) were prepared to enslave others from adjacent or distant societies. The corollary of this is that all peoples in history – even the most energetic of slave traders – have had strict definitions of eligibility – and thus ineligibility. “Ineligibility” implies that some basis for abolition has always existed. Between the fifteenth and nineteenth centuries, Europe and Africa simply had different conceptions of the peoples for whom slavery (and the slave trade) were inappropriate.

The Trade’s Influence on Ethnic and Racial Identity

In the Atlantic after 1492, oceans that had hermetically sealed peoples and cultures from each other sprouted sea-lanes almost overnight. Cultural accommodation between peoples, in this case between Europeans and non-Europeans, always took time. The big difference was that before Columbus, migrations had been gradual and tended to move outwards from the more to the less densely populated parts of the globe. But Columbian contact was sudden, and inhibited any gradual adjustment, cultural as well as

epidemiological. A merging of perceptions of right and wrong, group identities, and relations between the sexes, to look only at the top of a very long list of social values, could not be expected to occur quickly in a post-Columbian world. In short, cultural adjustment could not keep pace with transportation technology. The result was first the rise, and then, as perceptions of the insider-outsider divide slowly changed, the fall, of the trans-Atlantic trade in enslaved Africans.

During the long coercive interlude of forced trans-Atlantic migration European and African conceptions of self and community (and eligibility for enslavement) did not remain static. On the African side, the major effect of the African-European exchange was to encourage an elementary pan-Africanism, at least among victims. The initial and unintentional impact of European sea-borne contact was to force non-elite Africans to think of themselves as part of a wider African group. Initially, this group might be Igbo, or Yoruba, and soon, in addition, blacks as opposed to whites. At the most elemental level, by the late eighteenth century, the slaves at James Island vowed to drink the blood of the whitemen. In Gorée, a little later, one third of the slaves in a carefully planned conspiracy, “would go in the village and be dispersed to massacre the whites”. When asked “[w]hether it were true that they had planned to massacre all the whites of the island...[t]he two leaders, far from denying the fact or looking for prevarication, answered with boldness and courage: that nothing was truer”.⁽³⁾ Many similar incidents could be cited from the Americas side of the Atlantic. And on board a slave ship with all the slaves always black, and the crew largely white, skin color defined ethnicity.

Eventual Abolition

Awareness of the insider-outsider divide within Europe coincided with the onset of the struggle to suppress first the slave trade, and

then slavery itself. Early in the British campaign to suppress the slave trade, Charles James Fox, a British statesman, posed a question for the House of Commons that he described as “the foundation for the whole business.” How would members of Parliament react, he asked, if “a Bristol ship were to go to any part of France...and the democrats (there) were to sell the aristocrats, or vice versa, to be carried off to Jamaica....to be sold for slaves?” The very posing of this question – and this is the earliest documented example from someone close to power – meant that the issue was not whether the system was to be questioned, but rather, when it would end. In the same year, the Danes passed legislation ensuring their own slave trade would become illegal in 1802. In 1807, the British and US governments made the trade illegal. Beginning in 1810, the British established a network of treaties that allowed their naval vessels to detain the slave ships of other nations. The decisive actions against the traffic nevertheless did not come until the mid 1840s and again in 1851, when the Cuban and Brazilian governments respectively took serious action against the slave trade. In effect, the traffic could be halted only by the intervention of the governments of regions that were either exporting or importing slaves; it could not be halted by naval action alone. Nevertheless, naval intervention did result in the capture of nearly 2,000 slave vessels after 1808. Only 544 of these had slaves on board at the time of capture, but their 125,000 captives (or strictly, re-captives) were diverted from the sugar and coffee plantations for which they were intended, and for the most part ended their lives with choices they did not have prior to their re-capture.

Between the 1840s and 1850s, the traffic declined from an average of 50,000 a year to 16,000, and after 1860, to half this. It was carried on under the Spanish and Portuguese flags, and sometimes under no flag at all. By now all governments were cooperating to suppress the traffic. From one perspective, the slave trade dragged on for many decades after the first action was taken against it in 1792. From another, it disappeared in less than a century after millennia during which slavery and slave trading had been regarded as normal

as growing food. Not surprisingly, a few decades beyond 1867 saw other (though much smaller) varieties of long-distance movement of coerced labor disappear as well. The flow of contract laborers from Asia to the Americas ended in 1917; the last convict dispatched to exile in the Americas returned from Devil's Island to France in 1952. Notwithstanding the horrors of forced labor of the twentieth century and the ongoing smuggling of illegal laborers into developed countries, often under terms of debt slavery, it is inconceivable that a slave traffic could reappear as a central social institution.

Notes

1 The Portuguese delivered slaves through two separate trading networks, one rooted in the Iberian Peninsula that supplied the early Spanish Americas and Amazonia, and a second, much larger, network based in Brazil, which brought slaves directly from Africa to northeast Brazil and Rio de Janeiro. See Daniel B. Domingues da Silva, "The Atlantic Slave Trade to Maranhão, 1680-1846: Volume, Routes and Organization," and *Abolition* (forthcoming).

2 A.C. de C. M. Saunders, *A Social History of Black Slaves and Freedmen in Portugal, 1441-1555*, (New York: Cambridge University Press, 1982), 59.

3 For the full account, see Antione Edme Pruneau de Pommegorge, *Description de la Nigritie*, (Paris: Chez Maradan, 1789), 104-118.

24. The TransAtlantic Slave Trade

2.5.3 The Transatlantic Slave Trade

2.5.3 The Transatlantic Slave Trade

The Portuguese first traded for African slaves in 1441. They did not create the slave trade; Africans had held slaves and traded them long before the Europeans entered the market. African peoples throughout West Africa took captives in warfare and kept slaves as a means of incorporating foreigners into the society. African slavery therefore differed greatly from the European norms of slavery that became established in the New World. For instance, slaves in Africa were not property; they retained some rights as a person and as an individual. The condition of slavery was not inherited; if a slave had children, then the children were born free. Moreover, the condition of slavery might not last an entire lifetime but instead a period of years.

The Trans-Atlantic slave trade emerged with the colonization of the New World. As the need for labor grew, so too did the trade. At first, some Europeans tried to use force in acquiring slaves, but this method proved impracticable on any scale. The only workable method was acquiring slaves through trade with Africans, since they controlled all trade into the interior. Typically, Europeans were restricted to trading posts, or feitorias, along the coast. Captives were brought to the feitorias, where they were processed as cargo rather than as human beings. Slaves were kept imprisoned in small, crowded rooms, segregated by sex and age, and “fattened up” if they were deemed too small for transport. They were branded to show what merchant purchased them, that taxes had been paid, and even

that they had been baptized as a Christian. The high mortality rate of the slave trade began on the forced march to the feitorias and in a slave's imprisonment within them; the mortality rate continued to climb during the second part of the journey, the Middle Passage.

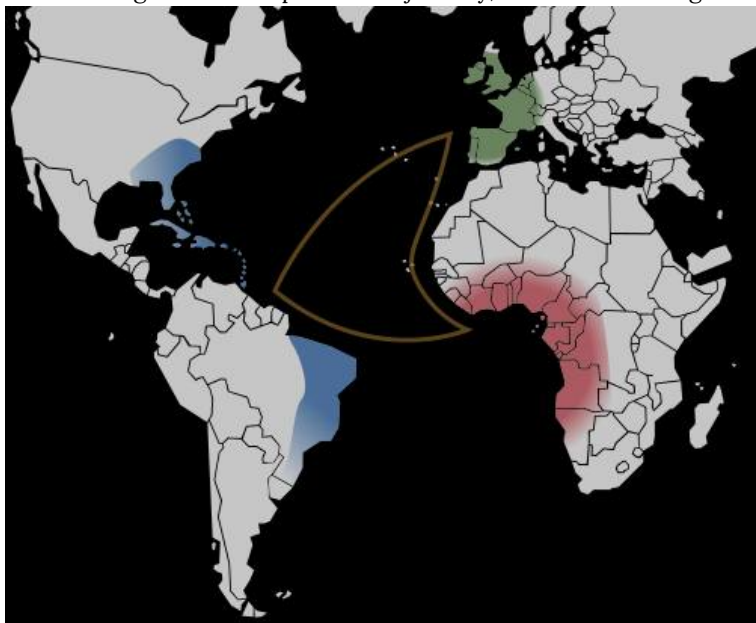


Figure 2.5 Atlantic Triangle Trade |The Triangle Trade linked Europe, Africa, and the Americas as part of a greater Atlantic World.

Author: Jon Chui

Source: Wikimedia Commons

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The Middle Passage, the voyage across the Atlantic from Africa to the Americas, comprised the middle leg of the Atlantic Triangle Trade network, which traded manufactured goods such as beads, mirrors, cloth, and firearms to Africa for slaves. Slaves were then carried to the Americas, where their labor would produce items of the last leg of the Triangle Trade such as sugar, rum, molasses, indigo, cotton, and rice, to name a few. The Middle Passage itself was a hellish experience. Slaves were segregated by sex, often stripped naked, chained together, and kept in extremely tight

quarters for up to twenty-three hours a day; as many as 12-13 percent died during this dehumanizing experience. Although we will likely never know the exact number of people who were enslaved and brought to the Americas, the number is certainly larger than ten million.⁴³ ([Links to an external site.](#))[Links to an external site.](#)

2.5.4 The Kingdom of Dahomey

The Age of Discovery brought many changes to West Africa. In some areas, the slave trade had the effect of breaking down societies. For instance, in the early nineteenth century the great Yoruba confederation of states began to break down due to civil wars. Conflicts escalated as participants sold slaves to acquire European weapons; these weapons were then used to acquire more slaves, thus creating a vicious cycle. Other groups grew and gained power because of their role in the slave trade, perhaps the most prominent being the West African kingdom of Dahomey.

The Kingdom of Dahomey was established in the 1720s. Dahomey was built on the slave trade; kings used profits from the slave trade to acquire guns, which in turn were used to expand their kingdom by conquest and incorporation of smaller kingdoms. Most slaves were acquired either by trade with the interior or by raids into the north and west into Nigeria; Dahomey took advantage of the civil wars among the Yoruba to gain access to a ready source of captives.

European trade agents were kept isolated in the main trade port of Whydah. Only a privileged few were allowed into the interior of the kingdom to have an audience with the king; as a result, only a few contemporary sources describe the kingdom. Like his European counterparts, the king of Dahomey was an absolute monarch, possessing great power in a highly centralized state. All trade with Europeans was a royal monopoly, jealously guarded by the kings. The monarchs never allowed Europeans to deal directly with the people of the kingdom, keeping all profits for the state, and allowing this highly militarized state to grow and expand.

2.5.5 Before You Move On

Key Concepts

On the eve of the sixteenth century, Africa was a continent of

tremendous diversity and home to hundreds of cultures, languages, and political states. Most of the empires of the past two centuries were in decline, though the demand for their goods continued and the city states of East Africa were viable trading depots. The trans-Saharan trade routes, in place since the earliest years of the Common Era, still linked East Africa, West Africa, and the Islamic sultanates in the North. It is not surprising, however, that the various regions in Africa experienced the changes brought by the Age of Discovery in different ways. Western and Central Africa were greatly influenced by the slave trade. The Kingdom of Dahomey provides an example of one of the ways that African groups were influenced by and participated in both the Age of Discovery and the Trans-Atlantic slave trade.

The Trans-Atlantic slave trade was the middle portion of the Atlantic Triangle Trade network. At least ten million Africans were enslaved and forced to make the Middle Passage across the Atlantic to the New World. Mortality rates for the Middle Passage averaged around 12-13 percent.

Test Yourself

1. The region of Africa most directly involved in the Trans-Atlantic slave trade was
 - b. North Africa
 - c. West Africa
 - d. South Africa
 - e. East Africa
2. The Middle Passage was a part of the Indian Ocean trade network.
 - a. True
 - b. False
3. Which of the following empires was not in West Africa?
 - a. Great Zimbabwe
 - b. Ghana
 - c. Mali
 - d. Songhay

4. Much of what we know about the cultures of East Africa comes from the writings of:

- a. Leo Africanus
- b. Sundiata Keita
- c. Mansa Musa
- d. Ibn Battuta

5. The empire of Mali was created by which of the following?

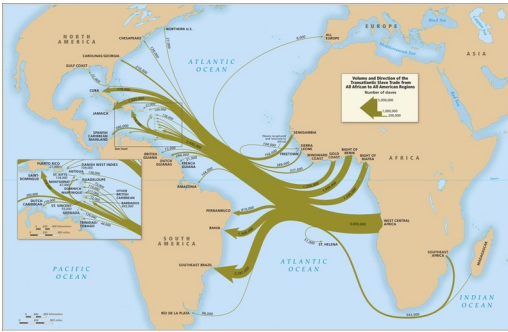
- a. Mansa Musa
- b. Sundiata Kieta
- c. Mansa Suleyman
- d. Leo Africanus

6. The Kingdom of Dahomey controlled the slave trade in their region by

- a. refusing to trade with anyone but the Dutch.
- b. keeping Europeans confined to the port at Whydah.
- c. making European merchants trade with only the king and no others.
- d. B and C.
- e. all of the above.

25. The TransAtlantic Slave Trade (2)

The Trans-Atlantic Slave Trade

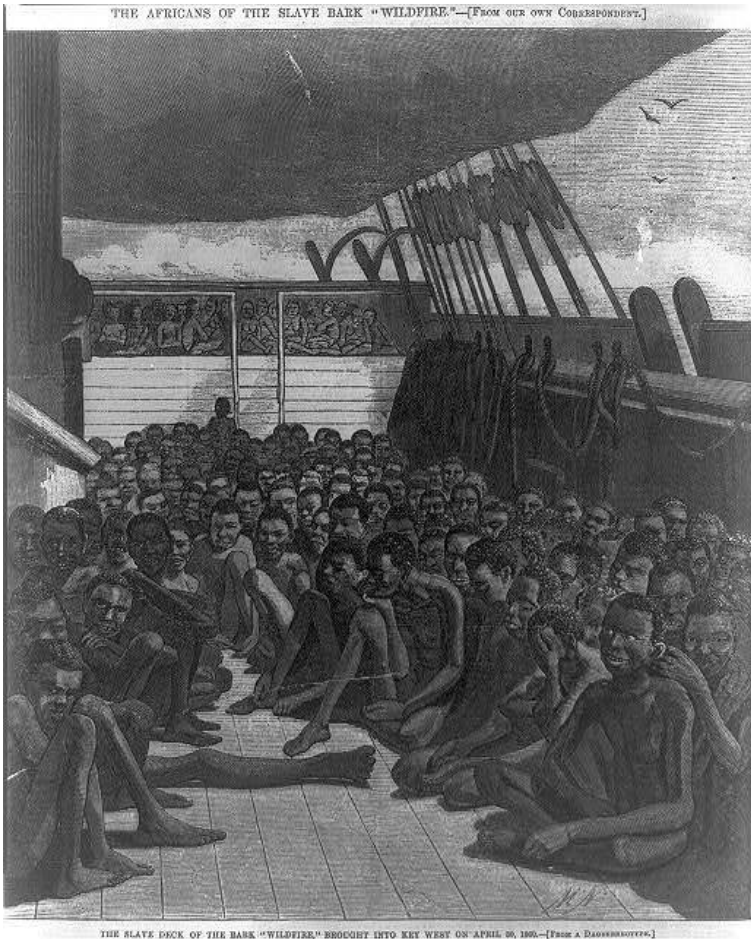


Map of volume and direction of the trans-Atlantic slave trade, [Voyages: The Trans-Atlantic Slave Trade Database](#), courtesy of David Eltis and David Richardson, *Atlas of the Transatlantic Slave Trade*.

The trans-Atlantic slave trade was the largest long-distance forced movement of people in recorded history. From the sixteenth to the late nineteenth centuries, over twelve million (some estimates run as high as fifteen million) African men, women, and children were enslaved, transported to the Americas, and bought and sold primarily by European and Euro-American slaveholders as chattel property used for their labor and skills.

The trans-Atlantic slave trade occurred within a broader system of trade between West and Central Africa, Western Europe, and North and South America. In African ports, European traders exchanged metals, cloth, beads, guns, and ammunition for captive Africans brought to the coast from the African interior, primarily by

African traders. Many captives died just during the long overland journeys from the interior to the coast. European traders then held the enslaved Africans who survived in fortified slave castles such as Elmina in the central region (now Ghana), Goree Island (now in present day Senegal), and [Bunce Island](#) (now in present day Sierra Leone), before forcing them into ships for the [Middle Passage](#) across the Atlantic Ocean.



“>

The [slave deck of the “Wildfire” ship](#) brought into Key West on April 30, 1860, illustration, *Harper’s Weekly*, June 2, 1860, courtesy of the [Library of Congress](#).

Scholars estimate that from ten to nineteen percent of the millions of Africans forced into the Middle Passage across the Atlantic died due to rough conditions on slave ships. Those who arrived at various ports in the Americas were then sold in public auctions or smaller trading venues to plantation owners, merchants, small farmers, prosperous tradesmen, and other slave traders. These traders could then transport slaves many miles further to sell on other Caribbean islands or into the North or South American interior. Predominantly European slaveholders purchased enslaved Africans to provide labor that included domestic service and artisanal trades. The majority, however, provided agricultural labor and skills to produce plantation cash crops for national and international markets. Slaveholders used profits from these exports to expand their landholdings and purchase more enslaved Africans, perpetuating the trans-Atlantic slave trade cycle for centuries, until various European countries and new American nations officially ceased their participation in the trade in the nineteenth century (though [illegal trans-Atlantic slave trading](#) continued even after national and colonial governments issued legal bans).



Large Canoe and Village Scene, possibly Liberia, mid-19th century, courtesy of [University of Virginia Special Collections Library](#). Example of shallow water vessels used in West and Central Africa to counter European attacks and thwart early attempts at mainland colonization.

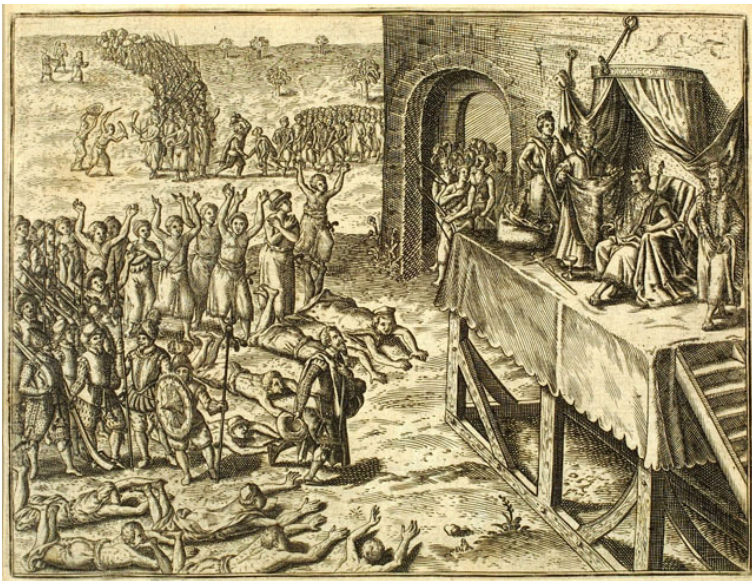
ESTABLISHING THE TRADE

In the fifteenth century, Portugal became the first European nation to take significant part in African slave trading. The Portuguese primarily acquired slaves for labor on Atlantic African island plantations, and later for plantations in Brazil and the Caribbean, though they also sent a small number to Europe. Initially, Portuguese explorers attempted to acquire African labor through direct raids along the coast, but they found that these attacks were costly and often ineffective against West and Central African military strategies.

For example, in 1444, Portuguese marauders arrived in Senegal ready to assault and capture Africans using armor, swords, and deep-sea vessels. But the Portuguese discovered that the

Senegalese out-maneuvered their ships using light, shallow water vessels better suited to the estuaries of the Senegalese coast. In addition, the Senegalese fought with poison arrows that slipped through their armor and decimated the Portuguese soldiers. Subsequently, Portuguese traders generally abandoned direct combat and established commercial relations with West and Central African leaders, who agreed to sell slaves taken from various African wars or domestic trading, as well as gold and other commodities, in exchange for European and North African goods.

Over time, the Portuguese developed additional slave trade partnerships with African leaders along the West and Central African coast and claimed a monopoly over these relationships, which initially limited access to the trade for other western European competitors. Despite Portuguese claims, African leaders enforced their own local laws and customs in negotiating trade relations. Many welcomed additional trade with Europeans from other nations.



[Manikongo](#) (leaders of Kongo) receiving the Portuguese, ca.

pre-1840. The Portuguese developed a trading relationship with the [Kingdom of Kongo](#), which existed from the fourteenth to the nineteenth centuries in what is now Angola and the Democratic Republic of Congo. Civil War within Kongo during the trans-Atlantic slave trade would lead to many of its subjects becoming captives traded to the Portuguese.

When Portuguese, and later their European competitors, found that peaceful commercial relations alone did not generate enough enslaved Africans to fill the growing demands of the trans-Atlantic slave trade, they formed military alliances with certain African groups against their enemies. This encouraged more extensive warfare to produce captives for trading. While European-backed Africans had their own political or economic reasons for fighting with other African enemies, the end result for Europeans traders in these military alliances was greater access to enslaved war captives. To a lesser extent, Europeans also pursued African colonization to secure access to slaves and other goods. For example, the Portuguese colonized portions of Angola in 1571 with the help of military alliances from Kongo, but were pushed out in 1591 by their former allies. Throughout this early period, African leaders and European competitors ultimately prevented these attempts at African colonization from becoming as extensive as in the Americas.

The Portuguese dominated the early trans-Atlantic slave trade on the African coast in the sixteenth century. As a result, other European nations first gained access to enslaved Africans through [privateering](#) during wars with the Portuguese, rather than through direct trade. When English, Dutch, or French privateers captured Portuguese ships during Atlantic maritime conflicts, they often found enslaved Africans on these ships, as well as Atlantic trade goods, and they sent these captives to work in their own colonies.

In this way, privateering generated a market interest in the trans-Atlantic slave trade across European colonies in the Americas. After Portugal temporarily united with Spain in 1580, the Spanish broke

up the Portuguese slave trade monopoly by offering direct slave trading contracts to other European merchants. Known as the [asiento](#) system, the Dutch took advantage of these contracts to compete with the Portuguese and Spanish for direct access to African slave trading, and the British and French eventually followed. By the eighteenth century, when the trans-Atlantic slave trade reached its trafficking peak, the British (followed by the French and Portuguese) had become the largest carriers of enslaved Africans across the Atlantic. The overwhelming majority of enslaved Africans went to plantations in Brazil and the Caribbean, and a smaller percentage went to North America and other parts of South and Central America.



[Elmina Castle](#), or St. George Castle, Gold Coast (present day Ghana), from the Atlas Blaeu van der Hem, 1665-1668. The Portuguese established Elmina on the Gold Coast as a trading settlement in 1482. It eventually became a major slave trading post in the trans-Atlantic slave trade. The Dutch seized the fortress from the Portuguese in 1637.

26. African Participation and Resistance to Trade

African Participation and Resistance to the Trade



Map of West Africa, created by Johann Baptist Homann, 1743.



Mossi horsemen, created by J.W. Buel, 1890. The [Mossi Kingdoms](#) resisted the trans-Saharan slave trade and slave raiding from the Ghana, Mali, and Songhai Empires in West Africa, but with the expansion of the trans-Atlantic slave trade, they became involved in slave trading in the 1800s.

With some early exceptions, Europeans were not able to independently enter the West and Central African interior to capture Africans and force them onto ships to the Americas. Instead, European traders generally relied on a network of African rulers and traders to capture and bring enslaved Africans from various coastal and interior regions to slave castles on the West and Central African coast. Many of these traders acquired captives as a result of military and political conflict, but some also pursued slave trading for profit.

Scholars provide various explanations for why African traders were willing to supply enslaved Africans to Europeans for the trans-Atlantic trade. By the early sixteenth century, slavery already played a major role in some western and central African societies, and contributed to maritime slave trade systems across the [Indian](#)

[Ocean](#) and Mediterranean Sea. Subsequently, some historians argue that Europeans in the Atlantic took advantage of a pre-existing slave trade system in Africa to obtain labor for expanding plantation economies in the Americas. During the development of the trans-Atlantic trade, West and Central Africa consisted of diverse political and social structures, ranging from large empires to small states, and these groups often conflicted over internal politics as well as economic expansion.



[Manillas](#) from Nigeria, commonly used as currency in West Africa during the trans-Atlantic slave trade, particularly by European traders on the coast purchasing enslaved people from African traders.

As noted earlier, though ethnic identities were influential, these groups did not share a common African or black identity. Instead, they saw cultural and ethnic differences (such as [Igbo](#), [Ashanti](#), [Mende](#), and [Fulani](#)) as social divisions. Frequent conflicts between these groups produced captives who could then circulate in the local slave trade system, and eventually the trans-Atlantic slave trade.

Europeans also went to great lengths to influence African traders and leaders to provide enslaved Africans for the trans-Atlantic trade. European traders encouraged African consumer demands for

European goods, formed military alliances to instigate fighting and increase the number of captives, and shifted the location of disembarkation points for the trade along the West and Central African coast to follow African military conflicts. In areas of West and Central Africa where slavery was not prevalent, European demand often expanded the presence of the institution and trade. But European traders still generally worked within terms set by African rulers and traders, who negotiated their own interests in these trading and military alliances.

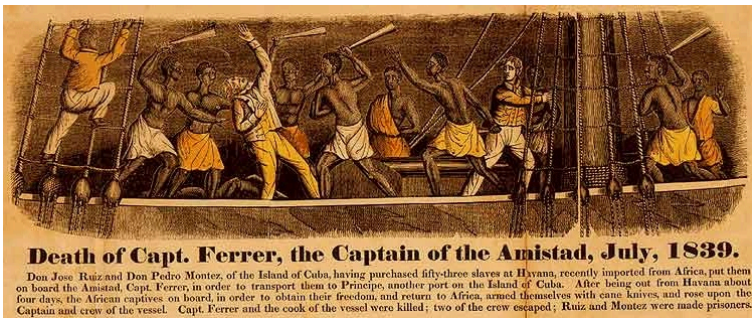


“[Door of No Return](#)” memorial at [The House of Slaves](#), Gorée, Senegal, image taken 2004.

For example, when the profits of the slave trade did not outweigh the loss of local labor caused by the trans-Atlantic trade, African leaders could refuse to supply European demands. Still, the pressures from European consumer interests in African slavery were great, and the social instability that followed military conflicts

inevitably challenged the resources of African groups. Many Africans turned to the trans-Atlantic slave trade to expel their opponents or to garner profits. The population loss and disruptive effects on social, political, military, and labor systems caused by the trans-Atlantic slave trade varied in scale depending on the African region and group. As a result, scholars still debate the long-term impacts of the trans-Atlantic slave trade in West and Central Africa.

Regardless, the suffering of separated families and the experiences of enslavement during the trans-Atlantic trade were universally devastating for victims of the trans-Atlantic slave trade. Throughout the trade, the Africans who were enslaved or threatened with enslavement consistently resisted the dehumanizing confines of this institution. Villages and towns built fortifications and warning systems to prevent attacks from traders or enemy groups. If captured and forced onto ships for the Middle Passage, enslaved Africans resisted by organizing hunger strikes, forming rebellions, and even committing suicide by leaping overboard rather than living in slavery. Scholars believe that roughly one slaving voyage in every ten experienced major rebellions. These rebellions were costly for European traders, and led them to avoid certain regions known for this resistance strategy, such as [Upper Guinea](#), except during periods of high slave trade market demand. This resulted in fewer Africans entering the trans-Atlantic slave trade from these regions, which suggests that African resistance strategies could be effective.



“Death of Capt. Ferrer, the Captain of the Amistad, July 1839,” engraving and frontispiece from John Warner Barber, *A History of the Amistad Captives*, 1840. The rebellion on the slave ship [Amistad](#) in 1839 was one of the most famous in United States history because [the U.S. Supreme Court ruled](#) that the [Mende](#) on board should have their freedom restored.

27. Primary Source: Olaudah Equiano

“Is It Not Enough that We Are Torn From Our Country and Friends?":
Olaudah Equiano Describes the Horrors of the Middle Passage,
1780s

The first object which saluted my eyes when I arrived on the coast, was the sea, and a slave ship, which was then riding at anchor, and waiting for its cargo. These filled me with astonishment, which was soon converted into terror, when I was carried on board. I was immediately handled, and tossed up to see if I were sound, by some of the crew; and I was now persuaded that I had gotten into a world of bad spirits, and that they were going to kill me. Their complexions, too, differing so much from ours, their long hair, and the language they spoke (which was very different from any I had ever heard), united to confirm me in this belief. Indeed, such were the horrors of my views and fears at the moment, that, if ten thousand worlds had been my own, I would have freely parted with them all to have exchanged my condition with that of the meanest slave in my own country. When I looked round the ship too, and saw a large furnace of copper boiling, and a multitude of black people of every description chained together, every one of their countenances expressing dejection and sorrow, I no longer doubted of my fate; and, quite overpowered with horror and anguish, I fell motionless on the deck and fainted. When I recovered a little, I found some black people about me, who I believed were some of those who had brought me on board, and had been receiving their pay; they talked to me in order to cheer me, but all in vain. I asked them if we were not to be eaten by those white men with horrible looks, red faces, and long hair. They told me I was not, and one of the crew brought me a small portion of spirituous liquor in a wine glass; but being afraid of him, I would not take it out of his hand.

One of the blacks therefore took it from him and gave it to me, and I took a little down my palate, which, instead of reviving me, as they thought it would, threw me into the greatest consternation at the strange feeling it produced, having never tasted any such liquor before. Soon after this, the blacks who brought me on board went off, and left me abandoned to despair.

I now saw myself deprived of all chance of returning to my native country, or even the least glimpse of hope of gaining the shore, which I now considered as friendly; and I even wished for my former slavery in preference to my present situation, which was filled with horrors of every kind, still heightened by my ignorance of what I was to undergo. I was not long suffered to indulge my grief; I was soon put down under the decks, and there I received such a salutation in my nostrils as I had never experienced in my life: so that, with the loathsomeness of the stench, and crying together, I became so sick and low that I was not able to eat, nor had I the least desire to taste anything. I now wished for the last friend, Death, to relieve me; but soon, to my grief, two of the white men offered me eatables; and, on my refusing to eat, one of them held me fast by the hands, and laid me across, I think, the windlass, and tied my feet, while the other flogged me severely. I had never experienced anything of this kind before, and, although not being used to the water, I naturally feared that element the first time I saw it, yet, nevertheless, could I have got over the nettings, I would have jumped over the side, but I could not; and besides, the crew used to watch us very closely who were not chained down to the decks, lest we should leap into the water; and I have seen some of these poor African prisoners most severely cut, for attempting to do so, and hourly whipped for not eating. This indeed was often the case with myself.

In a little time after, amongst the poor chained men, I found some of my own nation, which in a small degree gave ease to my mind. I inquired of these what was to be done with us? They gave me to understand, we were to be carried to these white people's country to work for them. I then

was a little revived, and thought, if it were no worse than working, my situation was not so desperate; but still I feared I should be put to death, the white people looked and acted, as I thought, in so savage a manner; for I had never seen among any people such instances of brutal cruelty; and this not only shown towards us blacks, but also to some of the whites themselves. One white man in particular I saw, when we were permitted to be on deck, flogged so unmercifully with a large rope near the foremast, that he died in consequence of it; and they tossed him over the side as they would have done a brute. This made me fear these people the more; and I expected nothing less than to be treated in the same manner. I could not help expressing my fears and apprehensions to some of my countrymen; I asked them if these people had no country, but lived in this hollow place (the ship)? They told me they did not, but came from a distant one. "Then," said I, "how comes it in all our country we never heard of them?" They told me because they lived so very far off. I then asked where were their women? had they any like themselves? I was told they had. "And why," said I, "do we not see them?" They answered, because they were left behind. I asked how the vessel could go? They told me they could not tell; but that there was cloth put upon the masts by the help of the ropes I saw, and then the vessel went on; and the white men had some spell or magic they put in the water when they liked, in order to stop the vessel. I was exceedingly amazed at this account, and really thought they were spirits. I therefore wished much to be from amongst them, for I expected they would sacrifice me; but my wishes were vain — for we were so quartered that it was impossible for any of us to make our escape.

While we stayed on the coast I was mostly on deck; and one day, to my great astonishment, I saw one of these vessels coming in with the sails up. As soon as the whites saw it, they gave a great shout, at which we were amazed; and the more so, as the vessel appeared larger by approaching nearer. At last, she came to an anchor in my sight, and when the anchor was let go, I and my countrymen who saw it, were lost in astonishment to observe the vessel stop—and

were now convinced it was done by magic. Soon after this the other ship got her boats out, and they came on board of us, and the people of both ships seemed very glad to see each other. Several of the strangers also shook hands with us black people, and made motions with their hands, signifying I suppose, we were to go to their country, but we did not understand them.

At last, when the ship we were in, had got in all her cargo, they made ready with many fearful noises, and we were all put under deck, so that we could not see how they managed the vessel. But this disappointment was the least of my sorrow. The stench of the hold while we were on the coast was so intolerably loathsome, that it was dangerous to remain there for any time, and some of us had been permitted to stay on the deck for the fresh air; but now that the whole ship's cargo were confined together, it became absolutely pestilential. The closeness of the place, and the heat of the climate, added to the number in the ship, which was so crowded that each had scarcely room to turn himself, almost suffocated us. This produced copious perspirations, so that the air soon became unfit for respiration, from a variety of loathsome smells, and brought on a sickness among the slaves, of which many died — thus falling victims to the improvident avarice, as I may call it, of their purchasers. This wretched situation was again aggravated by the galling of the chains, now become insupportable, and the filth of the necessary tubs, into which the children often fell, and were almost suffocated. The shrieks of the women, and the groans of the dying, rendered the whole a scene of horror almost inconceivable. Happily perhaps, for myself, I was soon reduced so low here that it was thought necessary to keep me almost always on deck; and

from my extreme youth I was not put in fetters. In this situation I expected every hour to share the fate of my companions, some of whom were almost daily brought upon deck at the point of death, which I began to hope would soon put an end to my miseries. Often did I think many of the inhabitants of the deep much more happy than myself. I envied them the freedom they enjoyed, and as often

wished I could change my condition for theirs. Every circumstance I met with, served only to render my state more painful, and heightened my apprehensions, and my opinion of the cruelty of the whites.

One day they had taken a number of fishes; and when they had killed and satisfied themselves with as many as they thought fit, to our astonishment who were on deck, rather than give any of them to us to eat, as we expected, they tossed the remaining fish into the sea again, although we begged and prayed for some as well as we could, but in vain; and some of my countrymen, being pressed by hunger, took an opportunity, when they thought no one saw them, of trying to get a little privately; but they were discovered, and the attempt procured them some very severe floggings.

One day, when we had a smooth sea and moderate wind, two of my wearied countrymen who were chained together (I was near them at the time), preferring death to such a life of misery, somehow made through the nettings and jumped into the sea; immediately, another quite dejected fellow, who, on account of his illness, was suffered to be out of irons, also followed their example; and I believe many more would very soon have done the same, if they had not been prevented by the ship's crew, who were instantly alarmed. Those of us that were the most active, were in a moment put down under the deck; and there was such a noise and confusion amongst the people of the ship as I never heard before, to stop her, and get the boat out to go after the slaves. However, two of the wretches were drowned, but they got the other, and afterwards flogged him unmercifully, for thus attempting to prefer death to slavery. In this manner we continued to undergo more hardships than I can now relate, hardships which are inseparable from this accursed trade. Many a time we were near suffocation from the want of fresh air, which we were often without for whole days together. This, and the stench of the necessary tubs, carried off many.

During our passage, I first saw flying fishes, which surprised me very much; they used frequently to fly across the ship, and many of them fell on the deck. I also now first saw the use of the quadrant; I

had often with astonishment seen the mariners make observations with it, and I could not think what it meant. They at last took notice of my surprise; and one of them, willing to increase it, as well as to gratify my curiosity, made me one day look through it. The clouds appeared to me to be land, which disappeared as they passed along. This heightened my wonder; and I was now more persuaded than ever, that I was in another world, and that every thing about me was magic.

At last we came in sight of the island of Barbadoes, at which the whites on board gave a great shout, and made many signs of joy to us. We did not know what to think of this; but as the vessel drew nearer, we plainly saw the harbor, and other ships of different kinds and sizes, and we soon anchored amongst them, off Bridgetown. Many merchants and planters now came on board, though it was in the evening. They put us in separate parcels, and examined us attentively. They also made us jump, and pointed to the land, signifying we were to go there. We thought by this,

we should be eaten by these ugly men, as they appeared to us; and, when soon after we were all put down under the deck again, there was much dread and trembling among us, and nothing but bitter cries to be heard all the night from these apprehensions, insomuch, that at last the white people got some old slaves from the land to pacify us. They told us we were not to be eaten, but to work, and were soon to go on land, where we should see many of our country people. This report eased us much. And sure enough, soon after we were landed, there came to us Africans of all languages.

We were conducted immediately to the merchant's yard, where we were all pent up together, like so many sheep in a fold, without regard to sex or age. As every object was new to me, everything I saw filled me with surprise. What struck me first, was, that the houses were built with bricks, in stories, and in every other respect different from those I had seen in Africa; but I was still more astonished on seeing people on horseback. I did not know what this could mean; and, indeed, I thought these people were full of nothing

but magical arts. While I was in this astonishment, one of my fellow prisoners spoke to a countryman of his, about the horses, who said they were the same kind they had in their country. I understood them, though they were from a distant part of Africa; and I thought it odd I had not seen any horses there; but afterwards, when I came to converse with different Africans, I found they had many horses amongst them, and much larger than those I then saw.

We were not many days in the merchant's custody, before we were sold after their usual manner, which is this: On a signal given (as the beat of a drum), the buyers rush at once into the yard where the slaves are confined, and make choice of that parcel they like best. The noise and clamor with which this is attended, and the eagerness visible in the countenances of the buyers, serve not a little to increase the apprehension of terrified Africans, who may well be supposed to consider them as the ministers of that destruction to which they think themselves devoted. In this manner, without scruple, are relations and friends separated, most of them never to see each other again.

I remember, in the vessel in which I was brought over, in the men's apartment, there were several brothers, who, in the sale, were sold in different lots; and it was very moving on this occasion, to see and hear their cries at parting. O, ye nominal Christians! might not an African ask you — Learned you this from your God, who says unto you, Do unto all men as you would men should do unto you? Is it not enough that we are torn from our country and friends, to toil for your luxury and lust of gain? Must every tender feeling be likewise sacrificed to your avarice? Are the dearest friends and relations, now rendered more dear by their separation from their kindred, still to be parted from each other, and thus prevented from cheering the gloom of slavery, with the small comfort of being together, and mingling their sufferings and sorrows? Why are parents to lose their children, brothers their sisters, or husbands their wives? Surely, this is a new refinement in cruelty, which, while it has no advantage to atone for it, thus aggravates distress, and adds fresh horrors even to the wretchedness of slavery.

Source: Olaudah Equiano, or Gustavus Vassa, The Interesting Narrative of the Life of Olaudah Equiano, or Gustavus Vassa, the African. Written by Himself. 2 vols. (London: Author, 1789), Vol. 1, 70–88.

Public Domain.

28. Primary Source Analysis

Module 2: Primary Source Analysis Questions

Read Olaudah Equiano's description of the Middle Passage and the King of Kongo's letters

assigned this week. Answer the following questions and complete and coherent sentences.

Answer each part of the questions asked.

- 1) In his first letter, King Affonso of Kongo addressed the slave trade. How did he hope to end the slave trade in this letter? How did it change in the second letter?
- 2) What is the effect of the slave trade for Portugal according to the King?
- 3) How does the slave trade mentioned in these letters effect Kongo?
- 4) Google the image "Brookes Slave Ship Plan." How do this image and Olaudah Equiano's description compare?
- 5) Is it possible that Equiano exaggerated any of his account? Would it be important if he did? Why or why not?

29. Primary Source: King Affonso of Congo

Excerpts from: King Affonso of Congo Letters on the Slave Trade (1526) Public Domain

[FIRST LETTER]

Sir, Your Highness should know how our Kingdom is being lost in so many ways that it is convenient to provide for the necessary remedy, since this is caused by the excessive freedom given by your agents and officials to the men and merchants who are allowed to come to this Kingdom to set up shops with goods and many things which have been prohibited by us, and which they spread throughout our Kingdoms and Domains in such an abundance that many of our vassals, whom we had in obedience, do not comply because they have the things in greater abundance than we ourselves; and it was with these things that we had them content and subjected under our vassalage and jurisdiction, so it is doing a great harm not only to the service of God, but the security and peace of our Kingdoms and State as well.

And we cannot reckon how great the damage is, since the mentioned merchants are taking every day our natives, sons of the land and the sons of our noblemen and vassals and our relatives, because the thieves and men of bad conscience grab them wishing to have the things and wares of this Kingdom which they are ambitious of; they grab them and get them to be sold; and so great, Sir, is the corruption and licentiousness that our country is being completely depopulated, and Your Highness should not agree with this nor accept it as in your service. And to avoid it we need from those (your) Kingdoms no more than some priests and a few people to reach in schools, and no other goods except wine and flour for the holy sacrament. That is why we beg of Your Highness to help and assist us in this matter, commanding your factors that they should

not send here either merchants or wares, because it is our will that in these Kingdoms there should not be any trade of slaves nor outlet for them.

[SECOND LETTER]

Moreover, Sir, in our Kingdoms there is another great inconvenience which is of little service to God, and this is that many of our people, keenly desirous as they are of the wares and things of your Kingdoms, which are brought here by your people, and in order to satisfy their voracious appetite, seize many of our people, freed and exempt men, and very often it happens that they kidnap even noblemen and the sons of noblemen, and our relatives, and take them to be sold to the white men who are in our Kingdoms; and for this purpose they have concealed them; and others are brought during the night so that they might not be recognized.

And as soon as they are taken by the white men they are immediately ironed and branded with fire, and when they are carried to be embarked, if they are caught by our guards' men the whites allege that they have bought them but they cannot say from whom, so that it is our duty to do justice and to restore to the freemen their freedom, but it cannot be done if your subjects feel offended, as they claim to be.

Letters written in 1526- Public Domain

Source: Excerpt from *Historia de Congo* by Visconde de Paiva-Manso, translated in *The African Past* by Basil Davidson (Grosset & Dunlap, 1964).

And to avoid such a great evil we passed a law so that any white man living in our Kingdoms and wanting to purchase goods in any way should first inform three of our noblemen and officials of our court whom we rely upon in this matter, and these are Dom Pedro Manipanaza and Dom Manuel Manissaba, our chief usher, and Goncalo Pires our chief freighter, who should investigate if the mentioned goods are captives or free men, and if cleared by them there will be no further doubt nor embargo for them to be taken and embarked. But if the white men do not comply with it they will

lose the aforementioned goods. And if we do them this favor and concession it is for the part Your Highness has in it, since we know that it is in your service too that these goods are taken from our Kingdom, otherwise we should not consent to this. . . .

Letters written in 1526- Public Domain

Source: Excerpt from *Historia de Congo* by Visconde de Paiva-Manso, translated in *The African Past* by Basil Davidson (Grosset & Dunlap, 1964).

30. Atlantic Slave Trade: Crash Course World History #24



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tccworldciv2/?p=49#oembed-1](https://library.achievingthedream.org/tccworldciv2/?p=49#oembed-1)

PART IV

3: ISLAMIC WORLD

31. Ottoman Empire

The **Ottoman Empire** (; [Ottoman Turkish](#): دَوْلَتِ عَلِيّهٔ عُثمَانِيّه, Devlet-i Aliyye-i Osmâniyye, [Modern Turkish](#): Osmanlı İmparatorluğu), also [historically referred to as](#) the **Turkish Empire** or **Turkey**, was a [Sunni Islamic](#) state founded by [Oghuz Turks](#) under [Osman I](#) in northwestern [Anatolia](#) in 1299.^[7] With [conquests in the Balkans](#) by [Murad I](#) between 1365 and 1389, and the [conquest of Constantinople](#) by [Mehmed II](#) in 1453, the Ottoman sultanate was transformed into an empire.^{[8][9][10]}

During the 16th and 17th centuries, in particular at the height of its power under the reign of [Suleiman the Magnificent](#), the Ottoman Empire was a powerful multinational, multilingual empire controlling much of [Southeast Europe](#), [Western Asia](#), the [Caucasus](#), [North Africa](#), and the [Horn of Africa](#).^[11] At the beginning of the 17th century the empire contained [32 provinces](#) and numerous [vassal states](#). Some of these were later absorbed into the empire, while others were granted various types of autonomy during the course of centuries.^[dn 4]

With [Constantinople](#) as its capital and control of lands around the [Mediterranean basin](#), the Ottoman Empire was at the centre of interactions between the [Eastern](#) and [Western](#) worlds for six centuries. Following a long period of [military setbacks](#) against European powers and gradual [decline](#), the empire [collapsed](#) and was [dissolved](#) in the aftermath of [World War I](#), leading to the emergence of the new state of [Turkey](#) in the Ottoman Anatolian heartland, as well as the creation of modern [Balkan](#) and [Middle Eastern](#) states.^[12]

NAME

The word “Ottoman” is a historical [anglicisation](#) of the name

of [Osman I](#), the founder of the Empire and of the ruling [House of Osman](#) (also known as the Ottoman dynasty). Osman's name in turn was derived from the Persian form of the name [Utmān](#) عثمان of ultimately Arabic origin. In [Ottoman Turkish](#), the empire was referred to as Devlet-i 'Alīyye-yi 'Osmāniyye (^[13]دَوْلَتِ عَلِيّهٔ عُثمَانِیّه) or alternatively Osmanlı Devleti (عثمانلى دولتى).^[dn 5] In [Modern Turkish](#), it is known as Osmanlı İmparatorluğu ("Ottoman Empire") or Osmanlı Devleti ("The Ottoman State").

In the West, the two names "Ottoman" and "Turkey" were often used interchangeably, with "Turkey" being increasingly favored both in formal and informal situations.^[14] This dichotomy was officially ended in 1920–23, when the newly established, Ankara-based Turkish government chose [Turkey](#) as the sole official name.

HISTORY

RISE (1299–1453)



Ertuğrul, father of [Osman I](#), founder of the Ottoman Empire, arrived in [Anatolia](#) from [Merv](#) (Turkmenistan) with 400 horsemen to aid the [Seljuks](#) of Rum against the [Byzantines](#).^[15] After the demise of the Turkish Seljuk [Sultanate of Rum](#) in the 14th century, Anatolia was divided into a patchwork of independent, mostly Turkish states, the so-called [Ghazi emirates](#). One of the emirates was led by Osman I (1258–1326), from which the name Ottoman is derived.^[16] Osman I extended the frontiers of Turkish settlement toward the edge of the

Byzantine Empire. It is not well understood how the Osmanli came to dominate their neighbours, as the history of medieval Anatolia is still little known.^[17]

In the century after the death of Osman I, Ottoman rule began to extend over the Eastern Mediterranean and the [Balkans](#). Osman's son, [Orhan](#), captured the city of [Bursa](#) in 1324 and made it the new capital of the Ottoman state. The fall of Bursa meant the loss of Byzantine control over northwestern Anatolia. The important city of [Thessaloniki](#) was captured from the [Venetians](#) in 1387. The Ottoman victory at [Kosovo in 1389](#) effectively marked [the end of Serbian power](#) in the region, paving the way for Ottoman expansion into Europe.^[18] The [Battle of Nicopolis](#) in 1396, widely regarded as the last large-scale [crusade](#) of the [Middle Ages](#), failed to stop the advance of the victorious Ottoman Turks.^[19]

With the extension of Turkish dominion into the Balkans, the strategic [conquest of Constantinople](#) became a crucial objective. The empire controlled nearly all former [Byzantine lands](#) surrounding the city, but the [Byzantines](#) were temporarily relieved when the Turkish-Mongolian leader [Timur](#) invaded Anatolia from the east. In the [Battle of Ankara](#) in 1402, Timur defeated the Ottoman forces and took Sultan [Bayezid I](#) as a prisoner, throwing the empire into disorder. The ensuing civil war lasted from 1402 to 1413 as Bayezid's sons fought over succession. It ended when [Mehmet I](#) emerged as the sultan and restored Ottoman power, bringing an end to the [Interregnum](#), also known as the *Fetret Devri*.^[20]

Part of the Ottoman territories in the Balkans (such as Thessaloniki, Macedonia and Kosovo) were temporarily lost after 1402 but were later recovered by [Murad II](#) between the 1430s and 1450s. On 10 November 1444, Murad II defeated the Hungarian, Polish, and [Wallachian](#) armies under [Władysław III of Poland](#) (also King of Hungary) and [János Hunyadi](#) at the [Battle of Varna](#), the final battle of the [Crusade of Varna](#), although Albanians under Skanderbeg continued to resist. Four years later, János Hunyadi prepared another army (of Hungarian and Wallachian forces) to

attack the Turks but was again defeated by Murad II at the [Second Battle of Kosovo](#) in 1448.^[21]

EXPANSION AND APOGEE (1453–1566)



The son of Murad II, Constantinople on 29 May 1453. Mehmed allowed the [Orthodox Church](#) to maintain its autonomy and land in exchange for accepting Ottoman authority.^[22] Because of bad relations between the states of western Europe and the later Byzantine Empire, the majority of the Orthodox population accepted Ottoman rule as preferable to Venetian rule.^[22] Albanian resistance was a major obstacle to Ottoman expansion on the Italian peninsula.^[23]

In the 15th and 16th centuries, the Ottoman Empire entered a [period of expansion](#). The Empire prospered under the rule of a line of committed and effective [Sultans](#). It also flourished economically due to its control of the major overland trade routes between Europe and Asia.^{[25][dn 6]}

Sultan [Selim I](#) (1512–1520) dramatically expanded the Empire's eastern and southern frontiers by defeating [Shah Ismail](#) of [Safavid Persia](#), in the [Battle of Chaldiran](#).^[26] Selim I established [Ottoman rule in Egypt](#), and created a naval presence on the [Red Sea](#). After this Ottoman expansion, a competition started between the [Portuguese Empire](#) and the Ottoman Empire to become the dominant power in the region.^[27]

[Suleiman the Magnificent](#) (1520–1566) captured [Belgrade](#) in 1521, conquered the southern and central parts of the [Kingdom of Hungary](#) as part of the [Ottoman–Hungarian Wars](#),^{[28][29]} and, after his historical victory in the [Battle of Mohács](#) in 1526, he established Turkish rule in the territory of present-day Hungary (except the western part) and other Central European territories. He then laid [siege to Vienna](#) in 1529, but failed to take the city.^[30] In 1532, he made another [attack](#) on Vienna, but was repulsed in the [Siege of _____ Güns](#).^{[31][32][33]} [Transylvania](#), [Wallachia](#) and, intermittently, [Moldavia](#), became tributary principalities of the Ottoman Empire. In the east, the Ottoman Turks took [Baghdad](#) from the Persians in 1535, gaining control of [Mesopotamia](#) and naval access to the [Persian Gulf](#).

[France](#) and the Ottoman Empire, united by mutual opposition to [Habsburg](#) rule, became strong allies. The French conquests of [Nice \(1543\)](#) and [Corsica \(1553\)](#) occurred as a joint venture between the forces of the French king [Francis I](#) and Suleiman, and were commanded by the Ottoman admirals [Barbarossa Hayreddin Pasha](#) and [Turgut Reis](#).^[34] A month prior to the siege of Nice, France supported the Ottomans with an artillery unit during the Ottoman [conquest of Esztergom](#) in 1543. After further advances by the Turks in 1543, the Habsburg ruler [Ferdinand](#) officially recognized Ottoman ascendancy in Hungary in 1547.

In 1559, after the [first Ajuran-Portuguese war](#) the Ottoman Empire would later absorb the weakened [Adal Sultanate](#) into its domain. This expansion furthered Ottoman rule in [Somalia](#) and the [Horn of Africa](#). This also increased its influence in the Indian Ocean to compete with the [Portuguese](#) with its close ally the [Ajuran Empire](#).^[35]

By the end of Suleiman's reign, the Empire's population totaled about 15,000,000 people extending over three continents.^[36] In addition, the Empire became a dominant naval force, controlling much of the [Mediterranean Sea](#).^[37] By this time, the Ottoman Empire was a major part of the European political sphere. The success of its political and military establishment has been compared to the Roman Empire, by the likes of Italian scholar [Francesco Sansovino](#) and the French political philosopher [Jean Bodin](#).^[38]

STAGNATION AND REFORM (1566–1827)



The stagnation and decline, Stephen Lee argues, was relentless after 1566, interrupted by a few short revivals or reform and recovery. The decline gathered speed so that the Empire in 1699 was, “a mere shadow of that which intimidated East and West alike in 1566.”^[39] Although there are dissenting scholars, most historians point to “degenerate [Sultans](#), incompetent [Grand Viziers](#), debilitated and ill-equipped armies, corrupt officials, avaricious speculators, grasping enemies, and treacherous friends.”^[40] The main cause was a failure of leadership, as Lee argues the first 10 sultans from 1292 to 1566, with one exception, had done quite well. The next 13 sultans from 1566 to 1703, with two exceptions, were lackadaisical or incompetent rulers, says Lee.^[41] In a highly

centralized system, the failure at the center proved fatal. A direct result was the strengthening of provincial elites who increasingly ignored Constantinople. Secondly the military strength of European enemies grew stronger and stronger, while the Ottoman armies and arms scarcely improved.^{[42][43]} Finally the Ottoman economic system grew distorted and impoverished, as war caused inflation, world trade moved in other directions, and the deterioration of law and order made economic progress difficult.^[44]

REVOLTS, REVERSALS, AND REVIVALS (1566–1683)

The effective military and bureaucratic structures of the previous century came under strain during a protracted period of misrule by weak Sultans. The Ottomans gradually fell behind the Europeans in military technology as the innovation that fed the Empire's forceful expansion became stifled by growing religious and intellectual conservatism.^[45] But in spite of these difficulties, the Empire remained a major expansionist power until the [Battle of Vienna](#) in 1683, which marked the end of [Ottoman expansion into Europe](#).

The discovery of new maritime trade routes by Western European states allowed them to avoid the Ottoman trade monopoly. The [Portuguese](#) discovery of the [Cape of Good Hope](#) in 1488 initiated [a series of Ottoman-Portuguese naval wars](#) in the Indian Ocean throughout the 16th century. The [Ajuran Empire](#) allied with the Ottomans defied the Portuguese economic monopoly in the [Indian Ocean](#) by employing a new coinage which followed the Ottoman pattern, thus proclaiming an attitude of economic independence in regard to the Portuguese.^[46]

Under [Ivan IV](#) (1533–1584), the [Tsardom of Russia](#) expanded into the Volga and Caspian region at the expense of the Tatar khanates. In 1571, the Crimean khan [Devlet I Giray](#), supported by the Ottomans, [burned Moscow](#).^[47] The next year, the invasion was repeated but repelled at the [Battle of Molodi](#). The [Crimean Khanate](#) continued to invade Eastern Europe in a series of [slave](#)

[raids](#),^[48] and remained a significant power in Eastern Europe until the end of the 17th century.^[49]

In southern Europe, a Catholic coalition led by [Philip II of Spain](#) won a victory over the Ottoman fleet at the [Battle of Lepanto](#) (1571). It was a startling, if mostly symbolic,^[50] blow to the image of Ottoman invincibility, an image which the victory of the Knights of Malta against the Ottoman invaders in the 1565 [Siege of Malta](#) had recently set in motion eroding.^[51] The battle was far more damaging to the Ottoman navy in sapping experienced manpower than the loss of ships, which were rapidly replaced.^[52] The Ottoman navy recovered quickly, persuading Venice to sign a peace treaty in 1573, allowing the Ottomans to expand and consolidate their position in North Africa.^[53]

By contrast, the [Habsburg](#) frontier had settled somewhat, a stalemate caused by a stiffening of the Habsburg defences.^[54] The [Long War](#) against [Habsburg](#) Austria (1593–1606) created the need for greater numbers of infantry equipped with firearms, resulting in a relaxation of recruitment policy. This contributed to problems of indiscipline and outright rebelliousness within the corps, which was never fully solved.^[55] Irregular sharpshooters ([Sekban](#)) were also recruited, and on demobilization turned to [brigandage](#) in the [Jelali revolts](#) (1595–1610), which engendered widespread anarchy in [Anatolia](#) in the late 16th and early 17th centuries.^[56] With the Empire's population reaching 30,000,000 people by 1600, the shortage of land placed further pressure on the government.^[57] In spite of these problems, the Ottoman state remained strong, and its army did not collapse or suffer crushing defeats (except for the war in Persia). However, its campaigns became increasingly inconclusive, even against weaker states with much smaller forces such as Poland or Austria.

During his brief majority reign, [Murad IV](#) (1612–1640) reasserted central authority and recaptured [Yerevan](#) (1635) and Baghdad (1639) from the [Safavids](#).^[58] The [Sultanate of women](#) (1648–1656) was a period in which the mothers of young sultans exercised power on behalf of their sons. The most prominent women of this period

were [Kösem Sultan](#) and her daughter-in-law [Turhan Hatice](#), whose political rivalry culminated in Kösem's murder in 1651.^[59] During the [Köprülü Era](#) (1656–1703), effective control of the Empire was exercised by a sequence of [Grand Viziers](#) from the Köprülü family. The Köprülü Vizierate saw renewed military success with authority restored in [Transylvania](#), the conquest of [Crete](#) completed in 1669 and expansion into Polish southern [Ukraine](#), with the strongholds of [Khotyn](#) and [Kamianets-Podilskyi](#) and the territory of [Podolia](#) ceding to Ottoman control in 1676.^[60]

This period of renewed assertiveness came to a calamitous end in May 1683 when Grand Vizier [Kara Mustafa Pasha](#) led a huge army to attempt a second Ottoman siege of [Vienna](#) in the [Great Turkish War](#) of 1683–1687. The final assault being fatally delayed, the Ottoman forces were swept away by allied Habsburg, German and Polish forces spearheaded by the Polish king [Jan III Sobieski](#) at the [Battle of Vienna](#). The alliance of the [Holy League](#) pressed home the advantage of the defeat at Vienna, culminating in the [Treaty of Karlowitz](#) (26 January 1699), which ended the Great Turkish War.^[61] The Ottomans surrendered control of significant territories, many permanently.^[62] [Mustafa II](#) (1695–1703) led the counterattack of 1695–96 against the Habsburgs in Hungary, but was undone at the disastrous defeat at [Zenta](#) (11 September 1697).^[63]

RUSSIAN THREAT GROWS

During this period [Russian expansion](#) presented a large and growing threat.^[64] Accordingly, King [Charles XII of Sweden](#) was welcomed as an ally in the Ottoman Empire following his defeat by the Russians at the [Battle of Poltava](#) in 1709 (part of the [Great Northern War](#) of 1700–1721).^[64] Charles XII persuaded the Ottoman Sultan [Ahmed III](#) to declare war on Russia, which resulted in the Ottoman victory at the [Pruth River Campaign](#) of 1710–1711.^[65]

After the [Austro-Turkish War of 1716–1718](#) the [Treaty of Passarowitz](#) confirmed the loss of the [Banat](#), Serbia and [“Little](#)

[Walachia” \(Oltenia\)](#) to Austria. The Treaty also revealed that the Ottoman Empire was on the defensive and unlikely to present any further aggression in Europe.^[66] The [Austro-Russian-Turkish War](#), which was ended by the [Treaty of Belgrade](#) in 1739, resulted in the recovery of Serbia and Oltenia, but the Empire lost the port of Azov to the Russians. After this treaty the Ottoman Empire was able to enjoy a generation of peace, as Austria and Russia were forced to deal with the rise of [Prussia](#).^[67]

[Educational and technological reforms](#) were made, including the establishment of higher education institutions such as the [Istanbul Technical University](#).^[68] In 1734 an artillery school was established to impart Western-style artillery methods, but the Islamic clergy successfully objected under the grounds of [theodicy](#).^[69] In 1754 the artillery school was reopened on a semi-secret basis.^[69] In 1726, [Ibrahim Muteferrika](#) convinced the [Grand Vizier Nevşehirli Damat Ibrahim Pasha](#), the [Grand Mufti](#), and the clergy on the efficiency of the printing press, and Muteferrika was later granted by Sultan Ahmed III permission to publish non-religious books (despite opposition from some [calligraphers](#) and religious leaders).^[70] Muteferrika's press published its first book in 1729 and, by 1743, issued 17 works in 23 volumes, each having between 500 and 1,000 copies.^{[70][71]}

In 1768 Russian-backed Ukrainian [Haidamaks](#), pursuing Polish confederates, entered [Balta](#), an Ottoman-controlled town on the border of Bessarabia, and massacred its citizens and burned the town to the ground. This action provoked the Ottoman Empire into the [Russo-Turkish War of 1768-1774](#). The [Treaty of Küçük Kaynarca](#) of 1774 ended the war and provided freedom to worship for the Christian citizens of the Ottoman-controlled provinces of Wallachia and Moldavia.^[72] By the late 18th century, a number of defeats in several wars with Russia led some people in the Ottoman Empire to conclude that the reforms of [Peter the Great](#) had given the Russians an edge, and the Ottomans would have to keep up with Western technology in order to avoid further defeats.^[69]

[Selim III](#) (1789–1807) made the first major attempts to [modernize](#)

[the army](#), but reforms were hampered by the religious leadership and the [Janissary](#) corps. Jealous of their privileges and firmly opposed to change, the Janissary created a [revolt](#). Selim's efforts cost him his throne and his life, but were resolved in spectacular and bloody fashion by his successor, the dynamic [Mahmud II](#), who [eliminated the Janissary corps](#) in 1826.

The [Serbian revolution](#) (1804–1815) marked the beginning of an era of [national awakening](#) in the [Balkans](#) during the [Eastern Question](#). [Suzerainty](#) of Serbia as a hereditary monarchy under its own [dynasty](#) was acknowledged *de jure* in 1830.^{[73][74]} In 1821, the [Greeks declared war](#) on the Sultan. A rebellion that originated in Moldavia as a diversion was followed by the main revolution in the [Peloponnese](#), which, along with the northern part of the [Gulf of Corinth](#), became the first parts of the Ottoman Empire to achieve independence (in 1829). By the mid-19th century, the Ottoman Empire was called the “[sick man](#)” by Europeans. The [suzerain states](#) – the [Principality of Serbia](#), Wallachia, [Moldavia](#) and [Montenegro](#) – moved towards *de jure* independence during the 1860s and 1870s.

DECLINE AND MODERNIZATION (1828–1908)

During the [Tanzimat](#) period (1839–1876), the government's series of constitutional reforms led to a fairly modern [conscripted army](#), banking system reforms, the decriminalisation of homosexuality, the replacement of religious law with secular law^[75] and [guilds](#) with modern factories. The Ottoman Ministry of Post was established in Istanbul on 23 October 1840.^{[76][77]}

[Samuel Morse](#) received a patent for the [telegraph](#) in 1847, which was issued by Sultan [Abdülmejid](#) who personally tested the new invention.^[78] Following this successful test, installation works of the first Turkish telegraph line (Istanbul–[Edirne](#)–[Şumnu](#))^[79] began on 9

August 1847.^[80] The reformist period peaked with the Constitution, called the *Kanûn-u Esâsî*. The empire's [First Constitutional era](#) was short-lived. The parliament survived for only two years before the sultan suspended it.

The Christian population of the empire, owing to their higher educational levels, started to pull ahead of the Muslim majority, leading to much resentment on the part of the latter.^[81] In 1861, there were 571 primary and 94 secondary schools for Ottoman Christians with 140,000 pupils in total, a figure that vastly exceeded the number of Muslim children in school at the same time, who were further hindered by the amount of time spent learning Arabic and Islamic theology.^[81] In turn, the higher educational levels of the Christians allowed them to play a large role in the economy.^[81] In 1911, of the 654 wholesale companies in Istanbul, 528 were owned by ethnic Greeks.^[81]

32. Safavid Empire

The **Safavid dynasty** (Persian: صفویان; سلسله; Azerbaijani: Səfəvilər imperiyası, صفویلر) was one of the most significant ruling dynasties of [Iran](#), and is often considered the beginning of modern Persian history.^[18] They ruled one of the greatest Persian empires after the [Muslim conquest of Persia](#)^{[19][20][21][22]} and established the [Twelver](#) school of Shi'a Islam^[23] as the official [religion](#) of their empire, marking one of the most important turning points in Muslim history. The Safavids ruled from 1501 to 1722 (experiencing a brief restoration from 1729 to 1736) and at their height, they controlled all of modern [Iran](#), [Azerbaijan](#) and [Armenia](#), most of [Iraq](#), [Georgia](#), [Afghanistan](#), and the [Caucasus](#), as well as parts of [Pakistan](#), [Tajikistan](#), [Turkmenistan](#) and [Turkey](#). Safavid Iran was one of the Islamic “gunpowder empires”, along with its neighbours, the [Ottoman](#) and [Mughal](#) empires.

The Safavid dynasty had its origin in the [Safaviyya Sufi order](#), which was established in the city of Ardabil in the [Azerbaijan](#) region. It was of mixed ancestry ([Azerbaijani](#),^[24] [Kurdish](#)^[25] [Persian](#)^{[26][27]} and [Turkmen](#),^[28] which included intermarriages with [Georgian](#)^[29] and [Pontic Greek](#)^[30] dignitaries). From their base in Ardabil, the Safavids established control over all of [Greater Iran](#) and reasserted the [Iranian identity](#) of the region,^[31] thus becoming the first native dynasty since the Sassanid Empire to establish a unified Iranian state.^[32]

Despite their demise in 1736, the legacy that they left behind was the revival of Persia as an economic stronghold between East and West, the establishment of an efficient state and bureaucracy based upon “checks and balances”, their architectural innovations and their patronage for fine arts. The Safavids have also left their mark down to the present era by spreading Shi'a Islam in [Iran](#), as

well as major parts of the [Caucasus](#), South Asia, [Central Asia](#), and [Anatolia](#).

GENEALOGY—THE ANCESTORS OF THE SAFAVIDS AND ITS MULTI-CULTURAL IDENTITY

The Safavid Kings themselves claimed to be [Seyyeds](#),^[33] family descendants of the prophet [Muhammad](#), although many scholars have cast doubt on this claim.^[34] There seems now to be a consensus among scholars that the Safavid family hailed from Persian Kurdistan,^[23] and later moved to Azerbaijan, finally settling in the 11th century CE at Ardabil. Traditional pre-1501 Safavid manuscripts trace the lineage of the Safavids to Kurdish dignitary, Firuz Shah Zarin-Kulah.^{[25][35]}

According to some historians,^{[36][37]} including [Richard Frye](#), the Safavids were of Azeri (Turkish) origin:^[24]

The Turkish speakers of Azerbaijan are mainly descended from the earlier Iranian speakers, several pockets of whom still exist in the region. A massive migration of Oghuz Turks in the 11th and 12th centuries not only Turkified Azerbaijan but also Anatolia. Azeri Turks were the founders of Safavid dynasty.

Other historians, such as [Vladimir Minorsky](#)^[26] and Roger Savory, refute this idea.^[27]

From the evidence available at the present time, it is certain that the Safavid family was of indigineous Iranian stock, and not of Turkish ancestry as it is sometimes claimed. It is probable that the family originated in Persian Kurdistan, and later moved to Azerbaijan, where they adopted the Azari form of Turkish spoken there, and eventually settled in the

small town of Ardabil sometimes during the eleventh century.

By the time of the establishment of the Safavid empire, the members of the family were native Turkish-speaking and Turkicized,^{[13][38]} and some of the Shahs composed poems in their native Turkish language. Concurrently, the Shahs themselves also supported Persian literature, poetry and art projects including the grand [Shahnama](#) of [Shah Tahmasp](#),^{[39][40]} while members of the family and some Shahs composed Persian poetry as well.^{[41][42]} In terms of identity, it should be noted that the authority of the Safavids were religiously based and they based their legitimacy on being direct male descendants of the Ali,^[43] the cousin of the Prophet Muhammad, and the first [Shi'ite](#) Imam.

BACKGROUND—THE SAFAVID SUFI ORDER

Safavid history begins with the establishment of the [Safaviyya](#) by its eponymous founder [Safi-ad-din Ardabili](#) (1252–1334). In 700/1301, Safi al-Din assumed the leadership of the [Zahediyeh](#), a significant [Sufi](#) order in Gilan, from his spiritual master and father-in-law [Zahed Gilani](#). Due to the great spiritual charisma of Safi al-Din, the order was later known as the Safaviyya. The Safavid order soon gained great influence in the city of Ardabil and Hamdullah Mustaufi noted that most of the people of Ardabil were followers of Safi al-Din.

Extant religious poetry from him, written in the Old Azari language^{[44][45]}—a now-extinct [Northwestern Iranian language](#)—and accompanied by a paraphrase in Persian which helps their understanding, has survived to this day and has linguistic importance.^[44]

After Safi al-Din, the leadership of the Safaviyya passed onto [Sadr](#)

[al-Dīn Mūsā](#) († 794/1391–92). The order at this time was transformed into a religious movement which conducted religious propaganda throughout Persia, Syria and Asia Minor, and most likely had maintained its Sunni Shafi’ite origin at that time. The leadership of the order passed on from Sadr ud-Dīn Mūsā to his son Khwādja Ali († 1429) and in turn to his son Ibrāhīm († 1429–47).

When [Shaykh Junayd](#), the son of Ibrāhīm, assumed the leadership of the Safaviyya in 1447, the history of the Safavid movement was radically changed. According to R.M. Savory, “Sheikh Junayd was not content with spiritual authority and he sought material power”. At that time, the most powerful dynasty in Persia was that of the [Kara Koyunlu](#), the “Black Sheep”, whose ruler [Jahan Shah](#) ordered Junāyd to leave Ardabil or else he would bring destruction and ruin upon the city.^[23] Junayd sought refuge with the rival of Kara Koyunlu [Jahan Shah](#), the [Aq Qoyunlu \(White Sheep Turkomans\)](#) [Khan Uzun Hassan](#), and cemented his relationship by marrying Uzun Hassan’s sister, Khadija Begum. Junayd was killed during an incursion into the territories of the [Shirvanshah](#) and was succeeded by his son Haydar Safavi. Haydar married Martha ‘Alamshah Begom,^[30] [Uzun Hassan](#)’s daughter, who gave birth to [Ismail I](#), founder of the Safavid dynasty. Martha’s mother Theodora—better known as Despina Khatun^[46]—was a [Pontic Greek](#) princess, the daughter of the Grand [Komnenos John IV of Trebizond](#). She had been married to Uzun Hassan^[47] in exchange for protection of the Grand Komnenos from the Ottomans.

After Uzun Hassan’s death, his son Ya’qub felt threatened by the growing Safavid religious influence. Ya’qub allied himself with the Shirvanshah and killed Haydar in 1488. By this time, the bulk of the Safaviyya were [nomadic Oghuz Turkic-speaking](#) clans from Asia Minor and [Azerbaijan](#) and were known as [Qizilbash](#) “Red Heads” because of their distinct red headgear. The Qizilbash were warriors, spiritual followers of Haydar, and a source of the Safavid military and political power.

After the death of Haydar, the Safaviyya gathered around his son [Ali Mirza Safavi](#), who was also pursued and subsequently killed

by Ya'qub. According to official Safavid history, before passing away, Ali had designated his young brother Ismail as the spiritual leader of the Safaviyya.^[23]

HISTORY

FOUNDING OF THE DYNASTY BY SHĀH ISMĀIL I

PERSIA PRIOR TO ISMĀIL'S RULE

After the decline of the [Timurid Empire](#) (1370–1506), Persia was politically splintered, giving rise to a number of religious movements. The demise of Tamerlane's political authority created a space in which several religious communities, particularly Shi'i ones, could now come to the fore and gain prominence. Among these were a number of Sufi brotherhoods, the [Hurufis](#), Nuqtawis and Musha'sha'. Of these various movements, the Safawid Qizilbash was the most politically resilient, and it was on account of its success that Shah Isma'il I gained political prominence in 1501 CE.^[48] There were many local states prior to the Iranian state established by Isma'il.^[49] The most important local rulers about 1500 were:

- Huṣayn Bāyqarā, the [Timurid](#) ruler of [Herāt](#)
- Alwand Mīrzā, the [Aq Qoyunlu Khan](#) of [Tabrīz](#)
- Murad Beg, [Aq Qoyunlu](#) ruler of Irāq al-Ajam
- [Farrokh Yaşar](#), the [Shah of Şirvan](#)
- Badi Alzamān Mīrzā, local ruler of [Balkh](#)
- Huṣayn Kīā Chalavī, the local ruler of Semnān
- Murād Beg Bayandar, local ruler of [Yazd](#)

Ismāil was able to unite all these lands under the Iranian Empire he created.

RISE OF SHĀH ISMĀIL I

The Safavid dynasty was founded about 1501 by [Shāh Ismāil I](#).^[50] Shah Ismail's background is disputed: the language he used is not identical with that of his "race" or "nationality" and he was bilingual from birth.^[51] Some scholars argue that Ismāil was of mixed [Azeri](#), [Kurdish](#), and [Pontic Greek](#) descent,^[24] although others argue that he was non-Azeri^[51] and was a direct descendant of [Kurdish](#) mystic [Sheikh Safi al-Din](#). As such, he was the last in the line of hereditary Grand Masters of the Safaviyeh order, prior to its ascent to a ruling dynasty. Ismāil was known as a brave and charismatic youth, zealous with regards to his [Shi'a](#) faith, and believed himself to be of divine descent—practically worshipped by his [Qizilbāsh](#) followers. In 1500, Ismāil invaded neighboring [Shirvan](#) to avenge the death of his father, Sheik Haydar, who had been murdered in 1488 by the ruling Shirvanshah, Farrukh Yassar. Afterwards, Ismail went on a conquest campaign, capturing [Tabriz](#) in July 1501, where he enthroned himself the Shāh of [Azerbaijan](#).^{[52][53][54]} He proclaimed himself Shahanshah of Iran^{[55][56][57]} and minted coins in his name, proclaiming Shi'ism the official religion of his domain.^[23] The establishment of Shi'ism as the state religion led to various Sufi orders openly declaring their Shi'i position, and others, to promptly assume Shi'ism. Among these, the founder of one of the most successful Sufi orders, [Ni'matullah](#) (d. 1431) traced his descent from the [Ismaili Imam](#) Muhammad b. Ismail, as evidenced in a poem as well as another unpublished literary composition. Though Nimatullah was apparently Sunni, the Ni'matullahi order soon declared his order to be Shi'i after the rise of the Safavid dynasty.^[58]

Although Ismail I initially gained mastery over Azerbaijan alone, the Safavids ultimately won the struggle for power in all of Persia

which had been going on for nearly a century between various dynasties and political forces. A year after his victory in Tabriz, Ismāil claimed most of Persia as part of his territory,^[23] and within 10 years established a complete control over all of it. Ismail followed the line of Iranian and Turkmen rulers prior to him by assumption of the title “Padishah-i-Iran”, previously held by Uzun Hasan and many other Iranian kings.^[59] The Ottoman sultans addressed him as the king of Persian lands and the heir to [Jamshid](#) and [Kai Khosrow](#).^[60] [Hamadan](#) fell under his power in 1503, [Shiraz](#) and [Kerman](#) in 1504, [Najaf](#) and [Karbala](#) in 1507, [Van](#) in 1508, [Baghdad](#) in 1509, and [Herat](#), as well as other parts of [Khorasan](#), in 1510. By 1511, the [Uzbeks](#) in the north-east, led by their Khan [Muhammad Shaybāni](#), were driven far to the north, across the [Oxus River](#) where they continued to attack the Safavids. Ismail's decisive victory over the Uzbeks, who had occupied most of Khorasan, ensured Iran's eastern borders, and the Uzbeks never since expanded beyond the [Hindukush](#). Although the Uzbeks continued to make occasional raids to Khorasan, the Safavid empire was able to keep them at bay throughout its reign.

CLASHES WITH THE OTTOMANS

More problematic for the Safavids was the powerful [Ottoman Empire](#). The Ottomans, a [Sunni](#) dynasty, considered the active recruitment of Turkmen tribes of Anatolia for the Safavid cause as a major threat. To counter the rising Safavid power, in 1502, [Sultan Bayezid II](#) forcefully deported many Shi'as from Anatolia to other parts of the [Ottoman](#) realm. In 1514, [Bayezid's](#) son, Sultan [Selim I](#) marched through Anatolia and reached the plain of Chaldiran near the city of [Khoy](#), and a decisive battle was fought there ([Battle of Chaldiran](#)). Most sources agree that the Ottoman army was at least double the size of that of [Ismāil](#);^[50] however, what gave the Ottomans the advantage was the artillery which the Safavid army lacked. According to R. M. Savory, “*Salim's plan was to winter at*

Tabriz and complete the conquest of Persia the following spring. However, a mutiny among his officers who refused to spend the winter at Tabriz forced him to withdraw across territory laid waste by the Safavid forces, eight days later”.^[50] Although Ismāil was defeated and his capital was captured, the Safavid empire survived. The war between the two powers continued under Ismāil's son, [Shāh Tahmāsp I](#) (q.v.), and the Ottoman Sultan [Suleiman I](#), until Shāh Abbās (q.v.) retook the area lost to the Ottomans by 1602.

The consequences of the defeat at Chaldiran were also psychological for Ismāil: the defeat destroyed Ismāil's belief in his invincibility, based on his claimed divine status.^[23] His relationships with his Qizilbāsh followers were also fundamentally altered. The tribal rivalries between the Qizilbāsh, which temporarily ceased before the defeat at Chaldiran, resurfaced in intense form immediately after the death of Ismāil, and led to ten years of civil war (930-40/1524-33) until Shāh Tahmāsp regained control of the affairs of the state.

Early Safavid power in Iran was based on the military power of the Qizilbāsh. Ismāil exploited the first element to seize power in Iran. But eschewing politics after his defeat in Chaldiran, he left the affairs of the government to the office of the Wakīl (q.v.). Ismāil's successors, and most ostensibly Shāh Abbās I successfully diminished the Qizilbāsh's influence on the affairs of the state.

SHĀH TAHMĀSP

Shāh Tahmāsp, the young governor of [Herat](#), succeeded his father Ismāil in 1524, when he was ten years and three months old. He was the [ward](#) of the powerful Qizilbash amir Ali Beg Rūmlū (titled “Div Soltān”) who saw himself as the de facto ruler of the state. The qizilbash, which still suffered under the legacy of the battle of Chaldiran, was engulfed in internal rivalries. The low morale within the military, and the decentralized structure of the government,

with much power in the hands of local governors, eventually led to 10 years of civil war. Rival Qizilbāsh factions fought amongst themselves for the control of the empire until Shāh Tahmāsp came of age and reasserted his authority. Tahmasp reigned for 52 years, the longest reign in Safavid history.^[23]

The Uzbeks, during the reign of Tahmāsp, attacked the [eastern provinces of the kingdom](#) five times and the Ottomans under [Soleyman I](#) initiated four invasions of Persia.^[61] Losing territory in [Iraq](#) and the north-west, Tahmāsp realized that his capital was not secure, and he was forced to move the capital from Tabriz to [Qazvin](#). Tahmasp made the [Peace of Amasya](#) with the Ottomans in 1555, ending the war during his life.^[23]

ALLIANCES TO THE EAST—THE MUGHAL EMPEROR AT THE SHAH'S COURT

Almost simultaneously with the emergence of the Safavid Empire, another Muslim society was developing in South-Asia. The [Mughal Empire](#), which ruled a largely [Hindu](#) population, adhered to Sunni Islam. But a common foe, in the Uzbeks, would eventually lead the two empires closer together. During the reign of Tahmasp, Shah [Humayun](#) of Mughal Hindustan found himself in a desperate situation, with devastating wars being fought against the Afghans and the Uzbeks and Humayun's brother, Kamran, attempting a coup d'état.^[62] Having to flee from city to city, Humayun eventually sought refuge at the court of Tahmasp. Tahmasp, who refused to hand him over to his brother, greeted Humayun at his court in Qazvin as the true emperor of the Mughal dynasty, despite the fact that Humayun had been living in exile for more than fifteen years.^{[62][63]} After converting to Shia Islam,^[64] Tahmasp offered him military assistants to fight off the revolts in return for [Kandahar](#), which had for long been a battle ground between the two empires, and a combined Persian-Mughal force managed to seize Kandahar and occupy Kabul.^[65] This eventually led to strong ties between

the Safavids and the Mughals, and they persisted, almost unabated, throughout the history of the Safavid dynasty.

LEGACY OF SHAH TAHMASP

When Shah Tahmasp entered the throne at a young age, Persia was in a dire state. But despite of a weak economy, a civil war and wars being fought on two fronts, Tahmasp had managed to maintain his position as the shah. During the first 30 years of his long reign, he had managed to suppress the internal divisions, slowly elevate the strength of the military to a level that finally led to the retreat of the Ottomans during the fourth war in 1533, and, in 1553, even wage a campaign against the Ottomans. This resulted in the peace treaty of Amasya, a treaty that favoured the Persians and secured Tabriz and the North-Western borders.^[66] Some years before, in 1528, he had also converted an unfavorable war against the [Uzbeks](#), at the battle of Jam, into a victory by the Persians.^[67] When Shah Tahmasp's throne was overtaken by his successor, Persia was in a calm state, with secure borders and cordial relations with the neighbours to both east and west. What remained unchanged, was the decentralized power structure of the government, and that would not change until the throne was overtaken by his grandson, Shah Abbas.

After the death of Tahmāsp in 984/1576, the struggle for a dominant position in the state flared up again and was complicated by rival groups and factions. Dominant political factions vied for power and support three different candidates. The mentally unstable Ismāil, the son of Tahmāsp and the purblind Muhammad Khudābanda were some of the candidates but did not get the support of all the Qizilbāsh chiefs. The Turkmen Ustājlı tribe, one of the most powerful tribes among the Qizilbāsh, threw its support behind Haydar, who was of a Georgian mother, but the majority of the Qizilbāsh chiefs saw this as a threat to their own, Turkmen-

dominated power. Instead, they first placed [Ismāil II](#) on the throne (1576–77) and after him [Muhammad Shāh Khudābanda](#) (1578–88).^[23]

In addition, Tahmasp must be credited for the revival of the fine arts, which flourished under his patronage and were brought to the pitch of perfection. Safavid culture is often admired for the large-scale city planning and architecture, achievements made during the reign of later shahs, but the arts of [persian miniature](#), [book-binding](#) and [calligraphy](#), in fact, never received as much attention as they did during his time.^[68]

SHAH ABBAS

The greatest of the Safavid monarchs, [Shah Abbas I](#) (1587–1629) came to power in 1587 aged 16 following the forced [abdication](#) of his father, [Shah Muhammad Khudābanda](#), having survived Qizilbashi court intrigues and murders. He recognized the ineffectualness of his army which was consistently being defeated by the Ottomans who had captured Georgia and Armenia and by Uzbeks who had captured [Mashhad](#) and [Sistan](#) in the east. First he sued for peace in 1590 with the Ottomans giving away territory in the north-west. Then two Englishmen, [Robert Sherley](#) and his brother [Anthony](#), helped Abbas I to reorganize the Shah's soldiers into an officer-paid and well-trained standing army similar to a European model (which the Ottomans had already adopted). He wholeheartedly adopted the use of gunpowder (See [Military history of Iran](#)). The army divisions were: [Ghulams](#) غلام (crown servants,^[69] usually conscripted from [Georgians](#) and Circassians), Tofangchis (تفنگچی, musketeers), and Topchis (توپچی, artillery-men).

Abbas moved the capital to Isfahan, deeper into central Iran. Abbas I built a new city next to the ancient Persian one. From this time the state began to take on a more Persian character. The Safavids ultimately succeeded in establishing a new Persian national monarchy.

Abbas I first fought the Uzbeks, recapturing [Herat](#) and Mashhad in 1598. Then he turned against the Ottomans recapturing Baghdad, eastern Iraq and the Caucasian provinces by 1622. He also used his new force to dislodge the Portuguese from [Bahrain](#) (1602) and, with English help, from [Hormuz](#) (1622), in the [Persian Gulf](#) (a vital link in Portuguese trade with India). He expanded commercial links with the [English East India Company](#) and the [Dutch East India Company](#). Thus Abbas I was able to break the dependence on the Qizilbash for military might and therefore was able to centralize control.

The [Ottoman Turks](#) and Safavids fought over the fertile plains of Iraq for more than 150 years. The capture of [Baghdad](#) by Ismail I in 1509 was only followed by its loss to the Ottoman Sultan [Suleiman I](#) in 1534. After subsequent campaigns, the Safavids recaptured Baghdad in 1623 yet lost it again to [Murad IV](#) in 1638. Henceforth a treaty, signed in [Qasr-e Shirin](#), was established delineating a border between Iran and Turkey in 1639, a border which still stands in northwest Iran/southeast Turkey. The 150-year tug-of-war accentuated the Sunni and Shi'a rift in [Iraq](#).

In 1609–10, a war broke out between [Kurdish](#) tribes and the Safavid Empire. After a long and bloody siege led by the Safavid grand vizier Hatem Beg, which lasted from November 1609 to the summer of 1610, the [Kurdish stronghold of Dimdim was captured](#). Shah Abbas ordered a general massacre in Beradost and Mukriyan ([Mahabad](#), reported by Eskandar Beg Monshi, Safavid Historian (1557–1642), in “Alam Ara Abbasi”) and resettled the [Turkic Afshar tribe](#) in the region while deporting many [Kurdish](#) tribes to [Khorasan](#).^{[70][71]} Nowadays, there is a community of nearly 1.7 million people who are descendants of the tribes deported from Kurdistan to Khurasan (Northeastern Iran) by the Safavids.^[72]

Due to his obsessive fear of assassination, Shah Abbas either put to death or blinded any member of his family who aroused his suspicion. One of his sons was executed and two blinded. Since two other sons had predeceased him, the result was personal tragedy for Shah Abbas. When he died on 19 January 1629, he had no son capable of succeeding him.^[73]

The beginning of the 17th century saw the power of the Qizilbash decline, the original militia that had helped Ismail I capture Tabriz and which had gained many administrative powers over the centuries. Power was shifting to a new class of merchants, many of the ethnic [Armenians](#), Georgians and [Indians](#).

At its zenith, during the long reign of Shah Abbas I the empire's reach comprised [Iran](#), [Iraq](#), [Armenia](#), [Azerbaijan](#), [Georgia](#), and parts of [Turkmenistan](#), [Uzbekistan](#), [Afghanistan](#), [Pakistan](#), and [Turkey](#).

CONTACTS WITH EUROPE DURING ABBAS' REIGN

Abbas' tolerance towards Christians was part of his policy of establishing diplomatic links with European powers to try to enlist their help in the fight against their common enemy, the Ottoman Empire. The idea of such an anti-Ottoman alliance was not a new one—over a century before, [Uzun Hassan](#), then ruler of part of Iran, had asked the [Venetians](#) for military aid—but none of the Safavids had made diplomatic overtures to Europe and Abbas' attitude was in marked contrast to that of his grandfather, Tahmasp I, who had expelled the English traveller [Anthony Jenkinson](#) from his court on hearing he was a Christian.^[74] For his part, Abbas declared that he “preferred the dust from the shoe soles of the lowest Christian to the highest Ottoman personage.”^[75]

In 1599, Abbas sent his [first diplomatic mission to Europe](#). The group crossed the [Caspian Sea](#) and spent the winter in Moscow, before proceeding through Norway, Germany (where it was received by [Emperor Rudolf II](#)) to Rome where [Pope Clement VIII](#) gave the travellers a long audience. They finally arrived at the court of [Philip III of Spain](#) in 1602. Although the expedition never managed to return to Iran, being shipwrecked on the journey around Africa, it marked an important new step in contacts between Iran and Europe and Europeans began to be fascinated by the Iranians and their culture—Shakespeare's 1601–2 [Twelfth Night](#), for example, makes two references (at II.5 and III.4) to ‘the Sophy’, then

the English term for the Shahs of Iran.^{[76][77]} Henceforward, the number of diplomatic missions to and fro greatly increased.^[78]

The shah had set great store on an alliance with Spain, the chief opponent of the Ottomans in Europe. Abbas offered trading rights and the chance to preach Christianity in Iran in return for help against the Ottomans. But the stumbling block of Hormuz remained, a vassal kingdom which had fallen into Spanish Habsburgs hands when the King of Spain inherited the throne of Portugal in 1580. The Spanish demanded Abbas break off relations with the English [East India Company](#) before they would consider relinquishing the town. Abbas was unable to comply. Eventually Abbas became frustrated with Spain, as he did with the Holy Roman Empire, which wanted him to make his 170,000 [Armenian](#) subjects swear allegiance to the Pope but did not trouble to inform the shah when the Emperor Rudolf signed a peace treaty with the Ottomans. Contacts with the Pope, Poland and Moscow were no more fruitful.^[79]

More came of Abbas' contacts with the English, although England had little interest in fighting against the Ottomans. The Sherley brothers arrived in 1598 and helped reorganise the Iranian army. The English East India Company also began to take an interest in Iran and in 1622 four of its ships helped Abbas retake Hormuz from the Portuguese in the [Capture of Ormuz \(1622\)](#). It was the beginning of the East India Company's long-running interest in Iran.^[80]

DECLINE OF THE SAFAVID STATE

In addition to fighting its perennial enemies, the Ottomans and Uzbeks, as the 17th century progressed Iran had to contend with the rise of new neighbors. Russian [Muscovy](#) in the previous century had deposed two western Asian khanates of the [Golden Horde](#) and expanded its influence into the Caucasus Mountains and Central Asia. In the east, the [Mughals](#) of India had expanded

into [Khorasan](#) (now [Afghanistan](#)) at the expense of Iranian control, taking [Qandahar](#).

More importantly, the Dutch East India company and later English/British used their superior means of maritime violence to control trade routes in the western Indian ocean. As a result, Iran was cut off from overseas links to East Africa, the Arabian peninsula, and South Asia.^[81] But overland trade between Iran and South Asia grew. Many Indian merchants established a permanent presence in Iran and moved into Russia from the mid-seventeenth century.^[82] Iran was also able to further develop its overland trade with North and Central Europe during the second half of the seventeenth century.^[83] In the late seventeenth century, Iranian merchants established a permanent presence as far north as Narva on the Baltic sea, in what now is Estonia.^[84]

The Dutch and English were still able to drain the Iranian government of much of its precious metal supplies. Except for Shah [Abbas II](#), the Safavid rulers after Abbas I were therefore rendered ineffectual, and the Iranian government declined and finally collapsed when a serious military threat emerged on its eastern border in the early eighteenth century.^[85] The end of the reign of [Abbas II](#), 1666, thus marked the beginning of the end of the Safavid dynasty. Despite falling revenues and military threats, later shahs had lavish lifestyles. [Sultan Husayn](#) (1694–1722) in particular was known for his love of wine and disinterest in governance.^[86]

The country was repeatedly raided on its frontiers—Kerman by [Baloch tribes](#) in 1698, Khorasan by the Hotakis in 1717, constantly in [Mesopotamia](#) by peninsula Arabs. Sultan Hosein tried to forcibly convert his Afghan subjects in Qandahar from Sunni to the Shi'a sect of Islam. In response, a [Ghilzai](#) Afghan chieftain named [Mir Wais Hotak](#) revolted and killed [Gurgin Khan](#), the Safavid governor of the region, along with his army. In 1722, an Afghan army led by Mir Wais' son [Mahmud](#) advanced on the heart of the empire and defeated the government forces at the [Battle of Gulnabad](#). He then besieged the capital of Isfahan, until Shah Sultan Husayn [abdicated](#) and acknowledged him as the new king of Persia.^[87]

The tribal Afghans rode roughshod over their conquered territory for seven years but were prevented from making further gains by [Nader Shah](#), a former slave who had risen to military leadership within the [Afshar tribe](#) in Khorasan, a vassal state of the Safavids. Nadir Shah defeated the Ghilzai Hotaki forces in the 1729 [Battle of Damghan](#). He had removed them from power, and in 1738 conquered their last stronghold in Qandahar; in the same year he occupied [Ghazni](#), [Kabul](#), [Lahore](#), and as far as [Delhi](#) in India. However, these cities were later inherited by his [Abdali](#) Afghan military commander, [Ahmad Shah Durrani](#). Nadir had effective control under Shah [Tahmasp II](#) and then ruled as regent of the infant [Abbas III](#) until 1736 when he had himself crowned shah.

Immediately after Nadir Shah's assassination in 1747, the Safavids were re-appointed as shahs of Iran in order to lend legitimacy to the nascent [Zand dynasty](#). However the brief puppet regime of Ismail III ended in 1760 when [Karim Khan](#) felt strong enough to take nominal power of the country as well and officially end the Safavid dynasty.

SHIA ISLAM AS THE STATE RELIGION

Even though Safavids were not the first Shia rulers in Iran, they played a crucial role in making Shia Islam the official religion in the whole of Iran. There were large Shia communities in some cities like [Qom](#) and [Sabzevar](#) as early as the 8th century. In the 10th and 11th centuries the [Buwayhids](#), who were of the [Zaidiyyah](#) branch of Shia, ruled in [Fars](#), [Isfahan](#) and [Baghdad](#). As a result of the Mongol conquest and the relative religious tolerance of the [Ilkhanids](#), Shia dynasties were re-established in Iran, [Sarbedaran](#) in [Khorasan](#) being the most important. The Ilkhanid ruler [Öljaitü](#) converted to Twelver Shiism in the 13th century.

Following his conquest of [Iran](#), Ismail I made conversion

mandatory for the largely [Sunni](#) population. The Sunni [Ulema](#) or clergy were either killed or exiled. Ismail I, brought in mainstream [Ithnā'ashariyyah](#) Shi'a religious leaders and granted them land and money in return for loyalty. Later, during the Safavid and especially [Qajar](#) period, the Shia Ulema's power increased and they were able to exercise a role, independent of or compatible with the government.

Iran became a feudal theocracy: the Shah was held to be the divinely ordained head of state and religion. In the following centuries, this religious stance cemented both Iran's internal cohesion and national feelings and provoked attacks by its [Sunni](#) neighbors.

MILITARY AND THE ROLE OF QIZILBASH

The Qizilbash were a wide variety of [Shi'ite](#) (*ghulāt*) and mostly [Turcoman](#) militant groups who helped found the Safavid Empire. Their military power was essential during the reign of the Shahs Ismail and Tahmasp. The Qizilbash tribes were essential to the military of Iran until the rule of [Shah Abbas I](#)– their leaders were able to exercise enormous influence and participate in court intrigues (assassinating Shah [Ismail II](#) for example).

A major problem faced by [Ismail I](#) after the establishment of the Safavid state was how to bridge the gap between the two major ethnic groups in that state: the [Qizilbash](#) (“Redhead”) Turcomans, the “men of sword” of classical Islamic society whose military prowess had brought him to power, and the [Persian](#) elements, the “men of the pen”, who filled the ranks of the bureaucracy and the religious establishment in the Safavid state as they had done for centuries under previous rulers of Persia, be they [Arabs](#), [Mongols](#), or [Turkmens](#). As [Vladimir Minorsky](#) put it, friction between these two groups was inevitable, because the Qizilbash “were no party to the national Persian tradition”.

Between 1508 and 1524, the year of Ismail's death, the shah appointed five successive Persians to the office of *vakil*. When the second Persian *vakil* was placed in command of a Safavid army in Transoxiana, the Qizilbash, considering it a dishonor to be obliged to serve under him, deserted him on the battlefield with the result that he was slain. The fourth *vakil* was murdered by the Qizilbash, and the fifth was put to death by them.^[50]

REFORMS IN THE MILITARY

Shah Abbas realized that in order to retain absolute control over his empire without antagonizing the Qizilbash, he needed to create reforms that reduced the dependency that the shah had on their military support. Part of these reforms was the creation of [the 3rd force](#) within the aristocracy, but even more important in undermining the authority of the Qizilbash was the introduction of the Royal Corps into the military. This military force would serve the shah only and eventually consisted of four separate branches.^[88]

- Shahsevans: these were 12,000 strong and built up from the small group of *qurchis* that Shah Abbas had inherited from his predecessor. The Shahsevans, or “Friends of the King”, were Qizilbash tribesmen who had forsaken their tribal allegiance for allegiance to the shah alone.^[89]
- Gulams: Tahmasp had started introducing Georgian, [Armenian](#) and [Circassian](#) slaves from the [Caucasus](#), appointing them either in the harem or the royal household. Shah Abbas expanded this program significantly and eventually created a force of 15 000 ghulam cavalymen.
- Musketers: realizing the advantages that the Ottomans had because of their firearms, Shah Abbas was at pains to equip both the *qurchi* and the ghulam soldiers with up-to-date weaponry. More importantly, for the first time in Iranian

history, a substantial infantry corps of musketeers (*tofang-chis*), numbering 12 000, was created.

- Artillery Corps: with the help of Westerners, he also formed an artillery corps of 12 000 men, although this was the weakest element in his army. According to [Sir Thomas Herbert](#), who accompanied the British embassy to Persia in 1628, the Persians relied heavily on support from the Europeans in manufacturing cannons.^[90] It wasn't until a century later, when [Nadir Shah](#) became the Commander in Chief of the military that sufficient effort was put into modernizing the artillery corps and the Persians managed to excel and become self-sufficient in the manufacturing of firearms.

Despite the reforms, the Qizilbash would remain the strongest and most effective element within the military, accounting for more than half of its total strength.^[90] But the creation of this large standing army, that, for the first time in Safavid history, was serving directly under the Shah, significantly reduced their influence, and perhaps any possibilities for the type of civil unrest that had caused havoc during the reign of the previous shahs.

SOCIETY

A proper term for the Safavid society is what we today can call a *meritocracy*, meaning a society in which officials were appointed on the basis of worth and merit, and not on the basis of birth. It was certainly not an oligarchy, nor was it an aristocracy. Sons of nobles were considered for the succession of their fathers as a mark of respect, but they had to prove themselves worthy of the position. This system avoided an entrenched aristocracy or a cast society.^[91] There even are numerous recorded accounts of laymen that rose to high official posts, as a result of their merits.^[92]

Nevertheless, the Persian society during the Safavids was that of

a hierarchy, with the Shah at the apex of the hierarchical pyramid, the common people, merchants and peasants at the base, and the aristocrats in between. The term *dowlat*, which in modern Persian means “government”, was then an abstract term meaning “bliss” or “felicity”, and it began to be used as concrete sense of the Safavid state, reflecting the view that the people had of their ruler, as someone elevated above humanity.^[93]

Also among the aristocracy, in the middle of the hierarchical pyramid, were the religious officials, who, mindful of the historic role of the religious classes as a buffer between the ruler and his subjects, usually did their best to shield the ordinary people from oppressive governments.^[93]

THE CUSTOMS AND CULTURE OF THE PEOPLE

[Jean Chardin](#) devoted a whole chapter in his book to describing the Persian character, which apparently fascinated him greatly. As he spent a large bulk of his life in Persia, he involved himself in, and took part in, their everyday rituals and habits, and eventually acquired intimate knowledge of their culture, customs and character. He admired their consideration towards foreigners, but he also stumbled upon characteristics that he found challenging. His descriptions of the public appearance, clothes and customs are corroborated by the miniatures, drawings and paintings from that time which have survived. As he describes them:^[94]

Their imagination is animated, quick and fruitful. Their memory is free and prolific. They are very favorably drawn to the sciences, the liberal and mechanical arts. Their temperament is open and leans towards sensual pleasure and self-indulgence, which makes them pay little attention to economy or business.

He then goes on:^[94]

They are very philosophical over the good and bad things in life and about expectations for the future. They are little tainted with avarice, desiring only to acquire in order to spend. They love to enjoy what is to hand and they refuse nothing which contributes to it, having no anxiety about the future which they leave to providence and fate.

But as he also experienced:^[95]

...the Persians are dissembling, shamelessly deceitful and the greatest flatterers in the world, using great deception and insolence. They lack good faith in business dealings, in which they cheat so adeptly that one is always taken in. Hypocrisy is the usual disguise in which they proceed. They say their prayers and perform their rituals in the most devout manner. They hold the wisest and most pious conversation of which they are capable. And although they are naturally inclined to humanity, hospitality, mercy and other worldly goods, nevertheless, they do not cease feigning in order to give the semblance of being much better than they really are.

CHARACTER

It is however no question, from reading Chardin's descriptions of their manners, that he considered them to be a well educated and well behaved people, who certainly knew the strict etiquettes of social intercourse. As he describes them,^[96]

Unlike Europeans, they much disliked physical activity, and were not in favor of exercise for its own sake, preferring the leisure of repose and luxuries that life could offer. Travelling was valued only for the specific purpose of getting from one place to another, not interesting them self in seeing new places and experiencing

different cultures. It was perhaps this sort of attitude towards the rest of the world that accounted for the ignorance of Persians regarding other countries of the world. The exercises that they took part in were for keeping the body supple and sturdy and to acquire skills in handling of arms. [Archery](#) took first place. Second place was held by [fencing](#), where the wrist had to be firm but flexible and movements agile. Thirdly there was horsemanship. A very strenuous form of exercise which the Persians greatly enjoyed was hunting.^[97]

ENTERTAINMENT

Since pre-Islamic times, the sport of [wrestling](#) had been an integral part of the Iranian identity, and the professional wrestlers, who performed in [Zurkhanehs](#), were considered important members of the society. Each town had their own troop of wrestlers, called Pahlavans. Their sport also provided the masses with entertainment and spectacle. Chardin described one such event.^[98]

As well as wrestling, what gathered the masses was fencing, tightrope dancers, puppet-players and acrobats, performing in large squares, such as the [Royal square](#). A leisurely form of amusement was to be found in the [cabarets](#), particularly in certain districts, like those near the mausoleum of Harun-e Velayat. People met there to drink liqueurs or coffee, to smoke tobacco or opium, and to chat or listen to poetry.^[99]

CLOTHES AND APPEARANCES

As noted before, a key aspect of the Persian character was its love of luxury, particularly on keeping up appearances. They would adorn their clothes, wearing stones and decorate the harness of their horses. Men wore many rings on their fingers, almost as many as their wives. They also placed jewels on their arms, such as on

daggers and swords. Daggers were worn at the waist. In describing the lady's clothing, he noted that Persian dress revealed more of the figure than did the European, but that women appeared differently depending on whether they were at home in the presence of friends and family, or if they were in the public. In private they usually wore a veil that only covered the hair and the back, but upon leaving the home, they would put on a large sheet, that concealed the whole of the body except from the face. They would often dye their feet and hands with [henna](#). Their hairstyle was simple, the hair gathered back in tresses, often adorning the ends with pearls and clusters of jewels. Women with slender waists were regarded as more attractive than those with larger figures. Women from the provinces and slaves pierced their left nostrils with rings, but well-born Persian women would not do this.^[100]

The most precious accessory for men was the [turban](#). Although they lasted a long time it was necessary to have changes for different occasions like weddings and the [Nowruz](#), while men of status never wore the same turban two days running. Clothes that became soiled in any way were changed immediately.^[101]

TURKS AND TAJIKS

Although the Safavid rulers and citizens were of native stock and continuously reasserted their Iranian identity, the power structure of the Safavid state was mainly divided into two groups: the Turkic-speaking military/ruling elite—whose job was to maintain the territorial integrity and continuity of the Iranian empire through their leadership—and the Persian-speaking administrative/governing elite—whose job was to oversee the operation and development of the nation and its identity through their high positions. Thus came the term “Turk and Tajik”, which was used by native Iranians for many generations to describe the [Persianate](#), or [Turko-Persian](#), nature of many dynasties which ruled over

Greater Iran between the 12th and 20th centuries, in that these dynasties promoted and helped continue the dominant Persian linguistic and cultural identity of their states, although the dynasties themselves were of non-Persian (e.g. Turkic) linguistic origins. The relationship between the Turkic-speaking ‘Turks’ and Persian-speaking ‘Tajiks’ was symbiotic, yet some form of rivalry did exist between the two. As the former represented the “*people of the sword*” and the latter, “*the people of the pen*”, high-level official posts would naturally be reserved for the Persians. Indeed, this had been the situation throughout Persian history, even before the Safavids, ever since the Arab conquest.^[102] Shah Tahmasp introduced a change to this, when he, and the other Safavid rulers who succeeded him, sought to blur the formerly defined lines between the two linguistic groups, by taking the sons of Turkic-speaking officers into the royal household for their education in the Persian language. Consequently, they were slowly able to take on administrative jobs in areas which had hitherto been the exclusive preserve of the ethnic Persians.^[103]

THE THIRD FORCE

From 1540 and onwards, Shah Tahmasp initiated a transformation of the society by slowly constructing a new branch within the aristocracy. The campaigns that he waged against Georgia between 1540 and 1554 were primarily meant to uphold the morale and the fighting efficiency of the qizilbash military,^[104] but they brought home large numbers of Georgian, [Armenian](#) and Circassian slaves. The women came to occupy prominent positions in the harems of the Safavid elite, particularly the Shah's, while the men were given special training, on completion of which they were either enrolled in one of the newly created *ghulam* regiments, or employed in the royal household.^[66] Shah Abbas continued this program and greatly expanded the *ghulam* military corps from a few hundred to

15 000 highly trained cavalrymen.^[105] He then went on to reduce the number of qizilbash provincial governorships and systematically moved qizilbash governors to other districts, thus disrupting their ties with the local community, and reducing their power. Many were replaced by a ghulam, and within short time, Georgians, [Armenians](#) and Circassians had been appointed to many of the highest offices of state. By 1595, [Allahverdi Khan](#), a Georgian, became one of the most powerful men in the Safavid state, when he was appointed the Governor-General of [Fars](#), one of the richest provinces in Persia. And his power reached its peak in 1598, when he became the commander-in-chief of the armed forces.^[106] Thus, this new group eventually came to constitute a powerful “third force” within the state, alongside the Tajik Persians and the Qizilbash Turks, and it only goes to prove the meritocratic society of the Safavids.

EMERGENCE OF A CLERICAL ARISTOCRACY

An important feature of the Safavid society was the alliance that emerged between the [ulama](#) (the religious class) and the [merchant](#) community. The latter included merchants trading in the bazaars, the trade and artisan guilds (*asnāf*) and members of the quasi-religious organizations run by [dervishes](#) (*futuwwa*). Because of the relative insecurity of property ownership in Persia, many private landowners secured their lands by donating them to the clergy as so called *vaqf*. They would thus retain the official ownership and secure their land from being confiscated by royal commissioners or local governors, as long as a percentage of the revenues from the land went to the ulama. Increasingly, members of the religious class, particularly the [mujtahids](#) and the [seyyeds](#), gained full ownership of these lands, and, according to contemporary historian [Iskandar](#)

[Munshi](#), Persia started to witness the emergence of a new and significant group of landowners.^[107]

AKHBARIS VERSUS USULIS

The Akhbari movement “crystalized” as a “separate movement” with the writings of [Muhammad Amin al-Astarabadi](#) (died 1627 AD). It rejected the use of reasoning in deriving verdicts and believed that only the Quran, hadith, (prophetic sayings and recorded opinions of the Imams) and consensus should be used as sources to derive verdicts (*fatawā*). Unlike [Usulis](#), Akhbari did and do not follow *marjas* who practice *ijtihad*.^[108]

It achieved its greatest influence in the late Safavid and early post-Safavid era, when it dominated Twelver Shia Islam.^[109] However, shortly thereafter [Muhammad Baqir Behbahani](#) (died 1792), along with other Usuli mujtahids, crushed the Akhbari movement.^[110] It remains only a small minority in the Shia Muslim world. One result of the resolution of this conflict was the rise in importance of the concept of *ijtihad* and the position of the mujtahid (as opposed to other ulama) in the 18th and early 19th centuries. It was from this time that the division of the Shia world into mujtahid (those who could follow their own independent judgment) and [muqallid](#) (those who had to follow the rulings of a mujtahid) took place. According to author Moojan Momen, “up to the middle of the 19th century there were very few mujtahids (three or four) anywhere at any one time,” but “several hundred existed by the end of the 19th century.”^[111]

ALLAMAH MAJLISI

[Muhammad Baqir Majlisi](#), commonly referenced to using the

title [Allamah](#), was a highly influential scholar during the 17th century (Safavid era). Majlisi's works emphasized his desire to purge Twelver Shi'ism of the influences of mysticism and philosophy, and to propagate an ideal of strict adherence to the Islamic law (sharia).^[112] Majlisi promoted specifically Shia rituals such as mourning for Hussein ibn Ali and visitation ([ziyarat](#)) of the tombs of the Imams and Imamzadas, stressing "the concept of the Imams as mediators and intercessors for man with God."^[113]

STATE AND GOVERNMENT

The Safavid state was one of checks and balance, both within the government and on a local level. At the apex of this system was the Shah, with total power over the state, legitimized by his bloodline as a [seyyed](#), or descendant of the Prophet Mohammad. So absolute was his power, that the French merchant, and later ambassador to Persia, [Jean Chardin](#) thought the Safavid Shahs ruled their land with an iron fist and often in a despotic manner.^[114] To ensure transparency and avoid decisions being made that circumvented the Shah, a complex system of bureaucracy and departmental procedures had been put in place that prevented fraud. Every office had a deputy or superintendent, whose job was to keep records of all actions of the state officials and report directly to the Shah. The Shah himself exercised his own measures for keeping his ministers under control by fostering an atmosphere of rivalry and competitive surveillance. And since the Safavid society was meritocratic, and successions seldom were made on the basis of heritage, this meant that government offices constantly felt the pressure of being under surveillance and had to make sure they governed in the best interest of their leader, and not merely their own.

THE GOVERNMENT

There probably did not exist any [parliament](#), as we know them today. But the Portuguese ambassador to the Safavids, [De Gouvea](#), still mentions the [Council of State](#)^[115] in his records, which perhaps was a term for governmental gatherings of the time.

The highest level in the government was that of the Prime Minister, or [Grand Vizier](#) (*Etemad-e Dowlat*), who was always chosen from among doctors of law. He enjoyed tremendous power and control over national affairs as he was the immediate deputy of the Shah. No act of the Shah was valid without the counter seal of the Prime Minister. But even he stood accountable to a deputy (*vak'anevis*), who kept records of his decision-makings and notified the Shah. Second to the Prime Minister post were the General of the Revenues (*mostoufi-ye mamalek*), or finance minister,^[116] and the *Divanbegi*, Minister of Justice. The latter was the final appeal in civil and criminal cases, and his office stood next to the main entrance to the [Ali Qapu](#) palace. In earlier times, the Shah had been closely involved in judicial proceedings, but this part of the royal duty was neglected by [Shah Safi](#) and the later kings.^[117]

Next in authority were the generals: the General of the Royal Troops (the *Shahsevens*), General of the Musketeers, General of the Ghulams and The Master of Artillery. A separate official, the Commander-in-Chief, was appointed to be the head of these officials.^[117]

THE ROYAL COURT

As for the royal household, the highest post was that of the *Nazir*, Court Minister. He was perhaps the closest advisor to the Shah, and, as such, functioned as his eyes and ears within the Court. His primary job was to appoint and supervise all the officials of

the household and to be their contact with the Shah. But his responsibilities also included that of being the treasurer of the Shahs properties. This meant that even the Prime Minister, who held the highest office in the state, had to work in association with the Nazir when it came to managing those transactions that directly related to the Shah.^[117]

The second most senior appointment was the Grand Steward (*Ichik Agasi bashi*), who would always accompany the Shah and was easily recognizable because of the great baton that he carried with him. He was responsible for introducing all guests, receiving petitions presented to the Shah and reading them if required. Next in line were the Master of the Royal Stables (*Mirakor bashi*) and the Master of the Hunt (*Mirshekar bashi*). The Shah had stables in all the principal towns, and Shah Abbas was said to have about 30 000 horses in studs around the country.^[118] In addition to these, there were separate officials appointed for the caretaking of royal banquets and for entertainment.

Chardin specifically noticed the rank of doctors and astrologers and the respect that the Shahs had for them. The Shah had a dozen of each in his service and would usually be accompanied by three doctors and three astrologers, who were authorized to sit by his side on various occasions.^[117] The Chief Physician (*Hakim-bashi*) was a highly considered member of the Royal court,^[119] and the most revered astrologer of the court was given the title *Munajjim-bashi* (Chief Astrologer).^[120]

During the first century of the dynasty, the primary court language remained *Azeri*,^[116] although this increasingly changed after the capital was moved to Isfahan.^[9]

LOCAL GOVERNMENTS

On a local level, the government was divided into public land and royal possessions. The public land was under the rule of local

governors, or *Khans*. Since the earliest days of the Safavid dynasty, the [Qizilbash](#) generals had been appointed to most of these posts. They ruled their provinces like petty shahs and spent all their revenues on their own province, only presenting the Shah with the balance. In return, they had to keep ready a standing army at all times and provide the Shah with military assistance upon his request. It was also requested from them that they appoint a lawyer (*vakil*) to the Court who would inform them on matters pertaining to the provincial affairs.^[121] [Shah Abbas I](#) intended to decrease the power of the Qizilbash by bringing some of these provinces into his direct control, creating so called *Crown Provinces* (*Khassa*). But it was [Shah Safi](#), under influence by his Prime Minister, Saru Taqi, that initiated the program of trying to increase the royal revenues by buying land from the governors and putting in place local commissioners.^[121] In time, this proved to become a burden to the people that were under the direct rule of the Shah, as these commissioners, unlike the former governors, had little knowledge about the local communities that they controlled and were primarily interested in increasing the income of the Shah. And, while it was in the governors' own interest to increase the productivity and prosperity of their provinces, the commissioners received their income directly from the royal treasury and, as such, did not care so much about investing in agriculture and local industries. Thus, the majority of the people suffered from rapacity and corruption carried out in the name of the Shah.^[121]

DEMOCRATIC INSTITUTIONS IN A TOTALITARIAN SOCIETY

In 16th and 17th century Iran, there existed a considerable number of local democratic institutions. Examples of such were the trade and artisan guilds, which had started to appear in Persia from the 1500s. Also, there were the quazi-religious fraternities

called *futuvva*, which were run by local [dervishes](#). Another official selected by the consensus of the local community was the *kadkhoda*, who functioned as a common law administrator.^[122] The local sheriff (*kalantar*), who was not elected by the people but directly appointed by the Shah, and whose function was to protect the people against injustices on the part of the local governors, supervised the *kadkhoda*.^[123]

LEGAL SYSTEM

In Safavid Persia there was little distinction between theology and jurisprudence, or between divine justice and human justice, and it all went under *Islamic jurisprudence* ([fiqh](#)). The legal system was built up of two branches: [civil law](#), which had its roots in [sharia](#), *received wisdom*, and [urf](#), meaning *traditional experience* and very similar to the Western form of [common law](#). While the imams and judges of law applied civil law in their practice, *urf* was primarily exercised by the local commissioners, who inspected the villages on behalf of the Shah, and by the Minister of Justice (*Divanbegi*). The latter were all secular functionaries working on behalf of the Shah.^[124]

The highest level in the legal system was the Minister of Justice, and the law officers were divided into senior appointments, such as the magistrate (*darughah*), inspector (*visir*), and recorder (*vak'anevis*). The lesser officials were the [qazi](#), corresponding a civil lieutenant, who ranked under the local governors and functioned as judges in the provinces.

According to [Chardin](#).^[125]

There were no particular place assigned for the administration of justice. Each magistrate executes justice in his own house in a large room opening on to a courtyard or a garden which is raised two or three feet above the ground.

The Judge is seated at one end of the room having a writer and a man of law by his side.

Chardin also noted that bringing cases into court in Persia was easier than in the West. The judge (qazi) was informed of relevant points involved and would decide whether or not to take up the case. Having agreed to do so, a sergeant would investigate and summon the defendant, who was then obliged to pay the fee of the sergeant. The two parties with their witnesses pleaded their respective cases, usually without any counsel, and the judge would pass his judgment after the first or second hearing.^[125]

[Criminal justice](#) was entirely separate from civil law and was judged upon *common law* administered through the Minister of Justice, local governors and the Court minister (the *Nazir*). Despite being based on *urf*, it relied upon certain sets of legal principles. Murder was punishable by death, and the penalty for bodily injuries was invariably the [bastinado](#). Robbers had their right wrists amputated the first time, and sentenced to death on any subsequent occasion. State criminals were subjected to the *karkan*, a triangular wooden collar placed around the neck. On extraordinary occasions when the Shah took justice into his own hand, he would dress himself up in red for the importance of the event, according to ancient tradition.^[124]

ECONOMY

What fueled the growth of Safavid economy was Iran's position between the burgeoning civilizations of Europe to its west and India and Islamic [Central Asia](#) to its east and north. The [Silk Road](#) which led through northern Iran to India revived in the 16th century. Abbas I also supported direct trade with Europe, particularly England and The Netherlands which sought [Persian carpet](#), silk and textiles. Other exports were horses, goat hair, pearls and an inedible bitter

almond hadam-talka used as a spice in India. The main imports were spice, textiles (woolens from Europe, cottons from Gujarat), metals, coffee, and sugar.

AGRICULTURE

According to the historian Roger Savory, the twin bases of the domestic economy were [pastoralism](#) and agriculture. And, just as the higher levels of the social hierarchy was divided between the Turkish “men of the sword” and the Persian “men of the pen”; so were the lower level divided between the Turcoman tribes, who were cattle breeders and lived apart from the surrounding population, and the Persians, who were peasants and settled agriculturalists.^[126]

The Safavid economy was to a large extent based on agriculture and taxation of agricultural products. According to the French jeweller [Jean Chardin](#), the variety in agricultural products in Persia was unrivaled in Europe and consisted of fruits and vegetables never even heard of in Europe. Chardin was present at some feasts in Isfahan where there were more than fifty different kinds of fruit. He thought that there was nothing like it in France or Italy.^[127]

Despite this, he was disappointed when travelling the country and witnessing the abundance of land that was not irrigated, or the fertile plains that were not cultivated, something he thought was in stark contrast to Europe. He blamed this on misgovernment, the sparse population of the country, and lack of appreciation of agriculture amongst the Persians.^[128]

In the period prior to Shah Abbas I, most of the land was assigned to officials (civil, military and religious). From the time of Shah Abbas onwards, more land was brought under the direct control of the shah. And since agriculture accounted to the by far largest share of tax revenue, he took measures to expand it. What remained unchanged, was the “*crop-sharing agreement*” between whom ever

was the landlord, and the peasant. This agreement consisted of five elements: land, water, plough-animals, seed and labour. Each element constituted 20 per cent of the crop production, and if, for instance, the peasant provided the labour force and the animals, he would be entitled to 40 per cent of the earnings.^{[129][130]} According to contemporary historians, though, the landlord always had the worst of the bargain with the peasant in the crop-sharing agreements. In general, the peasants lived in comfort, and they were well paid and wore good clothes, although it was also noted that they were subject to forced labour and lived under heavy demands.^[131]

TRAVEL AND CARAVANSERAI

Horses were the most important of all the domestic animals, and the best were brought in from Arabia and Central-Asia. They were costly because of the widespread trade in them, including to Turkey and India. The next most important mount, when traveling through Persia, was the mule. Also, the camel was a good investment for the merchant, as they cost nearly nothing to feed, carried a lot of weight and could travel almost anywhere.^[132]

Under the governance of the strong shahs, especially during the first half of the 17th century, traveling through Persia was easy because of good roads and the [caravanserais](#), that were strategically placed along the route. [Thévenot](#) and [Tavernier](#) commented that the Persian caravanserais were better built and cleaner than their Turkish counterparts.^[133] According to Chardin, they were also more abundant than in the Mughal or Ottoman Empires, where they were less frequent but larger.^[134] Caravanserais were designed especially to benefit poorer travelers, as they could stay there for as long as they wished, without payment for lodging. During the reign of Shah Abbas I, as he tried to upgrade the [Silk route](#) to improve the commercial prosperity of the Empire, an abundance of caravanserais, bridges, bazaars and roads were built, and this

strategy was followed by wealthy merchants who also profited from the increase in trade. To uphold the standard, another source of revenue was needed, and road toll, that were collected by guards (*rah-dars*), were stationed along the trading routes. They in turn provided for the safety of the travelers, and both Thevenot and Tavernier stressed the safety of traveling in 17th century Persia, and the courtesy and refinement of the policing guards.^[135] The Italian traveler [Pietro Della Valle](#) was impressed by an encounter with one of these road guards:^[136]

FOREIGN TRADE AND THE SILK ROUTE

The [Portuguese Empire](#) and the discovery of the trading route around the [Cape of Good Hope](#) in 1487 not only hit a death blow to [Venice](#) as a trading nation, but it also hurt the trade that was going on along the [Silk Route](#) and especially the [Persian Gulf](#). They correctly identified the three key points to control all seaborne trade between Asia and Europe: The [Gulf of Aden](#), The Persian Gulf and the [Straits of Malacca](#) by cutting off and controlling these strategic locations with high taxation.^[137] In 1602, Shah Abbas I drove the Portuguese out of [Bahrain](#), but he needed naval assistance from the newly arrived British [East India Company](#) to finally expel them from the [Strait of Hormuz](#) and regain control of this trading route.^[138] He convinced the British to assist him by allowing them to open factories in Shiraz, Isfahan and Jask.^{[139][140]} With the later end of the Portuguese Empire, the British, Dutch and French in particular gained easier access to Persian seaborne trade, although they, unlike the Portuguese, did not arrive as colonisers, but as merchant adventurers. The terms of trade were not imposed on the Safavid shahs, but rather negotiated.

In the long term, however, the seaborne trade route was of less significance to the Persians than was the traditional Silk Route. Lack of investment in ship building and the navy provided the Europeans

with the opportunity to monopolize this trading route. The land-borne trade would thus continue to provide the bulk of revenues to the Persian state. Much of the cash revenue came not so much from what could be sold abroad, as from the custom charges and transit dues levied on goods passing through the country.^[141] Shah Abbas was determined to greatly expand this trade, but faced the problem of having to deal with the Ottomans, who controlled the two most vital routes: the route across Arabia to the Mediterranean ports, and the route through [Anatolia](#) and Istanbul. A third route was therefore devised which circumvented Ottoman territory. By travelling across the [Caspian sea](#) to the north, they would reach Russia. And with the assistance of the [Muscovy Company](#) they could cross over to Moscow, reaching Europe via Poland. This trading route proved to be of vital importance, especially during times of war with the Ottomans.^[142]

By the end of the 17th century, the Dutch had become dominant in the trade that went via the Persian Gulf, having won most trade agreements, and managed to strike deals before the British or French were able to. They particularly established monopoly of the spice trade between the East Indies and Iran.^[143]

THE ARMENIAN MERCHANTS AND THE TRADE OF SILK

The one valuable item, sought for in Europe, which Iran possessed and which could bring in silver in sufficient quantities was silk, which was produced in the northern provinces, along the Caspian coastline. The trade of this product was done by Turks and Persians to begin with, but during the 17th century the Christian [Armenians](#) became increasingly vital in the trade of this merchandise, as middlemen.^[144]

Whereas domestic trade was largely in the hands of Persian and Jewish merchants, by late 17th century, almost all foreign trade was

controlled by the [Armenians](#).^[145] They were even hired by wealthy Persian merchants to travel to Europe when they wanted to create commercial bases there, and the Armenians eventually established themselves in cities like [Bursa](#), [Aleppo](#), Venice, Livorno, Marseilles and Amsterdam.^[144] Realizing this, Shah Abbas resettled large numbers of Armenians from the [Caucasus](#) to his capital city and provided them with loans.^[144] And as the shah realized the importance of doing trade with the Europeans, he assured that the Safavid society was one with religious tolerance. The Christian Armenians thus became a commercial elite in the Safavid society and managed to survive in the tough atmosphere of business being fought over by the British, Dutch, French, Indians and Persians, by always having large capital readily available and by managing to strike harder bargains ensuring cheaper prices than what, for instance, their British rivals ever were able to.^[146]

CULTURE

Persian arts

File:Persian art collage.jpg

Visual arts

- [Painting](#)
- [Miniature](#)
- [Calligraphy](#)

Decorative arts

- [Jewelry](#)
- [Metalworks](#)
- [Embroidery](#)
- [Motifs](#)
- [Tileworks](#)
- [Handicrafts](#)
- Pottery
- [Mirrorworks](#)

Literature

- [Literature](#)
- [Mythology](#)
- [Folklore](#)
- [Philosophy](#)

Performance arts

- [Dance](#)
- [Music](#)
- [Cinema](#)
- [Theatre](#)

Other

- [Architecture](#)
 - [Cuisine](#)
 - [Carpets](#)
 - [Gardens](#)
-

CULTURE WITHIN THE SAFAVID FAMILY

The Safavid family was a literate family from its early origin. There are extant Tati and Persian poetry from Shaykh Safi ad-din Ardabili as well as extant Persian poetry from Shaykh Sadr ad-din. Most of the extant poetry of Shah Ismail I is in [Azerbaijani](#) pen-name of Khatai.^[51] Sam Mirza, the son of Shah Esmail as well as some later authors assert that Ismail composed poems both in Turkish and Persian but only a few specimens of his Persian verse have survived.^[50] A collection of his poems in Azeri were published as a Divan. Shah Tahmasp who has composed poetry in Persian was also a painter, while Shah Abbas II was known as a poet, writing Azerbaijani verses.^[147] Sam Mirza, the son of Ismail I was himself a poet and composed his poetry in Persian. He also compiled an anthology of contemporary poetry.^[148]

CULTURE WITHIN THE EMPIRE

Shah Abbas I recognized the commercial benefit of promoting the arts—artisan products provided much of Iran's foreign trade. In this period, handicrafts such as tile making, pottery and textiles developed and great advances were made in miniature painting, bookbinding, decoration and calligraphy. In the 16th century, carpet weaving evolved from a nomadic and peasant craft to a well-executed industry with specialization of design and manufacturing. [Tabriz](#) was the center of this industry. The carpets of Ardabil were commissioned to commemorate the Safavid dynasty. The elegantly baroque yet famously 'Polonaise' carpets were made in Iran during the 17th century.

Using traditional forms and materials, [Reza Abbasi](#) (1565–1635) introduced new subjects to Persian painting—semi-nude women, youth, lovers. His painting and calligraphic style influenced Iranian

artists for much of the Safavid period, which came to be known as the Isfahan school. Increased contact with distant cultures in the 17th century, especially Europe, provided a boost of inspiration to Iranian artists who adopted modeling, foreshortening, spatial recession, and the medium of oil painting (Shah Abbas II sent [Zaman](#) to study in Rome). The epic [Shahnameh](#) (“Book of Kings”), a stellar example of manuscript illumination and calligraphy, was made during Shah Tahmasp’s reign. (This book was written by Ferdousi in 1000 AD for Sultan Mahmood Ghaznawi) Another manuscript is the Khamsa by [Nizami](#) executed 1539–43 by Aqa Mirak and his school in Isfahan.

[Isfahan](#) bears the most prominent samples of the Safavid architecture, all constructed in the years after Shah Abbas I permanently moved the capital there in 1598: the Imperial Mosque, Masjid-e Shah, completed in 1630, the [Imam Mosque](#) (Masjid-e Imami) the Lutfallah Mosque and the Royal Palace.

According to William Cleveland and Martin Bunton,^[149] the establishment of [Isfahan](#) as the Great capital of Persia and the material splendor of the city attracted intellectuals from all corners of the world, which contributed to the city’s rich cultural life. The impressive achievements of its 400 000 residents prompted the inhabitants to coin their famous boast, “Isfahan is half the world”.

Poetry stagnated under the Safavids; the great medieval [ghazal](#) form languished in over-the-top lyricism. Poetry lacked the royal patronage of other arts and was hemmed in by religious prescriptions.

The arguably most renowned historian from this time was [Iskandar Beg Munshi](#). His *History of Shah Abbas the Great* written a few years after its subject’s death, achieved a nuanced depth of history and character.

THE ISFAHAN SCHOOL—ISLAMIC

PHILOSOPHY REVIVED

Islamic philosophy^[150] flourished in the Safavid era in what scholars commonly refer to the School of Isfahan. [Mir Damad](#) is considered the founder of this school. Among luminaries of this school of philosophy, the names of Iranian philosophers such as [Mir Damad](#), [Mir Fendereski](#), [Shaykh Bahai](#) and [Mohsen Fayz Kashani](#) stand out. The school reached its apogee with that of the Iranian philosopher [Mulla Sadra](#) who is arguably the most significant Islamic philosopher after Avicenna. [Mulla Sadra](#) has become the dominant philosopher of the Islamic East, and his approach to the nature of philosophy has been exceptionally influential up to this day.^[151] He wrote the [Al-Hikma al-muta'aliya fi-l-asfar al-'aqliyya al-arba'a](#) ("The Transcendent Philosophy of the Four Journeys of the Intellect"),^[152] a meditation on what he called 'meta philosophy' which brought to a synthesis the philosophical mysticism of Sufism, the theology of [Shi'a Islam](#), and the [Peripatetic](#) and [Illuminationist](#) philosophies of [Avicenna](#) and [Suhrawardi](#).

According to the [Iranologist](#) Richard Nelson Frye:^[153]

They were the continuers of the classical tradition of Islamic thought, which after Averroes died in the Arab west. The Persians schools of thought were the true heirs of the great Islamic thinkers of the golden age of Islam, whereas in the Ottoman empire there was an intellectual stagnation, as far as the traditions of Islamic philosophy were concerned.

MEDICINE

The status of physicians during the Safavids stood as high as ever. Whereas neither the [ancient Greeks](#) nor the [Romans](#) accorded high social status to their doctors, Iranians had from ancient times

honored their physicians, who were often appointed counselors of the Shahs. This would not change with the [Arab conquest of Iran](#), and it was primarily the Persians that took upon them the works of [philosophy](#), logic, medicine, mathematics, [astronomy](#), [astrology](#), music and [alchemy](#).^[154]

By the sixteenth century, [Islamic science](#), which to a large extent meant [Persian science](#), was resting on its laurels. The works of [al-Razi](#) (865-92) (known to the West as Razes) were still used in European universities as standard textbooks of alchemy, [pharmacology](#) and [pediatrics](#). The [Canon of Medicine](#) by [Avicenna](#) (c. 980-1037) was still regarded as one of the primary textbooks in medicine throughout most of the civilized world.^[155] As such, the status of medicine in the Safavid period did not change much, and relied as much on these works as ever before. [Physiology](#) was still based on the four humours of ancient and mediaeval medicine, and bleeding and purging were still the principal forms of therapy by surgeons, something even [Thevenot](#) experienced during his visit to Persia.^[119]

The only field within medicine where some progress were made was pharmacology, with the compilement of the “Tibb-e Shifa” in 1556. This book was translated into French in 1681 by [Angulus de Saint](#), under the name “Pharmacopoea Persica”.^[156]

ISFAHAN IS HALF THE WORLD

THE ARCHITECTURAL LEGACY OF THE SAFAVIDS

A new age in [Iranian architecture](#) began with the rise of the Safavid dynasty. Economically robust and politically stable, this period saw a flourishing growth of theological sciences. Traditional architecture

evolved in its patterns and methods leaving its impact on the architecture of the following periods.

Indeed, one of the greatest legacies of the Safavids is the architecture. In 1598, when Shah Abbas decided to move the capital of his Persian empire from the north-western city of [Qazvin](#) to the central city of [Isfahan](#), he initiated what would become one of the greatest programmes in Persian history; the complete remaking of the city. By choosing the central city of Isfahan, fertilized by the [Zāyande roud](#) ("The life-giving river"), lying as an oasis of intense cultivation in the midst of a vast area of arid landscape, he both distanced his capital from any future assaults by the [Ottomans](#) and the [Uzbeks](#), and at the same time gained more control over the [Persian Gulf](#), which had recently become an important trading route for the Dutch and British [East India Companies](#).^[157]

The Chief architect of this colossal task of urban planning was [Shaykh Bahai](#) (Baha' ad-Din al-'Amili), who focused the programme on two key features of Shah Abbas's master plan: the [Chahar Bagh](#) avenue, flanked at either side by all the prominent institutions of the city, such as the residences of all foreign dignitaries. And the [Naqsh-e Jahan Square](#) ("Exemplar of the World").^[158] Prior to the Shah's ascent to power, Persia had a decentralized power-structure, in which different institutions battled for power, including both the military (the [Qizilbash](#)) and governors of the different provinces making up the empire. Shah Abbas wanted to undermine this political structure, and the recreation of Isfahan, as a Grand capital of Persia, was an important step in centralizing the power.^[159] The ingenuity of the square, or *Maidān*, was that, by building it, Shah Abbas would gather the three main components of power in Persia in his own backyard; the power of the clergy, represented by the [Masjed-e Shah](#), the power of the merchants, represented by the Imperial Bazaar, and of course, the power of the Shah himself, residing in the [Ali Qapu](#) Palace.

Distinctive monuments like the [Sheikh Lotfallah](#) (1618), [Hasht Behesht](#) (Eight Paradise Palace) (1469) and the [Chahar Bagh](#)

School(1714) appeared in Isfahan and other cities. This extensive development of architecture was rooted in Persian culture and took form in the design of schools, baths, houses, caravanserais and other urban spaces such as bazaars and squares. It continued until the end of the Qajar reign.^[160]

THE LANGUAGES OF THE COURT, MILITARY, ADMINISTRATION AND CULTURE

The Safavids by the time of their rise were [Azerbaijani](#)-speaking although they also used [Persian](#) as a second language. The language chiefly used by the Safavid court and military establishment was [Azerbaijani](#).^{[11][14]} But the official^[5] language of the empire as well as the administrative language, language of correspondence, literature and historiography was Persian.^[11] The inscriptions on Safavid currency were also in Persian.^[161]

Safavids also used [Persian](#) as a cultural and administrative language throughout the empire and were bilingual in Persian.^[51] According to Arnold J. Toynbee,^[162]

In the heyday of the Mughal, Safawi, and Ottoman regimes New Persian was being patronized as the language of litterae humaniores by the ruling element over the whole of this huge realm, while it was also being employed as the official language of administration in those two-thirds of its realm that lay within the Safawi and the Mughal frontiers

According to John R. Perry,^[163]

In the 16th century, the Turcophone Safavid family of Ardabil in Azerbaijan, probably of Turkicized Iranian, origin, conquered Iran and established Turkic, the language of the court and the military, as a high-status vernacular and a

widespread contact language, influencing spoken Persian, while written Persian, the language of high literature and civil administration, remained virtually unaffected in status and content.

According to Zabiollah Safa,^[14]

In day-to-day affairs, the language chiefly used at the Safavid court and by the great military and political officers, as well as the religious dignitaries, was Turkish, not Persian; and the last class of persons wrote their religious works mainly in Arabic. Those who wrote in Persian were either lacking in proper tuition in this tongue, or wrote outside Iran and hence at a distance from centers where Persian was the accepted vernacular, endued with that vitality and susceptibility to skill in its use which a language can have only in places where it truly belongs.

According to É. Á. Csató et al.,^[37]

A specific Turkic language was attested in Safavid Persia during the 16th and 17th centuries, a language that Europeans often called Persian Turkish (“Turc Agemi”, “lingua turcica agemica”), which was a favourite language at the court and in the army because of the Turkic origins of the Safavid dynasty. The original name was just turki, and so a convenient name might be Turki-yi Acemi. This variety of Persian Turkish must have been also spoken in the Caucasian and Transcaucasian regions, which during the 16th century belonged to both the Ottomans and the Safavids, and were not fully integrated into the Safavid empire until 1606. Though that language might generally be identified as Middle Azerbaijanian, it's not yet possible to define exactly the limits of this language, both in linguistic and territorial respects. It was certainly not homogenous—maybe it was an Azerbaijanian-Ottoman

mixed language, as Beltadze (1967:161) states for a translation of the gospels in Georgian script from the 18th century.

According to Rula Jurdi Abisaab,^[164]

Although the Arabic language was still the medium for religious scholastic expression, it was precisely under the Safavids that hadith complications and doctrinal works of all sorts were being translated to Persian. The ‘Amili (Lebanese scholars of Shi’i faith) operating through the Court-based religious posts, were forced to master the Persian language; their students translated their instructions into Persian. Persianization went hand in hand with the popularization of ‘mainstream’ Shi’i belief.

According to Cornelis Versteegh,^[165]

The Safavid dynasty under Shah Ismail (961/1501) adopted Persian and the Shi’ite form of Islam as the national language and religion.

LEGACY

It was the Safavids who made Iran the spiritual bastion of Shi’ism against the onslaughts of Sunni Islam, and the repository of Persian cultural traditions and self-awareness of Iranianhood, acting as a bridge to modern Iran. The founder of the dynasty, Shah Isma’il, adopted the title of “Persian Emperor” *Pādišah-ī Īrān*, with its implicit notion of an Iranian state stretching from [Khorasan](#) as far as [Euphrates](#), and from the [Oxus](#) to the southern Territories of the [Persian Gulf](#).^[166] According to Professor Roger Savory:^{[167][168]}

In a number of ways the Safavids affected the development of the modern Iranian state: first, they ensured the continuance of various ancient and traditional Persian

institutions, and transmitted these in a strengthened, or more 'national', form; second, by imposing Ithna 'Ashari [Shi'a Islam](#) on Iran as the official religion of the Safavid state, they enhanced the power of mujtahids. The Safavids thus set in train a struggle for power between the turban and the crown that is to say, between the proponents of secular government and the proponents of a theocratic government; third, they laid the foundation of alliance between the religious classes ('Ulama') and the bazaar which played an important role both in the Persian Constitutional Revolution of 1905–1906, and again in the Islamic Revolution of 1979; fourth the policies introduced by Shah Abbas I conduced to a more centralized administrative system.

SAFAVID SHAHS OF IRAN

- [Ismail I](#) 1501–1524
- [Tahmasp I](#) 1524–1576
- [Ismail II](#) 1576–1578
- [Mohammed Khodabanda](#) 1578–1587
- [Abbas I](#) 1587–1629
- [Safi](#) 1629–1642
- [Abbas II](#) 1642–1666
- [Suleiman I](#) 1666–1694
- [Sultan Hoseyn I](#) 1694–1722
- [Tahmasp II](#) 1722–1732
- [Abbas III](#) 1732–1736

33. Mughal Empire

Mughal Empire



Historical map of the **Mughal Empire**

The **Mughal Empire**, (Persian language: [مغل بادشاه](#)) was an empire that at its greatest territorial extent ruled parts of [Afghanistan](#), Balochistan and most of the Indian Subcontinent between 1526 and 1857. The empire was founded by the Mongol leader [Babur](#) in 1526, when he defeated Ibrahim Lodi, the last of the [Afghan Lodi Sultans](#) at the First Battle of Panipat, where they used gunpowder for the first time in India. The Mughal Empire is known as a “gunpowder empire.” The word “Mughal” is the Indo-Aryan version of “[Mongol](#).” Babur was a descendant of [Chingis Khan](#). The Mughals retained aspects of Mongol culture well into the sixteenth century, such as the arrangement of tents around the royal camp during military maneuvers. The religion of Mughals was [Islam](#).

Did you know?

The Mughal Empire ruled parts of [Afghanistan](#) and most of the [Indian](#) Subcontinent between 1526 and 1857

Under [Akbar the Great](#), the empire grew considerably, and continued to expand until the end of [Aurangzeb](#)’s rule. Jahangir, the son of Akbar, ruled the empire between 1605 and 1627. When [Shah Jahan](#), Jahangir’s son, became emperor in October 1627, the empire was large and wealthy enough to be considered one of the greatest empires in the world at that time. It was Shah Jahan who commissioned the building that represents the pinnacle of Mughal architectural achievement, the [Taj Mahal](#), between 1630 and 1653. Sponsors of art and of learning, the Mughals left a rich heritage of buildings, paintings and literature. Their beautiful gardens (*jahanara*) representing a taste of heaven on earth, and the sanctity of nature which in the [Qur’an](#) praises God (Q34: 10), remain an impressive part of their heritage.

After [Aurangzeb](#) died in 1707, the empire started a slow and steady decline in actual power, although it maintained all the trappings of power in the Indian subcontinent for another 150 years. In 1739 it was defeated by the army of the Persian shah, Nadir Shah (1688-1747). In 1756 Ahmad Shah (1747-1772) of Afghanistan looted

Delhi. Complacent in their military superiority, the Mughals failed to modernize their technology. While no Indians could challenge their cannon, outsiders could. Increasingly, the Mughal emperors grew less interested in good governance and more interested in maintaining their lavish lifestyle and expensive court. Hence, the emperors up to Aurangzeb are called the “greater,” after him the “lesser.” This is very similar to the pattern that emerged in the [Ottoman Empire](#), where the rulers grew increasingly disinterested in good governance and repeated the pattern of their predecessors, the [Afghan Lodi Sultans](#).

Maintaining the Mughal lifestyle meant higher taxes, from which the taxpayers derived no benefit. Little money was invested in [agricultural](#) or technological development. Economic prosperity was regarded as a threat to the security of the state, and so was discouraged (the more wealthy people could purchase arms and rebel). Local governors took advantage of this to virtually declare independence from the center, soon aided and abetted by the [British](#) and [French](#). Under an initial treaty with the Mughals in 1616, the British first built factories; by 1765 in the Treaty of Allahabad they acquired tax raising and administrative power in Bengal, Bihar and Orissa, after which the Mughal emperor became their puppet. They dissolved the empire in 1857, having already gained control of substantial territory in [India](#), winning the competition against the French and [Dutch](#). At times, the Mughals experimented in establishing good inter-religious relations with the non-Hindu majority, employing Hindus in senior posts. At other times, religious zealotry resulted in the destruction of temples and of [Hindu](#) images and in the imposition of harsh taxes. The positive aspect of their legacy still contributes to interfaith harmony in India, [Pakistan](#) and [Bangladesh](#), but the negative aspect fuels inter-community (communitarian) hatred and even violence. Lessons can be learned from the Mughal legacy on how to govern multi-racial, multi-religious societies.

Religion



A picture from the inside of the Mughal palace Khas Mahal

The Mughal ruling class was [Muslim](#), although many of the subjects of the empire were Hindu and also [Sikh](#). When [Babur](#) first founded the empire, he did not emphasize his religion, but rather his [Mongol](#) heritage. Under [Akbar](#), the court abolished the *jizya*, the tax on non-Muslims, and abandoned use of the lunar Muslim calendar in favor of a solar calendar more useful for agriculture. One of Akbar's most unusual ideas regarding religion was *Din-i-Ilahi* ("Godism" in English), which was an eclectic mix of [Hinduism](#), [Islam](#), and Christianity. He enjoyed good relations with the emerging Sikh community, and it was proclaimed the state religion until his death. These actions were later retracted by [Aurangzeb](#), known for his zealotry. Aurangzeb imposed [Sharia](#) law, which he codified, re-imposed the *jizya*, and as had Babur, destroyed temples in order to build mosques. He is known to have treated non-Muslims harshly.

Under Aurangzeb, Mughal court life changed dramatically. According to his interpretation, Islam did not allow music, so he banished court musicians, dancers, and singers. Further, based on Muslim precepts forbidding images, he stopped the production of

representational artwork, including the miniature paintings for which the Mughals are renowned.

The Mughal Emperors persecuted several of the Sikh Gurus, and Jehangir executed the fifth Guru. Even the Taj Mahal is reputedly built on a sacred Hindu site, although this is disputed. At times, popular Sufi teachers such as attracted Hindu and Muslim disciples while some Hindu gurus were also popular among Muslims. Many Sufi shrines are still visited by Hindus as well as Muslims.

The Mughals tended to regard themselves as rulers by divine right, rather than as subject to Islamic law. Thus, they did not afford religious scholars much authority. Although they recognized the Ottoman claim to the title of [caliph](#), they saw the Ottomans as just another Muslim empire like themselves, especially as they shared a similar pedigree. Whether the earlier policies of harmonizing religions were merely pragmatic or stemmed from a more inclusive understanding of Islam is debatable. Certainly, such Sufi teachers as Kabir (1414-1518) who flourished at an earlier period had represented a 'peace to all' type of Islam that was attractive to many people in the subcontinent. He taught that all people are members of one family and he drew equally on Muslim and Hindu devotional traditions. The reversal of the early policy would eventually result in the partition of India based on the "two-nation theory," which believed that Muslims and Hindus were two nations and could not peacefully co-exist.

Political Economy

The Mughals used the *mansabdar* system to generate land revenue. The emperor would grant revenue rights to a *mansabdar* in exchange for promises of soldiers in wartime. The greater the size of the land the emperor granted, the greater the number of soldiers the *mansabdar* or *Zamindars* had to promise. The *mansab* was both revocable and non-hereditary; this gave the center a fairly large degree of control over the *mansabdars*. As a result of increasingly

heavy taxation (initially the Mughals had not overtaxed), revolt was encouraged as local people objected to the amount of money spent on the lavish Mughal court. Initially, this also encouraged economic development, establishing a strong system of banking and credit, and issuing paper money. Increasingly, however, they bled the country of its wealth to feed their lifestyle. Ignoring development, they failed to keep pace with the developments of the rest of the world, including those of weapon technology.

The Greater Mughal Emperors		
Emperor	Reign start	Reign end
Babur	1526	1530
Humayun	1530	1556
Akbar the Great	1556	1605
Jahangir	1605 (granted rights to British East India Company to build a factory, 1615).	1627
Shah Jahan	1627	1658
Aurangzeb	1658	1707

Establishment and reign of Babur

In the early sixteenth century, descendants of the [Mongol](#), Turkic, Persian, and Afghan invaders of Southwest Asia—the Mughals—invaded the India under the leadership of Zahir-ud-din Mohammad Babur. [Babur](#) was the great-grandson of Timur Lenk (Timur the Lame, from which the Western name Tamerlane is derived), who had invaded India and plundered [Delhi](#) in 1398 and then led a short-lived empire based in Samarkand (in modern-day [Uzbekistan](#)) that united Persian-based Mongols (Babur's maternal ancestors) and other West Asian peoples. Babur was driven

from Samarkand and initially established his rule in Kabul in 1504; he later became the first Mughal ruler (1526–30). His determination was to expand eastward into Punjab, where he had made a number of forays including an attack on the Gakhar stronghold of Pharwala. Then an invitation from an opportunistic Afghan chief in Punjab brought him to the very heart of the [Delhi Sultanate](#), ruled by Ibrahim Lodi (1517–26). Lodi's own uncle invited Babur to invade, because the Sultan was weak and corrupt.

Babur, a seasoned military commander, entered India in 1526 with his well-trained veteran army of twelve thousand to meet the sultan's huge but unwieldy and disunited force of more than 100,000 men. Babur defeated the Lodi sultan decisively at Panipat (in modern-day Haryana, about 90 kilometers north of Delhi). Employing gun carts, movable artillery, and superior cavalry tactics, Babur achieved a resounding victory. A year later, he decisively defeated a Rajput confederacy led by Rana Sangha. In 1529 Babur routed the joint forces of Afghans and the sultan of Bengal but died in 1530 before he could consolidate his military gains. He left behind as legacies his memoirs (*Baburnama*), several beautiful gardens in Kabul and Lahore, and descendants who would fulfill his dream of establishing an empire in the Indian Subcontinent.

Reign of Humayun

When Babur died, his son [Humayun](#) (1530–56) inherited a difficult task. He was pressed from all sides by a reassertion of Afghan claims to the Delhi throne, by disputes over his own succession, and by the Afghan-Rajput march into Delhi in 1540. He fled to Persia, where he spent nearly ten years as an embarrassed guest at the [Safavid](#) court of Tahmasp I. During Sher Shah's reign, an imperial unification and administrative framework were established, but would be further developed by Akbar later in the century. In 1545 Humayun gained a foothold in Kabul with Safavid assistance and reasserted his Indian

claim, a task made easier by the weakening of Afghan power in the area after the death of Sher Shah Suri in May 1545, and took control of Delhi in 1555. However, he was not in power a few years before he took a fatal fall down his library's stairs.



The main Gate of [Agra's Red Fort](#), captured from the Lodi dynasty by [Akbar the Great](#) according to most accounts

Reign of Akbar

Humayun's untimely death in 1556 left the task of further imperial conquest and consolidation to his 13-year-old son, Jalal-ud-Din Akbar (reigned 1556–1605). Following a decisive military victory at the Second Battle of Panipat in 1556, the regent Bayram Khan pursued a vigorous policy of expansion on Akbar's behalf. As soon as Akbar came of age, he began to free himself from the influences of overbearing ministers, court factions, and *harem* intrigues, and demonstrated his own capacity for judgment and leadership. A workaholic who seldom slept more than three hours a night, he personally oversaw the implementation of his administrative policies, which were to form the backbone of the Mughal Empire for more than two hundred years. He continued to conquer, annex, and consolidate a far-flung territory bounded by [Kabul](#) in the northwest, [Kashmir](#) in the north, Bengal in the east, and beyond the Narmada River in central India—an area comparable in size to the [Mauryan](#) territory some 1,800 years earlier.

Akbar built a walled capital called Fatehpur Sikri (*Fatehpur* means town of victory) near Agra, starting in 1571. Palaces for each of Akbar's senior queens, a huge artificial lake, and sumptuous water-filled courtyards were built there. It incorporated the tomb of the Sufi saint, whom he revered, Shaikh Salim Chisti (1418–1572), who had predicted the birth of his son. The city, however, proved short-lived, with the capital being moved to [Lahore](#) in 1585. The reason may have been that the water supply in Fatehpur Sikri was insufficient or of poor quality, or, as some historians believe, that Akbar had to attend to the northwest areas of his empire and therefore moved his capital northwest. In 1599 Akbar shifted his capital back to Agra, from where he reigned until his death.

Akbar adopted two distinct but effective approaches in administering a large territory and incorporating various ethnic groups into the service of his realm. In 1580 he obtained local revenue statistics for the previous decade in order to understand

details of productivity and price fluctuation of different crops. Aided by Raja Todar Mal, a Rajput king, Akbar issued a revenue schedule that the peasantry could tolerate while providing maximum profit for the state. Revenue demands, fixed according to local conventions of cultivation and quality of soil, ranged from one-third to one-half of the crop and were paid in cash. Akbar relied heavily on land-holding *zamindars*. They used their considerable local knowledge and influence to collect revenue and to transfer it to the treasury, keeping a portion in return for services rendered. Within his administrative system, the warrior aristocracy (*mansabdars*) held ranks (*mansabs*) expressed in numbers of troops, and indicating pay, armed contingents, and obligations. The warrior aristocracy was generally paid from revenues of nonhereditary and transferable *jagirs* (revenue villages).

An astute ruler who genuinely appreciated the challenges of administering so vast an empire, Akbar introduced a policy of reconciliation and assimilation of Hindus (including Maryam al-Zamani, the Hindu Rajput mother of his son and heir, Jahangir), who represented the majority of the population. He recruited and rewarded Hindu chiefs with the highest ranks in government; encouraged intermarriages between Mughal and Rajput aristocracy; allowed new temples to be built; personally participated in celebrating Hindu festivals such as Deepavali, or Diwali, the festival of lights; and abolished the *jizya* (poll tax) imposed on non-Muslims. Akbar came up with his own theory of “ruler ship as a divine illumination,” enshrined in his new religion *Din-i-Ilahi* (“Divine Faith”), incorporating the principle of acceptance of all religions and sects. He encouraged widow re-marriage, discouraged child marriage, outlawed the practice of *Sati* (widows committing suicide on their husband’s funeral pyre), and persuaded Delhi merchants to set up special market days for women, who otherwise were secluded at home. By the end of Akbar’s reign, the Mughal Empire extended throughout most of India north of the Godavari River. The exceptions were Gondwana in central India, which paid tribute to the Mughals, Assam in the northeast, and large parts of the Deccan.

In 1600, Akbar's Mughal Empire had revenue of £17.5 million. By comparison, in 1800, the entire treasury of [Great Britain](#) totaled £16 million.

Akbar's empire supported vibrant intellectual and cultural life. A large imperial library included books in Hindi, Persian, Greek, Kashmiri, English, and Arabic, such as the *Shahnameh*, *Bhagavata Purana* and the Bible. Akbar sought knowledge and truth wherever it could be found and through a wide range of activities. He regularly sponsored debates and dialogs among religious and intellectual figures with differing views, building a special chamber for these discussions at Fatehpur Sikri and he welcomed [Jesuit](#) missionaries from [Goa](#) to his court. Akbar directed the creation of the *Hamzanama*, an artistic masterpiece that included 1,400 large paintings.

Reigns of Jahangir and Shah Jahan



The [Taj Mahal](#) is the most famous monument built during Mughal rule

Mughal rule under Jahangir (1605-1627) and [Shah Jahan](#) (1628-1658) was noted for political stability, brisk economic activity, beautiful paintings, and monumental buildings. Jahangir married Mehr-Un-Nisaa, a [Persian](#) beauty whom he renamed Nur Jahan (“Light of the World”), who emerged as the most powerful individual in the court besides the emperor. As a result, Persian poets, artists, scholars, and officers—including her own family members—lured by the Mughal court’s brilliance and luxury, found asylum in [India](#). The number of unproductive, timeserving officers mushroomed, as did corruption—while the excessive Persian representation upset the delicate balance of impartiality at the court. Jahangir liked [Hindu](#) festivals, but promoted mass conversion to [Islam](#); he persecuted the followers of [Jainism](#) and even executed Guru Arjun Dev, the fifth saint-teacher of the [Sikhs](#). He did so, however, not for religious reasons. Guru Arjun supported Prince Khursaw, another contestant to the Mughal throne, in the [civil war](#) that developed after Akbar’s death. The release of 52 Hindu princes from captivity in 1620 is the basis for the significance of the time of [Diwali](#) to Sikhs.

Nur Jahan’s abortive efforts to secure the throne for the prince of her choice led [Shah Jahan](#) to rebel in 1622. In that same year, the Persians took over Kandahar in southern [Afghanistan](#), an event that struck a serious blow to Mughal prestige. Intentionally, Jehangir set in motion the demise of the empire when he granted [King James I](#)’s ambassador, Sir Thomas Roe, permission for the [British East India Company](#) to build a [factory](#) at Surat.

Between 1636 and 1646, Shah Jahan sent Mughal armies to conquer the Deccan and the northwest beyond the Khyber Pass. Even though they aptly demonstrated Mughal military strength, these campaigns drained the imperial treasury. As the state became a huge military machine and the nobles and their contingents multiplied almost fourfold, so did the demands for more revenue from the peasantry. Political unification and maintenance of law and order over wide areas encouraged the emergence of large centers of commerce and crafts—such as Lahore, Delhi, Agra, and Ahmadabad—linked by roads and waterways to distant places and

ports. Shah Jahan also had the famous Peacock Throne built (*Takht-e-Tavous*, in Persian: تخت طاووس) in Persian, with 108 rubies, 116 emeralds, and rows of pearls. The Mughals were very conscious of their dignity as emperors, and dressed and acted the part.

The world-famous [Taj Mahal](#) was built in Agra during Shah Jahan's reign as a tomb for his beloved wife, Mumtaz Mahal. It symbolizes both Mughal artistic achievement and excessive financial expenditures when resources were shrinking. The economic position of peasants and artisans did not improve because the administration failed to produce any lasting change in the existing social structure. There was no incentive for the revenue officials, whose concerns primarily were personal or familial gain, to generate resources independent of dominant Hindu *zamindars* and village leaders, whose self-interest and local dominance prevented them from handing over the full amount of revenue to the imperial treasury. In their ever-greater dependence on land revenue, the Mughals unwittingly nurtured forces that eventually led to the break-up of their empire. Establishing an elaborate court, with bodyguards, a *harem* and wearing expensive clothes, more and more tax revenue was needed merely to finance this lavish lifestyle. Meanwhile, the gun-power technology that had given them military superiority, which remained unchallenged within India, could be challenged from the outside by armies with more advanced technology. It was the greed and complacency of the emperors that resulted in their decline, and eventual demise.

Reign of Aurangzeb and decline of empire



The Badshahi Mosque, Lahore, built by Emperor [Aurangzeb](#)

The last of the great Mughals was [Aurangzeb](#). During his fifty-year reign, the empire reached its greatest physical size but also showed the unmistakable signs of decline. The bureaucracy had grown corrupt, and the huge army demonstrated outdated weaponry and tactics. Aurangzeb restored Mughal military dominance and expanded power southward, at least for a while. A zealous Muslim, Aurangzeb reversed the earlier policies that had helped to maintain good relations with non-Hindus, imposing Islamic law and dealing harshly with Hindus. He destroyed many Temples. Aurangzeb had the *khutbah* (Friday sermon) proclaimed in his own name, not in that of the Ottoman [caliph](#). Aurangzeb defeated the British between 1688 and 1691, but their victory over the French at the Battle of Plassey in 1757 soon led to their controlling Bengal. From their original base in Serat, the British built forts and trading stations in Calcutta, Madras and Bombay (later the three Presidencies). In 1717, Furrukhsiyar would grant them a *firman* (royal dictate) exempting them from customs duties. The treaty of 1765 gave them the right to collect taxes on behalf of the emperor (the Diwani of Bengal). This virtually gave them control of the land, since taxation was linked to land ownership. Well before the dissolution of the Mughal Empire in 1857,

the British system of District Collectors was firmly established. The District Collector remained the senior regional official throughout British rule.

Aurangzeb was involved in a series of protracted wars: against the Pathans in Afghanistan, the sultans of Bijapur and Golkonda in the Deccan, the Marathas in Maharashtra and the Ahoms in Assam. Peasant uprisings and revolts by local leaders became all too common, as did the conniving of the nobles to preserve their own status at the expense of a steadily weakening empire. The increasing association of his government with [Islam](#) further drove a wedge between the ruler and his Hindu subjects. Contenders for the Mughal throne were many, and the reigns of Aurangzeb's successors were short-lived and filled with strife. The Mughal Empire experienced dramatic reverses as regional *nawabs* (governors) broke away and founded independent kingdoms. The Mughals had to make peace with Maratha armies, and Persian and Afghan armies invaded Delhi, carrying away many treasures, including the Peacock Throne in 1739, subsequently used by the shahs of Persia ([Iran](#)).

Descendants (the lesser Mughal Emperors)

- **Bahadur Shah I** (Shah Alam I), born October 14, 1643, in Burhanpur, ruler from 1707-1712, died February 1712, in Lahore.
- **Jahandar Shah**, born 1664, ruler from 1712-1713, died February 11, 1713, in Delhi.
- **Furrukhsiyar**, born 1683, ruler from 1713-1719, died 1719 in Delhi. Granted the [British East India Company](#) customs exemption in Bengal.
- **Rafi Ul-Darjat**, ruler 1719, died 1719 in Delhi.
- **Rafi Ud-Daulat** (Shah Jahan II), ruler 1719, died 1719 in Delhi.

- **Nikusiyar**, ruler 1719, died 1719 in Delhi.
- **Mohammed Ibrahim**, ruler 1720, died 1720 in Delhi.
- **Mohammed Shah**, born 1702, ruler from 1719-1720 and 1720-1748, died April 26, 1748 in Delhi.
- **Ahmad Shah Bahadur**, born 1725, ruler from 1748-1754, died January 1775 in Delhi.
- **Alamgir II**, born 1699, ruler from 1754-1759, died 1759.
- **Shah Jahan III**, ruler 1760?
- **Shah Alam II**, born 1728, ruler from 1759-1806, died 1806. Ruled as a puppet of the British, granting them the Diwani of Bengali, Bihar and Orissa.
- **Akbar Shah II**, born 1760, ruler from 1806-1837, died 1837.
- **Bahadur Shah II** or Bahadur Shah Zafar, born 1775 in Delhi, ruler from 1837-1857, died 1862 in exile in Rangoon, [Burma](#).

End of the Mughals

By the mid-nineteenth century, the British were controlling vast tracts of the Mughal Empire and other principalities through a series of treaties and alliances. Technically, they still ruled as agents of the Mughal Empire, but were in practice exercising complete power. In 1853 they denied Nana Sahib (leader of the Marathas) his titles and pension, while elsewhere they refused to recognize adopted sons as legal [heirs](#), and assumed power themselves. The Rani of Jhansi (1835-1858) was among those disillusioned with British

policy in India when, following her husband's death, they refused to recognize her son as heir.

Under what was called the "Lahore policy," the British annexed any state over which they exercised influence if they considered its ruler decadent or if he did not have an heir whom they were willing to recognize. Between 1848 and 1856 they took over six states, causing considerable unrest. In March 1854, the British awarded the Rani an annual pension and ordered her to leave the Jhansi fort. Refusing to leave, she organized a volunteer army to oppose the regular Sepoy army of the [British East India Company](#), which had British officers but mainly Indian troops. In 1857 a series of revolts broke out in the Sepoy army, fueled by rumors that the British intended to flood India with Christian missionaries and that pork and beef fat was being used to grease the new Enfield rifle cartridge. On May 10 the sepoys revolted at Meerut. They shortly captured Delhi and proclaimed Bahadur Shah II the emperor of all India. Agra was also taken, and the British residents retreated into the [Red Fort](#). Lucknow also fell and the Rani of Jhansi emerged from the Indian side as one of the heroes, fighting the British dressed as a man. She was killed on June 18, 1858.

Although [Hindus](#) as well as [Muslims](#) rebelled against the British and there was in fact considerable Hindu-Muslim solidarity at this time, they always blamed what went down in British history as the Indian Mutiny on Muslims, never really trusting them again. They argued that Muslims could not be loyal to the British because their allegiance was to a worldwide Muslim *ummah*. During the revolt, some Muslims called it a *jihad*, implying that they would not submit to non-Muslim rule but had a divine duty to struggle against infidel authority. The term "[mutiny](#)" is hardly appropriate, since the Mughal emperor was still sovereign and could not "mutiny" against his own lawful rule. However, Bahadur Shah II was found guilty of [treason](#) and banished to [Burma](#). [Queen Victoria](#) was declared Empress of India, and Britain assumed direct control of its Indian possessions, winding-up the East India Company. They argued that Indians were unable to govern themselves properly, and continued

their annexation policy removing “corrupt” Indian princes on a regular basis. India became the jewel in the [British Empire](#). Technically, the title “Emperor” as used by British monarchs referred only to India, but popularly the term “empire” applied to all the British overseas territories and protectorates. By the early twentieth century, the whole of the subcontinent, including [Sri Lanka](#), was under British administration, although many princely states remained theoretically independent.

The [Sikhs](#), who sided with the British, emerged as a valued and trusted community. For example, in the North West Provinces, where Muslims had been a dominant social group, before events of 1857-1858, Muslims occupied 72 percent of official government posts, including legal. By 1886 Muslims held only nine out of a total of 284 jobs, and it seemed that a long and glorious dynasty came to an inglorious end.

The Mughal Empire was unprepared to deal with the threat posed by European intruders. It failed to maintain its military superiority. It imploded from within, as the emperors spent more time choosing which gorgeous costume to wear than they did attending to governance. Their predecessors, the [Afghan Lodi Sultans](#) had lost power due to indulgence. They failed to learn the lesson, and after a positive, prosperous start allowed their empire to deteriorate, losing its commercial edge and literally eating up its wealth.

A few descendants of the last Mughal Emperor, Bahadur Shah Zafar, are known to be living in [Delhi](#), [Kolkata](#) (Calcutta), and Hyderabad, India. The majority of direct descendants still carry the clan name Temur (Temuri – the ‘i’ at the end indicating the word ‘of’, hence Temuri meaning “of Temur”), with four major branches today: Shokohane-Temur (Shokoh), Shahane-Temur (Shah), Bakshane-Temur (Baksh) and Salatane-Temur (Sultan).

Contemporary use

In popular news jargon, **Mughal** or **Mogul** denotes a successful [business](#) magnate who has built for himself a vast (and often monopolistic) empire in one or more specific industries. The usage seems to have an obvious reference to the expansive and wealthy empires built by the Mughal kings in India.

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34. Mughal Empire: History

The **Mughal Empire** ([Urdu](#): سلطنت مغلیہ, *Mughliyah Salṭanat*)^[5] or **Mogul Empire**,^[6] self-designated as **Gurkani** ([Persian](#): گورکانیان, *Gūrkāniyān*, meaning “son-in-law”),^[7] was an [empire](#) established and ruled by a [Persianate](#)^{[6][8]} [dynasty](#) of [ChagataiTurco-Mongol](#) origin^{[9][10][11]} that extended over large parts of the [Indian subcontinent](#) and [Afghanistan](#).

The beginning of the empire is conventionally dated to the founder Rajput kingdoms. Some [Rajput](#) kingdoms continued to pose a significant threat to Mughal dominance of northwestern India, but they were subdued by Akbar. All [Mughal emperors](#) were [Muslims](#), except Akbar in the latter part of his life, when he followed a new religion called [Deen-i-Ilahi](#), as recorded in historical books like [Ain-e-Akbari](#) and [Dabestan-e Mazaheb](#).^[12]

The Mughal Empire did not try to intervene in the local societies during most of its existence, but rather balanced and pacified them through new administrative practices^{[13][14]} and diverse and inclusive ruling elites,^[15] leading to more systematic, centralised, and uniform rule.^[16] Newly coherent social groups in northern and western India, such as the [Marathas](#), the [Rajputs](#), the [Pashtuns](#), the [Hindu Jats](#) and the [Sikhs](#), gained military and governing ambitions during Mughal rule, which, through collaboration or adversity, gave them both recognition and military experience.^{[17][18][19][20]}

The reign of [Shah Jahan](#), the fifth emperor, between 1628–58 was the golden age of [Mughal architecture](#). He erected several large monuments, the best known of which is the [Taj Mahal](#) at [Agra](#), as well as the [Moti Masjid, Agra](#), the [Red Fort](#), the [Jama Masjid, Delhi](#), and the [Lahore Fort](#). The Mughal Empire reached the zenith of its territorial expanse during the reign of [Aurangzeb](#) and also started its terminal decline in his reign due to [Maratha](#) military resurgence

under [Shivaji Bhosale](#). During his lifetime, victories in the south expanded the Mughal Empire to more than 3.2 million square kilometres (1.2 million square miles), ruling over more than 150 million subjects, nearly one quarter of the world's population at the time, with a combined GDP of over \$90 billion.^{[21][22]}

By the mid-18th century, the [Marathas](#) had routed Mughal armies, and won over several Mughal provinces from the [Punjab](#) to [Bengal](#),^[23] and internal dissatisfaction arose due to the weakness of the Mughal Empire's administrative and economic systems, leading to the break-up of the empire and declaration of independence of its former provinces by the Nawabs of [Bengal](#), [Oudh](#), the [Nizam of Hyderabad](#), [Shah of Afghanistan](#) and other small states. In 1739, the Mughals were crushingly defeated in the [Battle of Karnal](#) by the forces of [Nader Shah](#), the founder of the [Afsharid dynasty](#) in Persia, and Delhi was [sacked and looted](#), drastically accelerating their decline. During the following century Mughal power had become severely limited and the last emperor, [Bahadur Shah II](#), had authority over only the city of [Shahjahanabad](#). He issued a [firman](#) supporting the [Indian Rebellion of 1857](#) and following the defeat was therefore tried by the [British East India Company](#) for treason, imprisoned and exiled to [Rangoon](#).^[24] The last remnants of the empire were formally taken over by the British, and the [Government of India Act 1858](#) let the [British Crown](#) formally assume direct control of India in the form of the new [British Raj](#).

ETYMOLOGY

Contemporaries referred to the empire founded by [Babur](#) as the [Timurid](#) empire,^[25] which reflected the heritage of his dynasty, and was the term preferred by the Mughals themselves.^[26] Another name was [Hindustan](#), which was documented in the [Ain-i-Akbari](#), and which has been described as the closest to an official name

for the empire.^[27] In the west, the term “[Mughal](#)” was used for the emperor, and by extension, the empire as a whole.^[28] The use of [Mughal](#), deriving from the Arabic and Persian corruption of [Mongol](#), and emphasising the Mongol origins of the Timurid dynasty,^[29] gained currency during the 19th century, but remains disputed by [Indologists](#).^[30] Similar terms had been used to refer to the empire, including “Mogul” and “Moghul”.^{[6][31]} Nevertheless, Babur’s ancestors were sharply distinguished from the classical Mongols insofar as they were oriented towards [Persian](#) rather than [Turco-Mongol](#) culture.^[32]

HISTORY

The Mughal Empire was founded by [Babur](#), a Central Asian ruler who was descended from the Turco-Mongol conqueror [Timur](#) (the founder of the [Timurid Empire](#)) on his father’s side and from [Chagatai](#), the second son of the Mongol ruler [Genghis Khan](#), on his mother’s side.^[33] Ousted from his ancestral domains in Central Asia, Babur turned to India to satisfy his ambitions. He established himself in [Kabul](#) and then pushed steadily southward into India from [Afghanistan](#) through the [Khyber Pass](#).^[33] Babur’s forces occupied much of northern India after his victory at [Panipat](#) in 1526.^[33] The preoccupation with wars and military campaigns, however, did not allow the new emperor to consolidate the gains he had made in India.^[33] The instability of the empire became evident under his son, [Humayun](#), who was driven out of India and into Persia by rebels.^[33] Humayun’s exile in Persia established diplomatic ties between the [Safavid](#) and Mughal Courts, and led to increasing Persian cultural influence in the Mughal Empire. The restoration of Mughal rule began after Humayun’s triumphant return from Persia in 1555, but he died from a fatal accident shortly afterwards.^[33] Humayun’s son, [Akbar](#), succeeded to

the throne under a regent, [Bairam Khan](#), who helped consolidate the Mughal Empire in India.^[33]

Through warfare and diplomacy, Akbar was able to extend the empire in all directions and controlled almost the entire Indian subcontinent north of the [Godavari](#) river. He created a new class of nobility loyal to him from the military aristocracy of India's social groups, implemented a modern government, and supported cultural developments.^[33] At the same time, Akbar intensified trade with European trading companies. India developed a strong and stable economy, leading to commercial expansion and economic development. Akbar allowed free expression of religion, and attempted to resolve socio-political and cultural differences in his empire by establishing a new religion, [Din-i-Ilahi](#), with strong characteristics of a ruler cult.^[33] He left his successors an internally stable state, which was in the midst of its golden age, but before long signs of political weakness would emerge.^[33] Akbar's son, [Jahangir](#), ruled the empire at its peak, but he was addicted to opium, neglected the affairs of the state, and came under the influence of rival court cliques.^[33] During the reign of Jahangir's son, [Shah Jahan](#), the culture and splendour of the luxurious Mughal court reached its zenith as exemplified by the [Taj Mahal](#).^[33] The maintenance of the court, at this time, began to cost more than the revenue.^[33]

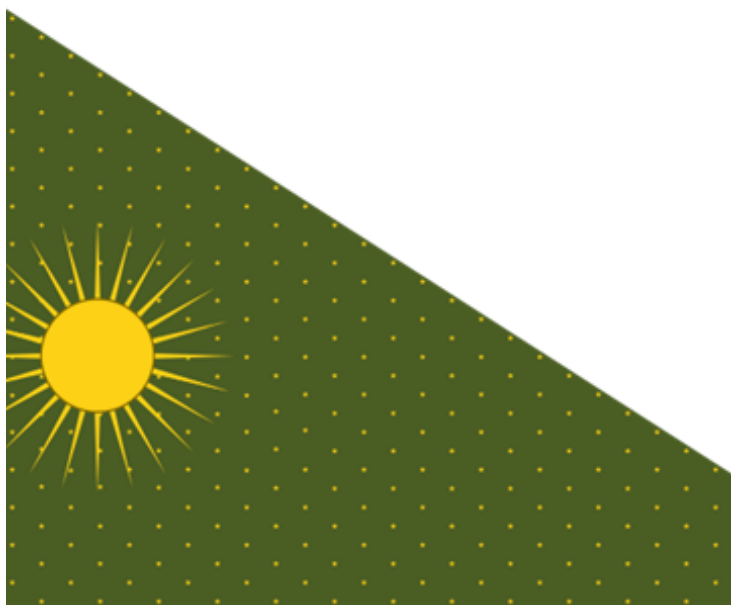
Shah Jahan's eldest son, the liberal [Dara Shikoh](#), became regent in 1658, as a result of his father's illness. However, a younger son, [Aurangzeb](#), allied with the Islamic orthodoxy against his brother, who championed a syncretistic Hindu-Muslim culture, and ascended to the throne. Aurangzeb defeated Dara in 1659 and had him executed.^[33] Although Shah Jahan fully recovered from his illness, Aurangzeb declared him incompetent to rule and had him imprisoned. During Aurangzeb's reign, the empire gained political strength once more, but his religious conservatism and intolerance undermined the stability of Mughal society.^[33] Aurangzeb expanded the empire to include almost the whole of South Asia, but at his death in 1707, many parts of the empire were in open

revolt.^[33] Aurangzeb's son, [Shah Alam](#), repealed the religious policies of his father, and attempted to reform the administration. However, after his death in 1712, the Mughal dynasty sank into chaos and violent feuds. In 1719 alone, four emperors successively ascended the throne.^[33]

During the reign of [Muhammad Shah](#), the empire began to break up, and vast tracts of central India passed from Mughal to [Maratha](#) hands. The far-off [Indian campaign](#) of [Nadir Shah](#), who had priorly reestablished Iranian [suzerainty](#) over most of West Asia, the Caucasus, and Central Asia, culminated with the [Sack of Delhi](#) and shattered the remnants of Mughal power and prestige.^[33] Many of the empire's elites now sought to control their own affairs, and broke away to form independent kingdoms.^[33] But, according to [Sugata Bose](#) and [Ayesha Jalal](#), the Mughal Emperor, however, continued to be the highest manifestation of sovereignty. Not only the Muslim gentry, but the Maratha, Hindu, and Sikh leaders took part in ceremonial acknowledgements of the emperor as the sovereign of India.^[34] The British [company rule](#) effectively began in 1757 after the [Battle of Plassey](#) and lasted until 1858, starting the effective British colonial era over the Indian Subcontinent. The Mughal Emperor [Shah Alam II](#) made futile attempts to reverse the Mughal decline, and ultimately had to seek the protection of outside powers i.e. from the Emir of Afghanistan, Ahmed Shah Abdali, which led to the Third Battle of Panipat between the Maratha Empire and the Afghans led by Abdali in 1761. In 1771, the Marathas recaptured Delhi from Afghan control and in 1784 they officially became the protectors of the emperor in Delhi,^[35] a state of affairs that continued further until after the [Third Anglo-Maratha War](#). Thereafter, the [British East India Company](#) became the protectors of the Mughal dynasty in Delhi.^[34] After a crushing defeat in the [war of 1857–1858](#) which he nominally led, the last Mughal, [Bahadur Shah Zafar](#), was deposed by the British [East India Company](#) and exiled in 1858. Through the [Government of India Act 1858](#) the [British Crown](#) assumed direct

control of India in the form of the new [British Raj](#). In 1876 the British Queen Victoria assumed the title of [Empress of India](#).

EXPLANATIONS FOR THE DECLINE



Historians have offered numerous explanations for the rapid collapse of the Mughal Empire between 1707 and 1720, after a century of growth and prosperity. In fiscal terms the throne lost the revenues needed to pay its chief officers, the emirs (nobles) and their entourages. The emperor lost authority, as the widely scattered imperial officers lost confidence in the central authorities, and made their own deals with local men of influence. The imperial army, bogged down in long, futile wars against the more aggressive

Marathas, lost its fighting spirit. Finally came a series of violent political feuds over control of the throne. After the execution of emperor Farrukhsiyar in 1719, local Mughal successor states took power in region after region.^[36]

Contemporary chroniclers bewailed the decay they witnessed, a theme picked up by the first British historians who wanted to underscore the need for a British-led rejuvenation.^[37]

Since the 1970s historians have taken multiple approaches to the decline, with little consensus on which factor was dominant. The psychological interpretations emphasize depravity in high places, excessive luxury, and increasingly narrow views that left the rulers unprepared for an external challenge. A Marxist school (led by [Irfan Habib](#) and based at [Aligarh Muslim University](#)) emphasizes excessive exploitation of the peasantry by the rich, which stripped away the will and the means to support the regime.^[38] Karen Leonard has focused on the failure of the regime to work with Hindu bankers, whose financial support was increasingly needed; the bankers then helped the Maratha and the British.^[39] In a religious interpretation, some scholars argue that the Hindu Rajputs revolted against Muslim rule.^[40] Finally other scholars argue that the very prosperity of the Empire inspired the provinces to achieve a high degree of independence, thus weakening the imperial court.^[41]

LIST OF MUGHAL EMPERORS

Emperor	Birth	Reign Period	Death	Notes
Babur	23 February 1483	1526–1530	30 December 1530	Was a direct descendant of Genghis Khan and was descendant of Timur . Founded the Mughal Empire after his Battle of Panipat (1526), the Battle of Khanwa (1519), and the Battle of Ghagra (1529). ^[42]
Humayun	6 March 1508	1530–1540	Jan 1556	Reign interrupted by Sur Empire after (1540). ^[43] Youth and inexperience at a being regarded as a less effective ruler. Shah Suri .
Sher Shah Suri	1472	1540–1545	May 1545	Deposed Humayun and led the Sur Empire.
Islam Shah Suri	c. 1500	1545–1554	1554	2nd and last ruler of the Sur Empire, c. 1540. Sikandar and Adil Shah were eliminated after restoration.
Humayun	6 March 1508	1555–1556	Jan 1556	Restored rule was more unified and effective than reign of 1530–1540; left unified empire.
Akbar	14 November 1542	1556–1605	27 October 1605	He ended the Siege of Ranthambore; He grew the Mughal Empire and is regarded as the most illustrious ruler of the Mughal Empire as he set up the empire's administrative institutions; he married Mariam-uz-Zamani , a Rajasthani princess. One of his most famous constructions is the Lahore Fort .
Jahangir	Oct 1569	1605–1627	1627	Jahangir set the precedent for sons replacing their emperor fathers. Opened first relations with the East India Company . Reportedly was a favorite of his wife Empress Noor Jahan became the most powerful woman on the throne and competently ruled in his absence.
Shah Jahan	5 January 1592	1627–1658	1666	Under him, Mughal art and architecture reached its zenith; constructed the Taj Mahal , Jama Masjid, Agra Fort , Jahangir mausoleum , and Shalimar Gardens, Chandigarh . Deposed by his son Aurangzeb.
Aurangzeb	21 October 1618	1658–1707	3 March 1707	He reinterpreted Islamic law and presided over the Fatawa-e-Alamgiri ; he captured the Sultanate of Golconda ; he spent the last 27 years in the war with the Marathas. At his zenith, his conquests expanded the empire to its greatest extent; the over-stretched empire was weakened by Mansabdars , and faced challenges as he was known to have transcribed copies of the Puranas in his own styles of calligraphy . He died during the Maratha wars against the ravaging Marathas in the Deccan .

Bahadur Shah I	14 October 1643	1707–1712	Feb 1712	First of the Mughal emperors to preside over a period of relative stability. The empire was ravaged by uncontrollable revolts. After his death, the empire went into steady decline due to the lack of leadership qualities among his immediate successors.
Jahandar Shah	1664	1712–1713	Feb 1713	Was an unpopular incompetent titular emperor. His reign marked the ascendancy of the Syed Brothers , execution of the rebellious Prince of Wales , granted a Firman to the English East India Company granting them duty-free trade. The Firman was repudiated by the notables. Khan the Mughal appointed ruler of Bengal.
Furrukhsiyar	1683	1713–1719	1719	
Rafi Ul-Darjat	Unknown	1719	1719	
Rafi Ud-Daulat	Unknown	1719	1719	
Nikusiyar	Unknown	1719	1743	
Muhammad Ibrahim	Unknown	1720	1744	
Muhammad Shah	1702	1719–1720, 1720–1748	1748	Got rid of the Syed Brothers . Tried to curb the emergence of the Marathas but his empire collapsed. Suffered the invasion of Nadir-Shah of Persia.
Ahmad Shah Bahadur	1725	1748–54	1775	
Alamgir II	1699	1754–1759	1759	He was murdered according by the Vizier Imad-ul-Mulk and Maratha Sardars .
Shah Jahan III	Unknown	In 1759	1772	Was ordained to the imperial throne after the death of Alamgir II. He was inexperienced in the intricacies in Delhi with the help of Imam Baksh but was later deposed by Maratha Sardars. ^[45]
Shah Alam II	1728	1759–1806	1806	He was proclaimed as Mughal Emperor after the death of Marathas. ^[45] Later, he was again recognized as Emperor by Ahmad Shah Durrani after the Battle of Panipat in 1761. ^[47] 1764 saw the defeat of the forces of Mughal Emperor, Nawab of Bengal and Bihar at the hand of East India Company in the Battle of Buxar . Following this defeat, he fled to Delhi for Allahabad, ending hostilities with the Marathas at Allahabad (1765). Shah Alam II was reinstated in Delhi in 1772 by Mahadaji Shinde and the Marathas. ^[48] He was a de jure emperor but his reign in 1793 British East India Company's Anglo-Mughal War (Mughal suzerainty) and took control of the province of Bengal marking the beginning of British rule in parts of Eastern India officially.

Akbar Shah II	1760	1806–1837	1837	He became a British pensioner after the Marathas, who were the protector of the Anglo-Maratha wars. Under East India Company protection, his imperial name was removed. He issued no official coinage after a brief dispute with the India Company ;
Bahadur Shah II	1775	1837–1857	1862	The last Mughal emperor was deposed by the British East India company and exiled to Burma after the War of 1857 after the fall of Delhi to British troops. His death marks the end of the Mughal Empire.

INFLUENCE ON SOUTH ASIA

SOUTH ASIAN ART AND CULTURE

A major Mughal contribution to the [Indian subcontinent](#) was their unique [architecture](#). Many monuments were built by the Muslim emperors, especially [Shah Jahan](#), during the Mughal era including the [UNESCO World Heritage Site Taj Mahal](#), which is known to be one of the finer examples of Mughal architecture. Other [World Heritage Sites](#) include [Humayun's Tomb](#), [Fatehpur Sikri](#), the [Red Fort](#), the [Agra Fort](#), and the [Lahore Fort](#).

The palaces, tombs, and forts built by the dynasty stand today in [Agra](#), [Aurangabad](#), [Delhi](#), [Dhaka](#), [Fatehpur Sikri](#), [Jaipur](#), [Lahore](#), [Kabul](#), [Sheikhupura](#), and many other cities of [India](#), [Pakistan](#), [Afghanistan](#), and [Bangladesh](#).^[49] With few memories of Central Asia, Babur's descendents absorbed traits and customs of South Asia,^[50] and became more or less naturalised.

Mughal influence can be seen in cultural contributions such as:

- Centralised, imperialistic government which brought together many smaller kingdoms.^[51]
- [Persian art](#) and culture amalgamated with [Indian art](#) and culture.^[52]

- New trade routes to [Arab](#) and [Turkic](#) lands.
- The development of [Mughlai cuisine](#).^[53]
- Mughal Architecture found its way into local [Indian architecture](#), most conspicuously in the palaces built by [Rajputs](#) and [Sikh](#) rulers.
- Landscape and [Mughal gardening](#)

Although the land the Mughals once ruled has separated into what is now India, Pakistan, Bangladesh, and Afghanistan, their influence can still be seen widely today. Tombs of the emperors are spread throughout India, Afghanistan,^[54] and Pakistan.

The [Mughal artistic tradition](#) was eclectic, borrowing from the European Renaissance as well as from Persian and Indian sources. Kumar concludes, “The Mughal painters borrowed individual motifs and certain naturalistic effects from Renaissance and Mannerist painting, but their structuring principle was derived from Indian and Persian traditions.”^[55]

URDU LANGUAGE

Although [Persian](#) was the dominant and “official” language of the empire, the language of the elite later evolved into a form known as [Urdu](#). Highly Persianized and also influenced by Arabic and Turkic, the language was written in a type of [Perso-Arabic script](#) known as [Nastaliq](#), and with literary conventions and specialised vocabulary being retained from [Persian](#), [Arabic](#) and [Turkic](#); the new dialect was eventually given its own name of Urdu. Compared with [Hindi](#), the Urdu language draws more vocabulary from Persian and Arabic (via Persian) and (to a much lesser degree) from Turkic languages where Hindi draws vocabulary from [Sanskrit](#) more heavily.^[56] Modern [Hindi](#), which uses [Sanskrit](#)-based vocabulary along with Urdu loan words from Persian and Arabic, is [mutually](#)

[intelligible](#) with [Urdu](#).^[57] Today, Urdu is the national language of [Pakistan](#) and one of the [official language](#) in [India](#).

MUGHAL SOCIETY

The Indian economy remained as prosperous under the Mughals as it was, because of the creation of a road system and a uniform currency, together with the unification of the country.^[58] Manufactured goods and peasant-grown cash crops were sold throughout the world. Key industries included shipbuilding (the Indian shipbuilding industry was as advanced as the European, and Indians sold ships to European firms), textiles, and steel. The Mughals maintained a small fleet, which merely carried pilgrims to Mecca, imported a few Arab horses in [Surat](#). [Debal](#) in [Sindh](#) was mostly autonomous. The Mughals also maintained various river fleets of [Dhows](#), which transported soldiers over rivers and fought rebels. Among its admirals were [Yahya Saleh](#), [Munnawar Khan](#), and [Muhammad Saleh Kamboh](#). The Mughals also protected the [Siddis](#) of [Janjira](#). Its sailors were renowned and often voyaged to China and the East African Swahili Coast, together with some Mughal subjects carrying out private-sector trade.

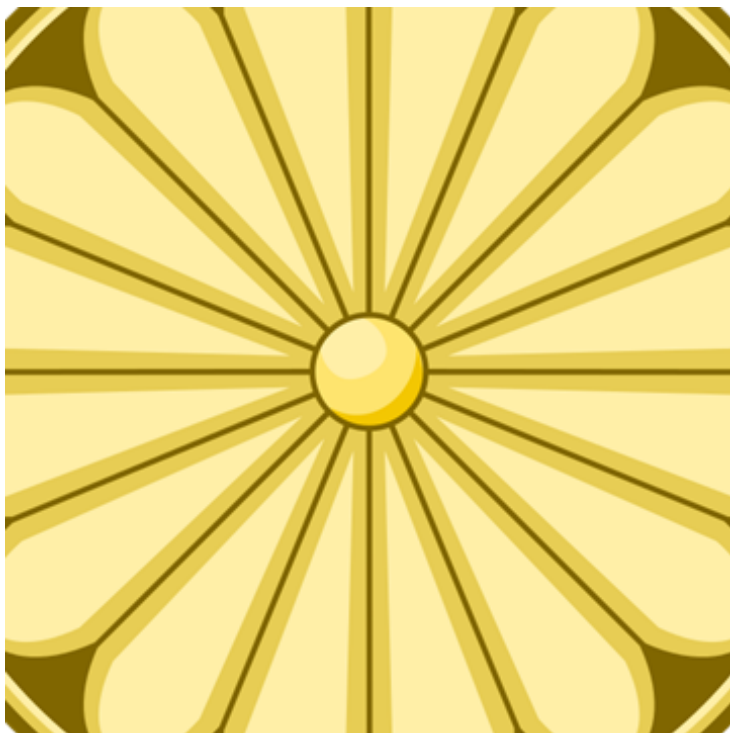
Cities and towns boomed under the Mughals; however, for the most part, they were military and political centres, not manufacturing or commerce centres.^[59] Only those guilds which produced goods for the bureaucracy made goods in the towns; most industry was based in rural areas. The Mughals also built [Maktabas](#) in every province under their authority, where youth were taught the [Quran](#) and [Islamic law](#) such as the [Fatawa-e-Alamgiri](#) in their indigenous languages.

The Bengal region was especially prosperous from the time of its takeover by the Mughals in 1590 to the seizure of control by the British East India Company in 1757.^[60] In a system where most

wealth was hoarded by the elites, wages were low for manual labour. Slavery was limited largely to household servants. However some religious cults proudly asserted a high status for manual labour.^[61]

SCIENCE AND TECHNOLOGY

ASTRONOMY



While there appears to have been little concern for theoretical astronomy, Mughal astronomers continued to make advances in [observational astronomy](#) and produced nearly a hundred Zij

treatises. [Humayun](#) built a personal observatory near Delhi. The instruments and observational techniques used at the Mughal observatories were mainly derived from the Islamic tradition.^{[64][65]} In particular, one of the most remarkable astronomical instruments invented in Mughal India is the seamless celestial globe.

ALCHEMY



[Sake Dean Mahomed](#) had learned much of Mughal Alchemy and understood the techniques used to produce various alkali and soaps to produce shampoo. He was also a notable writer who described the [Mughal Emperor Shah Alam II](#) and the cities of Allahabad and

Delhi in rich detail and also made note of the glories of the Mughal Empire.

William IV.^[66]

TECHNOLOGY

[Fathullah Shirazi](#) (c. 1582), a Persian polymath and mechanical engineer who worked for Akbar, developed a [volley gun](#).^[67]

Akbar was the first to initiate and use metal cylinder rockets known as *bans* particularly against [War elephants](#), during the Battle of Sanbal.^[68]

In the year 1657, the [Mughal Army](#) used rockets during the [Siege of Bidar](#).^[69] Prince Aurangzeb's forces discharged rockets and grenades while scaling the walls. Sidi Marjan was mortally wounded when a rocket struck his large gunpowder depot, and after twenty-seven days of hard fighting Bidar was captured by the victorious Mughals.^[69]

Later, the [Mysorean rockets](#) were upgraded versions of Mughal rockets used during the [Siege of Jinji](#) by the progeny of the [Nawab of Arcot](#). [Hyder Ali](#)'s father [Fatah Muhammad](#) the constable at [Budikote](#), commanded a corps consisting of 50 rocketmen (*Cushoon*) for the Nawab of Arcot. Hyder Ali realised the importance of rockets and introduced advanced versions of metal cylinder rockets. These rockets turned fortunes in favour of the [Sultanate of Mysore](#) during the [Second Anglo-Mysore War](#), particularly during the [Battle of Pollilur](#).^[70]

35. Art and Architecture of the Islamic World

Ottoman art and architecture were a vibrant synthesis of Turkish, Middle Eastern, and Mediterranean styles.

LEARNING OBJECTIVE

- Summarize the characteristics of art and architecture from the Ottoman empire.
-

KEY POINTS

- The [Ottoman](#) state was founded by Turkic tribes in northwestern [Anatolia](#) in 1299 and became an empire in 1453 after the momentous conquest of Constantinople. It lasted until 1922 when the monarchy was abolished in Turkey.
- Ottoman architecture first emerged in the cities of Bursa and Edirne in the 14th and 15th centuries, developing from earlier [Seljuk](#) Turk architecture. There were additional influences from [Byzantine](#), Persian, and Islamic [Mamluk](#) traditions after the conquest of Constantinople in 1453.
- Examples of Byzantine architecture such as the church of [Hagia Sophia](#) served as particularly important models for Ottoman [mosques](#).
- Ottoman [miniature](#) painting was usually used to illustrate

manuscripts or in albums specifically dedicated to miniatures. It was heavily influenced by Persian miniature painting, with additional elements of the Byzantine tradition of illumination and painting and Chinese artistic influences.

- Ottoman painters did not seek to depict human beings or other figures realistically, aiming instead to hint at an infinite and transcendent reality. As a result, their paintings were [stylized](#) and [abstract](#).
 - The Ottoman Turks were also renowned for their decorative arts including carpet weaving, jewelry making, paper marbling, and their characteristic Iznik ware [ceramics](#).
-

TERMS

- [Seljuk](#) A Persianate Muslim dynasty, of Oghuz Turkic origin, which established both the Great Seljuq Empire and Sultanate of Rum, between the 11th and 14th centuries, in large parts of Southwest Asia and Asia Minor, respectively.
- [fritware](#) A type of pottery in which frit (a special ceramic mixture of sand and fluxes) is added to clay to reduce its fusion temperature, so the mixture can be fired at a lower temperature than clay alone; also known as Islamic stone paste.

FULL TEXT

The Ottoman state was founded by Turkish tribes in northwestern Anatolia in 1299 and became an empire in 1453 after the momentous conquest of Constantinople. Stretching across Asia, Europe, and

Africa, the Empire was vast and long lived, lasting until 1922 when the monarchy was abolished in Turkey.

The Ottoman Turks were renowned for their architecture, building a large number of public buildings, mosques, and caravanserais or roadside inns for travelers, as well as for their traditions of [calligraphy](#) and miniature painting. They were also renowned for their decorative arts including carpet weaving, jewelry making, paper marbling, and their characteristic Iznik ware ceramics.

Architecture

Ottoman mosques and other architecture first emerged in the cities of Bursa and Edirne in the 14th and 15th centuries, developing from earlier Seljuk Turk architecture, with additional influences from Byzantine, Persian, and Islamic Mamluk traditions. Sultan Mehmed II would later even fuse European traditions in his rebuilding programs at Istanbul in the 19th century. Byzantine [styles](#) as seen in the Hagia Sophia served as particularly important models for Ottoman mosques, such as the mosque constructed by Sinan. Building reached its peak in the 16th century when Ottoman architects mastered the technique of building vast inner [spaces](#) surmounted by seemingly weightless yet incredibly massive [domes](#), and achieved perfect harmony between inner and outer spaces, as well as articulated light and shadow. They incorporated [vaults](#), domes, square dome plans, slender corner [minarets](#), and [columns](#) into their mosques, which became [sanctuaries](#) of transcendently [aesthetic](#) and technical balance.

Kulliye, a complex of buildings centered around a mosque and managed within a single institution, became a particular [focus](#) of imperial [patronage](#). Turkish building projects in Constantinople – later renamed Istanbul – prioritized these complexes focusing on

a mosque that combined religious, [funerary](#), educational, and financial institutions.

Despite variations, Ottoman architecture remained fairly uniform throughout the empire. Examples of the high [classical](#) period can be found in Turkey, the Balkans, Hungary, Egypt, Tunisia, and Algeria, where mosques, bridges, fountains, and schools were built. A particularly fine example of an Ottoman mosque is the Selimiye Mosque in Edirne, built between 1568 and 1574. Flanked by four tall minarets and crowned by a [monumental](#) dome, the mosque also has a remarkable interior, which is lit by a multitude of tiny windows that allow the tiled walls to sparkle in the interplay of shadow and light .

Selimiye Mosque, Edirne

Commissioned by Sultan Selim II and was built by famous Ottoman architect Mimar Sinan between 1569 and 1575, the Selimiye Mosque was considered by Sinan to be his masterpiece and is one of the highest achievements of Islamic architecture.

Miniature Painting

Ottoman miniature painting, which was usually used to illustrate manuscripts or in albums specifically dedicated to miniatures, was heavily influenced by Persian miniature painting, Byzantine illumination and Chinese artistic influences. A Greek academy of painters, the *Nakkashane-i-Rum*, was established in the Topkapi Palace in Istanbul in the 15th century and a Persian academy, the *Nakkashane-i-Irani*, added in the early 15th century. The Greek artists typically specialized decorating documentary books and

painting portraits and scenes from the lives of rulers and historical events. The Persian artists specialized in illustrating traditional works of Persian poetry. Scientific books on botany, zoology, alchemy, cosmography, and medicine were also often illustrated.

Works were usually created by a team of painters. The head painter designed the [composition](#) while his apprentices drew the contours and then painted the miniature. The colors were obtained from [ground](#) powder pigments mixed with egg whites or diluted gum arabic, resulting in brilliant colors. The most commonly used colors were bright red, green, and varying shades of blue. Ottoman painters did not seek to depict human beings or other figures realistically, aiming instead to hint at an infinite and transcendent reality. As a result, their paintings were stylized and abstract, although they became progressively more realistic from the 18th century onwards with influences from European [baroque](#) and [Rococo](#) styles .

Ottoman Miniature Painters, late 16th/early 17th century

Painting atelier of the Sultan. The miniature shows the author, probably the court chronicler Talikizade, calligraphist and miniature painter working on the “Shahname” for Mehmet III (ruled 1595-1603). The painter on the left is Nakkaş Hasan, who is working on a scene of the capitulation of Eger Castle.

Decorative Arts

The art of carpet weaving was particularly important in

the [Ottoman Empire](#), where carpets were immensely valued both as decorative furnishings and for their practical [value](#). They were used not just on floors but also as wall and door hangings, where they provided additional insulation. These intricately knotted carpets were made of silk, or a combination of silk and cotton, and were often rich in religious and other [symbolism](#). Hereke silk carpets, which were made in the coastal town of Hereke, were the most valued of the Ottoman carpets because of their fine weave. The Hereke carpets were typically used to furnish royal palaces .

Carpet and Interior of the Harem Room, Topkapi Palace, Istanbul

The Ottoman Turks were famed for the quality of their finely woven and intricately knotted silk carpets.

The Ottoman Empire was also known for the skill of its gold and silver smiths, who made jewelry with complex designs and incorporated complex filigree work and a variety of Persian and Byzantine [motifs](#). They were renowned for their ceramics, particularly Iznik [pottery](#), which was made in western Anatolia and consisted of high quality pottery made of [fritware](#) and painted with cobalt blue under a colorless lead [glaze](#). The intricate designs combined traditional Ottoman arabesque patterns with Chinese elements.

36. Primary Source: *A Visit to the Wife of Suleiman the Magnificent* (Translated from a Genoese Letter), c. 1550

When I entered the kiosk in which she lives, I was received by many eunuchs in splendid costume blazing with jewels, and carrying scimitars in their hands. They led me to an inner vestibule, where I was divested of my cloak and shoes and regaled with refreshments. Presently an elderly woman, very richly dressed, accompanied by a number of young girls, approached me, and after the usual salutation, informed me that the Sultana Asseki was ready to see me. All the walls of the kiosk in which she lives are covered with the most beautiful Persian tiles and the floors are of cedar and sandalwood, which give out the most delicious odor. I advanced through an endless row of bending female slaves, who stood on either side of my path. At the entrance to the apartment in which the Sultana consented to receive me, the elderly lady who had accompanied me all the time made me a profound reverence, and beckoned to two girls to give me their aid; so that I passed into the presence of the Sultana leaning upon their shoulders. The Sultana, who is a stout but beautiful young woman, sat upon silk cushions striped with silver, near a latticed window overlooking the sea. Numerous slave women, blazing with jewels, attended upon her, holding fans, pipes for smoking, and many objects of value.

When we had selected from these, the great lady, who rose to receive me, extended her hand and kissed me on the brow, and made me sit at the edge of the divan on which she reclined. She asked many questions concerning our country and our religion, of which she knew nothing whatever, and which I answered as

modestly and discreetly as I could. I was surprised to notice, when I had finished my narrative, that the room was full of women, who, impelled by curiosity, had come to see me, and to hear what I had to say.

The Sultana now entertained me with an exhibition of dancing girls and music, which was very delectable. When the dancing and music were over, refreshments were served upon trays of solid gold sparkling with jewels. As it was growing late, and I felt afraid to remain longer, lest I should vex her, I made a motion of rising to leave. She immediately clapped her hands, and several slaves came forward, in obedience to her whispered commands, carrying trays heaped up with beautiful stuffs, and some silver articles of fine workmanship, which she pressed me to accept. After the usual salutations the old woman who first escorted me into the imperial presence conducted me out, and I was led from the room in precisely the same manner in which I had entered it, down to the foot of the staircase, where my own attendants awaited me.

From: Eva March Tappan, ed., *The World's Story: A History of the World in Story, Song, and Art*, (Boston: Houghton Mifflin, 1914), Vol. VI: *Russia, Austria-Hungary, The Balkan States, and Turkey*, pp. 509-510.

37. Deconstructing History: Taj Mahal



One or more interactive elements has been excluded
from this version of the text. You can view them online

here: [https://library.achievingthedream.org/
tccworldciv2/?p=57#oembed-1](https://library.achievingthedream.org/tccworldciv2/?p=57#oembed-1)

38. Rise and Fall of the Ottoman Empire 1300-1923



One or more interactive elements has been excluded from this version of the text. You can view them online

here: <https://library.achievingthedream.org/tccworldciv2/?p=58#oembed-1>

PART V

4: EAST ASIA

39. Ming Dynasty

Ming Dynasty (1368-1644)

The Yuan Empire came apart at the seams in the early fourteenth century as regional autonomy and separatism rendered the central government at Tatu (later 'Beijing') increasingly cash-strapped and powerless. Despite several campaigns and measures to reverse this, including forming numerous coalitions with warlords still semi-loyal to the Yuan to take down non-loyal warlords, the area controlled by the central government (little more than the area around Tatu and Mongolia proper) was too weak and the warlords too selfish and fickle for the House of Ghenghis Khan to do anything but inexorably lose control over the country. This process started with the southernmost warlords along the Pearl River (Guangxi, Guangdong), whose geographical isolation (and therefore protection) led to them being the first to declare the restoration of the Song Empire/independence. For all intents and purposes, the Yuan Empire ceased to exist split into at least nine different countries.

The mid-Yangzi was one of the most hotly-contested regions in all of China, as it was relatively populous and thus wealthy, and one of the hardest to hold because it was vulnerable to attacks from the lower and upper Yangzi and from the north China plain. The kingdoms which had originally held these lands basically tore themselves apart through the strain of fighting, allowing several highly unorthodox figures to rise to the top of society. Among these was Zhu Yuanzhang, an illiterate peasant and brilliant commander who soon became a warlord in his own right. Through good strategic choices including the forging of two key alliances (most notably the warlord Zhang Shicheng of Fujian and the lower Yangzi), and excellent understanding of the operational and tactical levels of warfare, Zhu eventually conquered the entire Yangzi despite starting from virtually nothing and both his major allies (based in the

upper- and lower-Yangzi, respectively) turning on him once they'd divided up the entire Yangzi between the three of them. After he secured the entire Yangzi Zhu spent several years building up his powerbase before declaring the foundation of The Ming Dynasty of the Chinese Empire and crowning himself the Hongwu ('eminently martial') Emperor. He then conquered the entire north China plain, and after that the Pearl River region.

Zhu Yuanzhang was many things: born a poor peasant, he would emerge as one of China's foremost warlords. With brutal cunning, he managed to get the upper hand over his rivals, seizing the throne, and with increasing age ended up becoming more and more paranoid and murderous. That's at least [Rags to Royalty](#), [Magnificent Bastard](#) (although very much indebted to good advisers) and [Despotism Justifies the Means](#) all rolled into one. The Ming is the first Chinese Empire we have anything more than very basic documentation for, with about 10,000 government documents remaining from the period – not enough for a detailed picture of government activity, but enough for a reasonably accurate outline. The minor cultural stuff (plays, songs, opera, etc) wasn't so lucky and a lot was destroyed during the PRC's Cultural Revolution, leading to an ongoing hunt through overseas archives and collections for surviving copies.

Internationally the Ming were best-known for being a gigantantormous [Space-Filling Empire](#) which ruled over about a third of the entire world's population and was ridiculously rich and cultured by the standards of the day. These days they are certainly most famous for the porcelain which they exported in such prodigious amounts (see: [Priceless Ming Vase](#)) and building most of the current Great Wall. Also sent the eunuch admiral Zheng He, a Yunnanese Muslim descended from semuren servants of the Yuan Dynasty, to explore the western seas as far as Sultanate of Zanzibar in modern-day Tanzania. He did so with a fleet larger than all the world's navies of the time combined – which was then mothballed because it was a huge money-sink and the whole project had only brought in minimal returns in the form of slightly increased trade.

No amount of cultural posturing or diplomacy could change the fundamental nature of Chinese trade with the outside world, which was always going to be very limited – spices grew domestically or just a thousand kilometres to the south, furs were brought in overland from Siberia, and both cheap and high-quality/luxury manufactured goods were all produced domestically (the impoverished and geographically disadvantaged Europeans, on the other hand, had to traverse many [tens of] thousands of kilometres of open ocean to buy all of these things).

Domestically the Ming were known for a fair bit more than all that, of course. Economically the stability of their rule and lightness of their taxes allowed a lot of Smithian/pre-modern commercialisation and growth, which taken together with the tripling of the population (c.80 to c.250 million) gave the Ming more than twice the wealth of the Song (peak Song population was c.120 million)^{note}. Politically they were more famous for retaining the anti-aristocratic policies of the Yuan and the Civil Service system (including examinations) of the Song, which ensured that a centralised state (with only minimal recourse to nobles and aristocrats) in which the monarchy and its civil service played the most important roles would be around to stay. They also oversaw a huge flowering of culture, which was helped in large part by their unprecedented wealth and the expansion in literacy (with up to 10% of men and 1% of women – yes, *women* – being literate) and printing (to the point that there were literally books and pamphlets on every subject^{note}, something that had never happened before). Prose was still not really regarded as a ‘proper’ artistic field in the Ming, but some pretty awesome novels were produced including [*Journey to the West*](#) and the [*Romance of the Three Kingdoms*](#).

The Ming were contacted by the Portuguese and the Castilians when they first established trade posts across the East Indies in the 16th century, and later the Dutch when they seceded from the Habsburg Duchy of Burgundy (the modern-day Low Countries) and seized many Portuguese overseas possessions. Having run up a huge

balance-of-trade deficit when buying Chinese luxury goods with hard currency, the Portuguese assented to a political union with Castile in 1580 so they could have tax-free access to Castilian silver imports (shipped over from modern-day Columbia and Mexico in what was then Castilian America). European ceramics- and clothes-making techniques were relatively crude because the region was so underpopulated and poor (much like northern China, Europe as a whole was too dry and cold for rice cultivation), meaning that Chinese goods were of incomparably higher quality than anything the region could produce domestically. Even Indian producers could not compete with Chinese ones at the higher end of the market, and so much silver flowed into China that late Ming suffered from a severe inflationary pressure. The influx of silver from The Americas more than doubled the amount of silver in Europe in the 16th century and more than quadrupled it in the 17th, and silver coins minted in Castilian America became a *de facto* standard currency of the Ming Empire (as in Europe). From the Portuguese outposts also came a new wave of Christian missionaries to China, especially the Jesuits, who laid the foundation of modern Christianity in China and would contribute significantly to the court life of the later Qing Empire.

The war to defend Korea against Japan (late 16th century) involved large land and sea battles and sieges on a scale which exceeded that of the greatest (Ottoman-Habsburg wars, Thirty Years' War) in contemporary Europe, chewing through huge numbers of recruits and resulting in critical shortages of trained archers and suitable bow-wood. Accordingly the Ming resorted to manufacturing and issuing firearms, which were still more expensive than bows but required far less training (weeks, versus years), to arm many of their troops. The naval battles and sieges also encouraged the manufacture and use of large artillery pieces. However, all previous and later military actions were on a vastly smaller scale and chiefly against steppe-nomads – in which bow-armed horse cavalry played the most important role, and siege cannon and muskets were an expensive liability. Accordingly, the Ming employed the Jesuits to

buy up all the very latest European gunsmith manuals and bring select Ming gunsmiths up to speed on [the latest, most efficient weapons designs \(as tested on Europe's myriad battlefields\) and test-firing procedures](#), which the Ming gunsmiths would otherwise have had to figure out for themselves. Given that [by the 1620s gunpowder weapons were more than twice as expensive in the Ming than they were in western Europe](#) (due to high long-term demand for them in war-torn western Europe, which eventually pushed per-unit prices down), design trial-and-error was a pretty expensive proposition. There were also no wars in which they could determine the battlefield-efficiency of such indigenous prototypes either.

Towards the end of the dynasty, the flourishing of culture was not mirrored politically; later imperial courts were plagued by corruption and the overbearing influences of eunuchs. Natural disasters, costly endeavours such as the intervention in Korea (the Imjin War) would strain imperial coffers. Ironically, it was not the Manchus who first brought an end to the dynasty: a peasant rebellion led by Li Zicheng marched into Beijing; during those tumultuous and tragic events, the last official Ming emperor would commit suicide. Elsewhere, such as in Sichuan, warlords and other peasant leaders would take power, among them Zhang Xianzhong.

The last remnants (supposedly) loyal to the Ming dynasty, led by Zheng Chenggong, a some time pirate also known as Koxinga to Westerners, established a de facto independent state on the island of Taiwan in 1661 after driving out the Dutch who had established an outpost there. This state, called the Kingdom of Tungning, lasted until 1683, when the Qing troops under Admiral Shi Lang, who had formerly served under Zheng but defected to the Manchus, conquered the island.

40. Yuan Dynasty to Ming Dynasty

The **Red Turban Rebellion** was an uprising in the middle of the fourteenth century by Chinese peasants against the ruling [Mongolian Yuan Dynasty](#), which eventually resulted in the establishment of the [Ming dynasty](#). By the mid-fourteenth century, dissension among the Mongolian leadership and corruption and greed of the government officials had greatly weakened the central government. At the same time, there was an upsurge of opposition to the Mongol leadership among the Han Chinese peasants, fueled by inflation and hardship caused by famine and flooding. The “Red Turbans,” or “Red Scarves,” was a secret society of peasants whose aim was to overthrow the Mongols and re-establish the [Song Dynasty](#). Their ideology included elements from White Lotus (a Buddhist sect from the late Southern Song), [Manichaeism](#), traditional [Confucianism](#), and [Daoism](#). The name “Red Turban” came from their tradition of using red banners and wearing red turbans to distinguish themselves.

One of the Red Turban leaders, Zhu Yuanzhang, established a military base at Nanjing in 1356, defeated his rivals in southern China, and began to occupy the north. In 1368, Zhu Yuanzhang proclaimed the Ming dynasty, with himself as the emperor Taizu (T'ai-tsu, Grand Ancestor), posthumously known as the [Hongwu Emperor](#). In August of that year, Ming troops entered [Peking](#) and the rule of the Yüan dynasty came to an end. The Mongols were pushed to the north of the [Great Wall](#), and by 1382, China was unified again under the Ming.

Background

During the late twelfth and early thirteenth centuries, [Genghis Khan](#) (1167–1227) unified the Mongol tribes into a massive conquering force which spread out across Central Asia, destroying any city that did not immediately surrender. In 1209, he began the conquest of Xi Xia on China's northern border, and in 1215, Beijing fell to the Mongols. Yeluchuai, a member of the Khitan royal house, convinced the nomadic Mongols not to destroy the Chinese peasants and their agriculture, but instead to tax them and profit from the products of Chinese mines and industries.^[1]

In 1279, [Kublai Khan](#) completed the [Mongol](#) conquest of the Southern Song Dynasty and established the Yuan Dynasty. Kublai Khan gave the top administrative positions in the government to Mongols, allowing large numbers of Han Chinese to occupy the less important posts. Chinese were not allowed to possess arms, and the penal code was imposed more severely on them than on Mongols for the same offenses. Inter-marriage among the three groups of Mongols, Chinese, and other ethnicities was forbidden. After Kublai Khan died in 1294, internal dissension under less capable leaders caused the efficiency of the government to deteriorate rapidly. Between 1320 and 1329, there were four emperors. Opposition to Mongol rule increased among the Chinese, especially among groups such as the salt workers, who were particularly oppressed. The Yuan Dynasty required considerable military expenditure to maintain its vast empire, and the burden of additional taxation fell mostly on the [Han Chinese](#), who constituted the lower two of the four groups in the Yuan social structure. Inflation was rampant. At the same time, natural disasters such as famines and the constant flooding of the Yellow River caused extreme hardship for the peasants.^[2]

The Red Turban Army

The “Red Turbans,” or “Red Scarves,” was a secret society of peasants whose aim was to overthrow the Mongols and re-establish the Song Dynasty. Their ideology included elements from White Lotus, a Buddhist sect from the late Southern Song which believed in the imminent advent of the Buddha Maitreya; [Manichaeism](#), which originated in [Babylon](#) in the third century and adapted to Buddhism when it reached China; traditional [Confucianism](#); and [Daoism](#). The name “Red Turban” came from their tradition of using red banners and wearing red turbans to distinguish themselves.

The “Red Turban” rebellions began sporadically, first on the coast of [Zhejiang](#), when a Han Chinese named Fang Guozhen and his men assaulted a group of Yuan officials. After that, the White Lotus society, led by Han Shantong, in the area north of the Yellow River became the center of anti-Mongol sentiment. In 1351, the society plotted an armed rebellion, but the plan was disclosed and Han Shantong was arrested and executed by the Yuan Government. After his death, Liu Futong, a prominent member of the White Lotus, assisted Han's son, Han Liner, the “Little Prince of Radiance,” who claimed to be an incarnation of Maitreya Buddha, to succeed his father and establish the Red Turban Army. After that, several other Han rebels in the south of the [Yangtze River](#) revolted under the name of the Southern Red Turbans. Among the key leaders of the Southern Red Turbans were Xu Shouhui and Chen Youliang.

Conquest of the Yuan Dynasty

Main article: [Hongwu Emperor](#)

In 1352, a Buddhist mendicant named [Zhu Yuanzhang](#) joined a rebel band led by Guo Zixing (Kuo Tzuhsing), one of Han Liner's followers. Zhu married Kuo's adopted daughter, the princess Ma. In 1353, Zhu

captured Ch'u-chou (now Ch'u district in Anhwei Province, an area west of Nanking). He continued to receive important commissions and when Kuo Tzu-hsing died in 1355, Zhu became leader of the rebel army.

In 1356, Zhu took the city of Nanjing, and made it his military base. In 1361, he gave himself the title of Duke of Wu, demonstrating his intention to found his own dynasty. At first, he nominally supported Han Liner in order to stabilize his northern frontier. In 1363, he defeated his rival Chen Youliang (Ch'en Yuliang; 1320–1363) at the Battle of Lake Poyang, in Jianxi Province, in 1363, one of the largest naval battles in world history. Chen had been the leader of the southern Red Turban Army, controlling the middle Yangzi region. Zhu then conquered all of west Yangzi, and defeated his most powerful rivals, Zhang Shicheng, who had a base at Suzhou and committed suicide when captured and brought to Nanking; and Fang Guozhen, who submitted to his authority. In 1367, the Sung pretender Han Liner drowned under mysterious circumstances while being escorted to safety at Zhu's headquarters in Nanking.^[3]

When he reached the Yangtze Delta, Zhu came into contact with well-educated [Confucian](#) scholars and gentry, from whom he received an education in the Chinese language, Chinese history and the Confucian Classics. Some of them became his advisers in state affairs. Zhu established an effective local administration, in conjunction with his military organization, which supported his expansion. Zhu abandoned his Buddhist upbringing and positioned himself as a defender of Confucian and [neo-Confucian](#) conventions, rather than simply as a popular rebel. Despite his humble origins, he emerged as a national leader against the collapsing [Yuan Dynasty](#). Calling for a racial revolution to overthrow the Mongols and restore the Han Chinese, Zhu gained popular support.

Zhu's charisma attracted talented supporters from all over China, such as Zhu Sheng, who is credited with the mantra, "Build high walls, stock up rations, and don't be too quick to call yourself a king." The rebel leader followed this advice and decided to subdue

the smaller, weaker rebel groups in Southern China before turning against the [Mongols](#).

On January 23, 1368, Zhu Yuanzhang proclaimed the Ming (“Bright” or “Radiance”) dynasty in Yintian, with himself as the emperor Taizu (T’ai-tsu, Grand Ancestor), posthumously known as the [Hongwu Emperor](#) (“Vast military achievement”). He used the motto, “Exiling the Mongols and Restoring Hua,” as a call to rouse the Han Chinese into supporting him. The campaigns in the north succeeded, and Shantung and Honan provinces (south of Peking) submitted to Ming authority. In August, 1368, Ming troops entered Peking ([Dadu](#)). The Yuan emperor Shun Ti fled to Inner Mongolia, and the rule of the Yüan dynasty came to an end. The Mongols were pushed north of the [Great Wall](#). By 1382, China was unified again under the Ming.

Footnotes

1. ↑ W. Scott Morton and Charlton M. Lewis. *China: Its History and Culture* (New York: McGraw-Hill, 2005). [ISBN 0071412794](#)
2. ↑ Travel China Guide, [Yuan Dynasty: Ancient China Dynasties](#). Retrieved September 15, 2007.
3. ↑ Dorothy Perkins, *Encyclopedia of China: The Essential Reference to China, Its History and Culture* (New York: Roundtable Press, 1999).

4I. Ming Dynasty: Exploration to Isolation

The **Ming Dynasty** was the ruling dynasty of China from 1368 to 1644. It was the last ethnic [Han](#)-led dynasty in China, supplanting the [Mongol](#)-led [Yuan Dynasty](#) before falling to the Manchu-led [Qing Dynasty](#). The Ming Dynasty ruled over the **Empire of the Great Ming** (Dà Míng Guó), as China was then known. Although the Ming capital, [Beijing](#), fell in 1644, remnants of the Ming throne and power (now collectively called the **Southern Ming**) survived until 1662. The Civil Service and a strong centralized government developed during this period. Commerce, trade and also naval exploration flourished with ships possibly reaching the Americas in 1421, before [Christopher Columbus](#) set sail. Towards the end of the Ming rule, the first European colony, Macao, was founded (1557).

Ming rule saw the construction of a vast navy, including four-masted ships of 1,500 tons displacement, and a standing army of 1,000,000 troops. Over 100,000 tons of [iron](#) per year were produced in North China (roughly 1 kg per inhabitant), and many books were printed using movable type. There were strong feelings amongst the Han ethnic group against the rule by non-Han ethnic groups during the subsequent [Qing Dynasty](#), and the restoration of the Ming dynasty was used as a rallying cry up until the modern era. Towards the end of the dynasty, the Emperors increasingly retired from public life and power devolved to influential officials, and also to their [eunuchs](#).

Strife among the ministers, which the eunuchs used to their advantage, and corruption in the court all contributed to the demise of this long dynasty. Their successors would have to deal with the increased influence of the European powers in China, and the subsequent loss of complete autonomy. The earlier overseas explorations yielded to isolationism, as the idea that all outside of

China was [barbarian](#) took hold, (known as Sinocentrism). However, a China that ceased to deal with outsiders was badly placed to deal with them, which led to her becoming a theatre for European imperial ambition. While China was never conquered by any other power (except by Japan during [World War II](#)) from the sixteenth century on, the European powers gained many concessions and established several colonies which undermined the Emperor's own power.

Origins of the Ming Dynasty

The [Mongol](#)-led [Yuan Dynasty](#) ruled before the establishment of the Ming Dynasty. Some historians believe the Mongols' discrimination against Han Chinese during the Yuan dynasty is the primary cause for the end of that dynasty. The discrimination led to a peasant revolt that pushed the Yuan dynasty back to the Mongolian steppes. However, historians such as Joseph Walker dispute this theory. Other causes include paper currency over-circulation, which caused inflation to go up tenfold during the reign of Yuan Emperor Shundi, along with the flooding of the [Yellow River](#) as a result of the abandonment of irrigation projects. In Late Yuan times, agriculture was in shambles. When hundreds of thousands of civilians were called upon to work on the Yellow River, war broke out. A number of Han Chinese groups revolted, and eventually the group led by **Zhu Yuanzhang**, assisted by an ancient and secret intellectual fraternity called the Summer Palace people, established dominance. The rebellion succeeded and the Ming Dynasty was established in Nanjing in 1368. Zhu Yuanzhang took Hongwu as his reign title. The Ming dynasty emperors were members of the Zhu family.

Hongwu kept a powerful army organized on a military system known as the Wei-so system, which was similar to the Fu-ping system of the Tang Dynasty. According to Ming Shih Gao, the political intention of the founder of the Ming Dynasty in establishing

the Wei-so system was to maintain a strong army while avoiding bonds between commanding officers and soldiers.

Hongwu supported the creation of self-supporting agricultural communities. Neo-feudal land-tenure developments of Late [Song](#) times were expropriated with the establishment of the Ming Dynasty. Great land estates were confiscated by the government, fragmented and rented out; private [slavery](#) was forbidden. Consequently, after the death of the [Yongle Emperor](#), independent peasant landholders predominated in Chinese agriculture.

It is notable that Hongwu did not trust Confucians. However, during the next few emperors, the Confucian scholar gentry, marginalized under the Yuan for nearly a century, once again assumed their predominant role in running the empire.

Government



This map shows Ming Dynasty China in 1580. The distribution of guard commanders reflects the dynasty's concern with the north border, the Wokou threat on the eastern seaboard, and also the continuing instability in the southwest.

The basic pattern of governmental institutions in China has been the same for two thousand years, but every dynasty installed special offices and bureaus for certain purposes. The Ming administration was also structured in this pattern: the Grand Secretariat (*neige*; before: *zhongshusheng*) was assisting the emperor, besides are the Six Ministries (*Liubu*) for Personnel (*libu*), Revenue (*hubu*), Rites (*libu*), War (*bingbu*), Justice (*xingbu*), and Public Works (*gongbu*), under the Department of State Affairs (*shangshu sheng*). The Censorate (*duchayuan*; before: *yushitai*) surveiling the work of imperial officials was also an old institution with a new name. The nominal -and often not employed- heads of government, like since the Han Dynasty, were the Three Dukes (*sangong*: the Grand Mentor *taifu*, the Grand Preceptor *taishi* and the Grand Guardian *taibao*) and the Three Minor Solitaries (*sangu*). The first emperor of Ming in his persecution mania abolished the Secretariat, the Censorate and the Chief Military Commission (*dudufu*) and personally took over the responsibility and administration of the respective ressorts, the Six Ministries, the Five Military Commissions (*wu junfu*), and the censorate ressorts: a whole administration level was cut out and only partially rebuilt by the following emperors. The Grand Secretariat was reinstalled, but without employing Ground Counsellors ("chancellors"). The ministries, headed by a minister (*shangshu*) and run by directors (*langzhong*) stayed under direct control of the emperor until the end of Ming, the Censorate was reinstalled and first staffed with investigating censors (*jiancha yushi*), later with censors-in-chief (*du yushi*).

Of special interest during the Ming Dynasty is the vast imperial household that was staffed with thousands of [eunuchs](#), headed by the Directorate of Palace Attendants (*neishijian*), and divided into

different directorates (jian) and Services (ju) that had to administer the staff, the rites, food, documents, stables, seals, gardens, state-owned manufacturies and so on.^[1] Famous for its intrigues and acting as the eunuch's secret service was the so-called Western Depot (xichang).

Princes and descendants of the first Ming emperor were given nominal military commands and large land estates, but without title (compare the Han and Jin Dynasties, when princes were installed as kings). The Ming emperors took over the provincial administration system of the Mongols, and the 13 Ming provinces (sheng) are the origin of the modern provinces. On the provincial level, the central government structure was copied, and there existed three provincial commissions: one civil, one military, and one for surveillance. Below province level were the prefectures (fu) under a prefect (zhifu) and subprefectures (zhou) under a subprefect (zhizhou), the lowest unit was the district (xian) under a magistrate (zhixian). Like during the former dynasties, a traveling inspector or Grand Coordinator (xunfu) from the Censorate controlled the work of the provincial administrations. New during the Ming Dynasty was the traveling military inspector (zongdu). Official recruitment was exerted by an examination system that theoretically allowed everyone to link the ranks of imperial officials if he had enough time, money and strength to learn and to write an "eight-legged essay" (baguwen). Passing the provincial examinations, scholars were titled Cultivated Talents (xiuca), passing the metropolitan examination, they obtained the title jinshi "Graduate."

Exploration to Isolation



This is the only surviving example in the world of a major piece of lacquer furniture from the “Orchard Factory” (the Imperial Lacquer Workshop) set up in [Beijing](#) during the early Ming Dynasty. Decorated in [dragons](#) and [phoenixes](#) it was made to stand in an imperial palace. Made sometime during the Xuande reign period (1426-1435) of the Ming Dynasty. Currently on display at the Victoria and Albert Museum in [London](#).

The Chinese gained influence over Turkestan. The maritime Asian nations sent envoys with tributes for the Chinese emperor. Internally, the Grand Canal was expanded to its farthest limits and proved to be a stimulus to domestic trade.

The most extraordinary venture, however, during this stage was the dispatch of [Zheng He](#)’s seven naval expeditions, which traversed the Indian Ocean and the Southeast Asian archipelago. An ambitious [eunuch](#) of Hui descent, a quintessential outsider in the establishment of Confucian scholar elites, Zheng He led seven expeditions from 1405 to 1433 with six of them under the auspices of Yongle. He traversed perhaps as far as the [Cape of Good Hope](#) and, according to the controversial 1421 theory, to the Americas ^[2] Zheng’s appointment in 1403 to lead a sea-faring task

force was a triumph the commercial lobbies seeking to stimulate conventional trade, not [mercantilism](#).

The interests of the commercial lobbies and those of the religious lobbies were also linked. Both were offensive to the neo-Confucian sensibilities of the scholarly elite: Religious lobbies encouraged commercialism and exploration, which benefited commercial interests, in order to divert state funds from the anti-clerical efforts of the Confucian scholar gentry. The first expedition in 1405 consisted of 317 ships and 28,000 men—then the largest naval expedition in history. Zheng He's multi-decked ships carried up to 500 troops but also cargoes of export goods, mainly [silks](#) and porcelains, and brought back foreign luxuries such as [spices](#) and tropical woods.



This tripod planter from the Ming Dynasty is an example of Longquan celadon. It is housed in the [Smithsonian](#) in [Washington, DC](#)

The economic motive for these huge ventures may have been important, and many of the ships had large private cabins for merchants. But the chief aim was probably political; to enroll further states as tributaries and mark the dominance of the Chinese Empire. The political character of Zheng He's voyages indicates the primacy of the political elites. Despite their formidable and unprecedented strength, Zheng He's voyages, unlike European

voyages of exploration later in the fifteenth century, were not intended to extend Chinese sovereignty overseas. Indicative of the competition among elites, these excursions had also become politically controversial. Zheng He's voyages had been supported by his fellow-eunuchs at court and strongly opposed by the Confucian scholar officials. Their antagonism was, in fact, so great that they tried to suppress any mention of the naval expeditions in the official imperial record. A compromise interpretation realizes that the [Mongol](#) raids tilted the balance in the favor of the Confucian elites.

By the end of the fifteenth century, imperial subjects were forbidden from either building oceangoing ships or leaving the country. Some historians speculate that this measure was taken in response to [piracy](#). But during the mid-1500s, trade started up again when silver replaced paper money as currency. The value of silver skyrocketed relative to the rest of the world, and both trade and inflation increased as China began to import silver.

Historians of the 1960s, such as John Fairbank III and Joseph Levinson have argued that this renovation turned into stagnation, and that science and philosophy were caught in a tight net of traditions smothering any attempt at something new. Historians who held to this view argue that in the fifteenth century, by imperial decree the great navy was decommissioned; construction of seagoing ships was forbidden; the [iron](#) industry gradually declined.

Ming Military Conquests

The beginning of the Ming Dynasty was marked by Ming Dynasty military conquests as they sought to cement their hold on power.

Early in his reign the first Ming Emperor Zhu Yuanzhang provided instructions as injunctions to later generations. These instructions included the advice that those countries to the north were dangerous and posed a threat to the Ming polity and those to the

south did not. Furthermore, he stated that those to the south, not constituting a threat, were not to be subject to attack. Yet, either because of or despite this, it was the politics to the south which were to suffer the greatest effects of Ming expansion over the following century. This prolonged entanglement in the south with no long-lasting tangible benefits ultimately weakened the Ming Dynasty.

Agricultural Revolution

Historians consider the Hongwu emperor to be a cruel but able ruler. From the start of his rule, he took great care to distribute land to small farmers. It seems to have been his policy to favor the poor, whom he tried to help to support themselves and their families. For instance, in 1370 an order was given that some land in Hunan and Anhui should be distributed to young farmers who had reached manhood. To preclude the confiscation or purchase of this land by unscrupulous landlords, it was announced that the title to the land was not transferable. At approximately the middle of Hongwu's reign, an edict was published declaring that those who cultivated wasteland could keep it as their property and would never be taxed. The response of the people was enthusiastic. In 1393, the cultivated land rose to 8,804,623 ching and 68 mou, a record which no other dynasty has reached.

One of the most important aspects of the development of farming was water conservancy. The Hong Wu emperor paid special attention to the [irrigation](#) of farms all over the empire, and in 1394 a number of students from Kuo-tzu-chien were sent to all of the provinces to help develop irrigation systems. It is recorded that 40,987 ponds and dikes were dug.

Having himself come from a peasant family, Hong Wu emperor knew very well how much farmers suffered under the gentry and the wealthy. Many of the latter, using influence with magistrates,

not only encroached on the land of farmers, but also by bribed sub-officials to transfer the burden of taxation to the small farmers they had wronged. To prevent such abuses the Hongwu Emperor instituted two very important systems: “Yellow Records” and “Fish Scale Records,” which served to guarantee both the government’s income from land taxes and the people’s enjoyment of their property.

Hongwu kept a powerful army organized on a military system known as the wei-so system. The wei-so system in the early Ming period was a great success because of the tun-tien system. At one time the soldiers numbered over a million and Hong Wu emperor, well aware of the difficulties of supplying such a number of men, adopted this method of military settlements. In time of peace each soldier was given forty to fifty mou of land. Those who could afford it supplied their own equipment; otherwise it was supplied by the government. Thus the empire was assured strong forces without burdening the people for its support. The Ming Shih states that 70 percent of the soldiers stationed along the borders took up farming, while the rest were employed as guards. In the interior of the country, only 20 percent were needed to guard the cities and the remaining occupied themselves with farming. So, one million soldiers of the Ming army were able to produce five million piculs of grain, which not only supported great numbers of troops but also paid the salaries of the officers.

Commerce Revolution

Hong Wu’s prejudice against the merchant class did not diminish the numbers of traders. On the contrary, commerce was on much greater scale than in previous centuries and continued to increase, as the growing industries needed the cooperation of the merchants. Poor soil in some provinces and over-population were key forces that led many to enter the trade markets. A book called “Tu pien

hsin shu” gives a detailed description about the activities of merchants at that time. In the end, the Hong Wu policy of banning trade only acted to hinder the government from taxing private traders. Hong Wu did continue to conduct limited trade with merchants for necessities such as salts. For example, the government entered into contracts with the merchants for the transport of grain to the borders. In payments, the government issued salt tickets to the merchants, who could then sell them to the people. These deals were highly profitable for the merchants.

Private trade continued in secret because the coast was impossible to patrol and police adequately, and because local officials and scholar-gentry families in the coastal provinces actually colluded with merchants to build ships and trade. The [smuggling](#) was mainly with Japan and Southeast Asia, and it picked up after [silver](#) lodes were discovered in Japan in the early 1500s. Since silver was the main form of money in China, lots of people were willing to take the risk of sailing to Japan or Southeast Asia to sell products for Japanese silver, or to invite Japanese traders to come to the Chinese coast and trade in secret ports. The Ming court’s attempt to stop this ‘[piracy](#)’ was the source of the wokou wars of the 1550s and 1560s. After private trade with Southeast Asia was legalized again in 1567, there was no more [black market](#). Trade with Japan was still banned, but merchants could simply get Japanese silver in Southeast Asia. Also, Spanish Peruvian silver was entering the market in huge quantities, and there was no restriction on trading for it in Manila. The widespread introduction of silver into China helped monetize the economy (replacing [barter](#) with [currency](#)), further facilitating trade.

The Ming Code

The legal code drawn up in the time of Hong Wu emperor was considered one of the great achievements of the era. The Ming shih

mentions that early as 1364, the monarch had started to draft a code of laws known as Ta-Ming Lu. Hong Wu emperor took great care over the whole project and in his instruction to the ministers told them that the code of laws should be comprehensive and intelligible, so as not to leave any loophole for sub-officials to misinterpret the law by playing on the words. The code of Ming Dynasty was a great improvement on that of Tang Dynasty as regards to treatment of [slaves](#). Under the Tang code slaves were treated almost like domestic animals. If they were killed by a free citizen, the law imposed no sanction on the killer. Under the Ming Dynasty, however, this was not so. The law assumed the protection of slaves as well as free citizens, an ideal that harkens back to the reign of [Han Dynasty](#) emperor [Guangwu](#) in the first century C.E. The Ming code also laid great emphasis on family relations. Ta-Ming Lu was based on [Confucian](#) ideas and remained one of the factors dominating the law of China until the end of the nineteenth century.

Scrapping The Prime Minister Post

Many argue that Hongwu emperor, wishing to concentrate absolute authority in his own hands, abolished the office of prime minister and so removed the only insurance against incompetent emperors. However the statement is misleading as a new post was created called “Senior Grand secretary” which replaced the abolished prime minister post. Ray Huang, Professor from State University College at New Paltz, New York, has argued that Grand-secretaries, outwardly powerless, could exercise considerable positive influence from behind the throne. Because of their prestige and the public trust which they enjoyed, they could act as intermediaries between emperor and the ministerial officials and thus provide stabilizing force in the court.

Decline of the Ming

The Yongle Emperor, as a warrior, was able to maintain the foreign policy of his father. However, Yongle's successors attached little importance to foreign affairs and this led to deterioration of the army. Annam regained its independence in 1427 and in the north the Mongols quickly regained their strength. Starting around 1445, the [Oirat Horde](#) became a military threat under their new leader Esen Taiji. The Zhengtong Emperor personally led a punitive campaign against the Horde but the mission turned into a disaster as the Chinese army was annihilated and the Emperor was captured. Later, under Jia-Jing Emperor, the capital itself nearly fell into the hands of the Mongols, if not for the heroic efforts of the patriot Yu Qian. At the same time the Wokou Japanese pirates were raging along the coast – a front so extensive that it was scarcely within the power of the government to guard it. It was not until local military were formed under Qi Jiguang that the Japanese raids ended. Next, the [Japanese](#) under the leadership of [Hideyoshi](#) set out to conquer [Korea](#) and China through two campaigns known collectively as the Imjin War. While the Chinese defeated the Japanese, the empire suffered financially. By the 1610s, the Ming Dynasty had lost de facto control over northeast China. A tribe descended from Jin dynasty rapidly extended its power as far south as Shanhai Pass, i.e. directly opposite the [Great Wall](#), and would have taken over China quickly if not for the brilliant Ming commander, Yuan Chonghuan. Indeed, the Ming did produce capable commanders such as Yuan Chonghuan, Qi Jiguang, and others; who were able to turn this unfavorable situation into a satisfactory one. The corruption within the court—largely the fault of the eunuchs—also contributed to the decline of the Ming Dynasty.

The decline of Ming Empire became more obvious in the second half of the Ming period. Most of the Ming Emperors lived in retirement and power often fell into the hands of influential

officials, and also sometimes into the hands of eunuchs. Furthering the decline was strife among the ministers, which the eunuchs used to their advantage. Corruption in the court persisted to the end of the dynasty.

Historians debate the relatively slower “progression” of European-style [mercantilism](#) and industrialization in China since the Ming. This question is particularly poignant, considering the parallels between the commercialization of the Ming economy, the so-called age of “incipient capitalism” in China, and the rise of commercial capitalism in the West. Historians have thus been trying to understand why China did not “progress” in the manner of Europe during the last century of the Ming Dynasty. In the early twenty-first century, however, some of the premises of the debate have come under attack. Economic historians such as Kenneth Pomeranz have argue that China was technologically and economically equal to Europe until the 1750s and that the divergence was due to global conditions such as access to natural resources from the new world.

Much of the debate nonetheless centers on contrast in political and economic systems between East and West. Given the causal premise that economic transformations induce social changes, which in turn have political consequences, one can understand why the rise of mercantilism, an economic system in which wealth was considered finite and nations were set to compete for this wealth with the assistance of imperial governments, was a driving force behind the rise of modern Europe in the 1600s-1700s. Capitalism after all can be traced to several distinct stages in Western history. Commercial capitalism was the first stage, and was associated with historical trends evident in Ming China, such as geographical discoveries, colonization, scientific innovation, and the increase in overseas trade. But in Europe, governments often protected and encouraged the burgeoning capitalist class, predominantly consisting of merchants, through governmental controls, subsidies, and monopolies, such as [British East India Company](#). The absolutist

states of the era often saw the growing potential to excise bourgeois profits to support their expanding, centralizing nation-states.

This question is even more of an anomaly considering that during the last century of the Ming Dynasty a genuine money economy emerged along with relatively large-scale mercantile and industrial enterprises under private as well as state ownership, such as the great textile centers of the southeast. In some respects, this question is at the center of debates pertaining to the relative decline of China in comparison with the modern West at least until the Communist revolution. Chinese Marxist historians, especially during the 1970s identified the Ming age one of “incipient capitalism,” a description that seems quite reasonable, but one that does not quite explain the official downgrading of trade and increased state regulation of commerce during the Ming era. Marxian historians thus postulate that European-style mercantilism and industrialization might have evolved had it not been for the Manchu conquest and expanding European imperialism, especially after the [Opium Wars](#).

Post-modernist scholarship on China, however argues that this view is simplistic and, at worst, wrong. The ban on ocean-going ships, it is pointed out, was intended to curb [piracy](#) and was lifted in the Mid-Ming at the strong urging of the bureaucracy who pointed out the harmful effects it was having on coastal economies. These historians, who include Kenneth Pomeranz, and Joanna Waley-Cohen deny that China “turned inward” at all and point out that this view of the Ming Dynasty is inconsistent with the growing volume of trade and commerce that was occurring between China and southeast Asia. When the [Portuguese](#) reached [India](#), they found a booming trade network which they then followed to China. In the sixteenth century Europeans started to appear on the eastern shores and the Portuguese founded Macao, the first European settlement in China. As mentioned, since the era of Hongwu the emperor’s role this became even more autocratic, although Hongwu necessarily continued to use what he called the Grand Secretaries to assist with the immense paperwork of the bureaucracy, which

included memorials (petitions and recommendations to the throne), imperial edicts in reply, reports of various kinds, and tax records.

Hongwu, unlike his successors, noted the destructive role of court eunuchs under the Song Dynasty, drastically reducing their numbers, forbidding them to handle documents, insisting that they remained illiterate, and liquidating those who commented on state affairs. Despite Hongwu's strong aversion to the eunuchs, encapsulated by a tablet in his palace stipulating: "Eunuchs must have nothing to do with the administration," his successors revived their informal role in the governing process. Like its predecessor the Eastern Han Dynasty, the eunuchs would be remembered as the major factor that brings the dynasty to its knees.

Yongle was also very active and very competent as an administrator, but an array of bad precedents was established. First, although Hongwu maintained some Mongol practices, such as corporal punishment, to the consternation of the scholar elite and their insistence on rule by virtue, Yongle exceeded these bounds, executing the families of his political opponents, and murdering thousands arbitrarily. Third, Yongle's cabinet, or Grand Secretariat, would become a sort of rigidifying instrument of consolidation that became an instrument of decline. Earlier, however, more competent emperors supervised or approved all the decisions of the latter council. Hongwu himself was generally regarded as a strong emperor who ushered in an energy of imperial power and effectiveness that lasted far beyond his reign, but the centralization of authority would prove detrimental under less competent rulers.

Building the Great Wall

Did you know?

The [Great Wall of China](#) was built primarily during the Ming Dynasty (1368 to 1644)

After the Ming army defeat at Battle of Tumu and later raids by the Mongols under a new leader, Altan Khan, the Ming adopted a new strategy for dealing with the northern horsemen: a giant impregnable wall, inspired by walls built during the Warring States Period by the states Yan, Zhao, and Qin and linked by Qin.

Almost 100 years earlier (1368) the Ming had started building a new, technically advanced fortification which today is called the [Great Wall of China](#). Created at great expense the wall followed the new borders of the Ming Empire. Acknowledging the control which the Mongols established in the Ordos, south of the [Huang He](#), the wall follows what is now the northern border of [Shanxi](#) and [Shaanxi](#) provinces. Work on the wall largely superseded military expeditions against the Mongols for the last 80 years of the Ming dynasty and continued up until 1644, when the dynasty collapsed.

The Network of Secret Agents

In the Ming Dynasty, networks of secret agents flourished throughout the [military](#). Due to the humble background of Zhu Yuanzhang before he became emperor, he harbored a special hatred against corrupt officials and had great awareness of revolts. He created the Jinyi Wei, to offer himself further protection and act as secret police throughout the empire. Although there are a few successes in their history, they were more known for their brutality in handling crime than as an actually successful police force. In fact, many of the people they caught were actually innocent. The Jinyi Wei had spread a terror throughout their empire, but their powers were decimated as the eunuchs' influence at the court increased. The eunuchs created three groups of secret agents in their favor; the East Factory, the West Factory and the Inner Factory. All were no less brutal than the Jinyi Wei and probably worse, since they were

more of a tool for the eunuchs to eradicate their political opponents than anything else.

Fall of the Ming Dynasty

The fall of the Ming Dynasty was a protracted affair, its roots beginning as early as 1600 with the emergence of the Manchu under [Nurhaci](#). Under the brilliant commander, Yuan Chonghuan, the Ming were able to repeatedly fight off the Manchus, notably in 1626 at Ning-yuan and in 1628. Succeeding generals, however, proved unable to eliminate the Manchu threat. Earlier, however, in Yuan's command he had securely fortified the Shanhai pass, thus blocking the Manchus from crossing the pass to attack Liaodong Peninsula.

Unable to attack the heart of Ming directly, the Manchu instead bided their time, developing their own artillery and gathering allies. They were able to enlist Ming government officials and generals as their strategic advisors. A large part of the Ming Army home mutinied to the Manchu banner. In 1633 they completed a conquest of [Inner Mongolia](#), resulting in a large scale recruitment of Mongol troops under the Manchu banner and the securing of an additional route into the Ming heartland.

By 1636 the Manchu ruler [Huang Taiji](#) was confident enough to proclaim the Imperial [Qing Dynasty](#) at Shenyang, which had fallen to the Manchu in 1621, taking the Imperial title Chongde. The end of 1637 saw the defeat and conquest of Ming's traditional ally [Korea](#) by a 100,000 strong Manchu army, and the Korean renunciation of the Ming Dynasty.

On May 26, 1644, Beijing fell to a rebel army led by Li Zicheng. Seizing their chance, the Manchus crossed the [Great Wall](#) after Ming border general [Wu Sangui](#) opened the gates at Shanhai Pass, and quickly overthrew Li's short-lived Shun Dynasty. Despite the loss of Beijing (whose weakness as an Imperial capital had been

foreseen by Zhu Yuanzhang) and the death of the Emperor, Ming power was by no means destroyed. Nanjing, Fujian, Guangdong, Shanxi and Yunnan could all have been, and were in fact, strongholds of Ming resistance. However, the loss of central authority saw multiple pretenders for the Ming throne, unable to work together. Each bastion of resistance was individually defeated by the Qing until 1662, when the last real hopes of a Ming revival died with the Yongli emperor, Zhu Youlang. Despite the Ming defeat, smaller loyalist movements continued till the proclamation of the Republic of China.

Preceded by:	Ming Dynasty	Succeeded by:
Yuan Dynasty	1368–1644	Qing Dynasty

Notes

1. ↑ Eunuchs were recruited as personal servants of the Emperor from the start of the Ming Dynasty. Eventually, they occupied many significant posts. Tsai (1996) penetrates behind the usual representation of the eunuchs to show how behind the condemnation and jealousy that clouds their role, many served faithfully although many were also corrupt
2. ↑ Gavin Menzies, 2004. *1421: the Year China discovered America*, the 1421 website, [1421: The Year China Discovered America](#) published evidence that Zheng He sailed to the Americas, while “Will the Real Gavin Menzies Please Stand Up?” by Captain P.J. Rivers seeks to disprove the thesis, [Will the Real Gavin Menzies Please Stand Up?](#) Retrieved September 4, 2015.

42. Ming Dynasty: Fall of the Dynasty

The **fall of the [Ming Dynasty](#)** was a protracted affair, its roots beginning as early as 1600 with the emergence of the Manchus under Nurhaci. Originally a vassal of the [Ming emperors](#), Nurhaci in 1582 embarked on an inter-tribal feud that escalated into a campaign to unify the [Jianzhou Jurchen tribes](#). Later Nurhaci announced Seven Grievances and openly renounced the sovereignty of Ming overlordship in order to complete the unification of those Jurchen tribes still allied with the Ming emperor. With superior artillery, the Ming were able to repeatedly fight off the Manchus, notably in 1623 and in 1628. However, they were unable to recapture their rule over the Manchus and the region. From 1629 onwards, the Ming were wearied by a combination of internal strife and constant harassment of Northern China by the Manchu, who had turned to raiding tactics so as to avoid facing the Ming armies in open battle.

Unable to attack the heart of Ming directly, the Manchu instead bided their time, developing their own artillery and gathering allies. They were able to enlist Ming government officials as their strategic advisors. In 1633, they completed a conquest of [Inner Mongolia](#), resulting in a large scale recruitment of Mongol troops under the Manchu banner and the securing of an additional route into the Ming heartland.

By 1636, the Manchu ruler Huang Taiji was confident enough to proclaim the Imperial [Qing Dynasty](#) at [Shenyang](#), which had fallen to the Manchu by treachery in 1621, taking the Imperial title Chongde. The end of 1637 saw the defeat and conquest of Ming's traditional ally [Korea](#) by a 100,000 strong Manchu army, and the Korean renunciation of the Ming Dynasty.

On May 26, 1644, [Beijing](#) was sacked by a coalition of rebel forces

led by [Li Zicheng](#), a minor Ming official turned leader of the peasant revolt. The last Ming emperor, Emperor [Chongzhen](#), committed suicide when the city fell, marking the official end of the [dynasty](#). The Manchu [Qing](#) [dynasty](#) then allied with [Ming Dynasty](#) general [Wu Sangui](#) and seized control of Beijing and quickly overthrew Li's short-lived [Shun Dynasty](#). Despite the loss of Beijing (whose weakness as an Imperial capital had been foreseen by Zhu Yuanzhang) and the death of the [Chongzhen Emperor](#), Ming power was by no means destroyed. [Nanjing](#), [Fujian](#), [Guangdong](#), [Shanxi](#) and [Yunnan](#) could all have been and were in fact strongholds of Ming resistance (see [Southern Ming Dynasty](#)). However, the loss of central authority saw multiple pretenders for the Ming throne, unable to work together. Each bastion of resistance was individually defeated by the Qing until 1662, when the last real hopes of a Ming revival died with the Yongli emperor [Zhu Youlang](#).

43. Qing Dynasty

Qing Dynasty (1644 – 1912)

This empire was founded by Manchus, a group of people coming from Manchuria (and who formerly called themselves the Jurchens—see Jin Dynasty above.), to the northeast of China. For this reason, it is sometimes called the ‘Manchu Dynasty’. Europe referred to the Manchus as ‘Tartars’ for much of the seventeenth and eighteenth centuries, which was basically a generic term for any nomadic people in the region of Siberia. Contemporary maps of Qing China distinguish between the core Han ‘China proper’ in the south and ‘Chinese Tartary’ in the north (as opposed to ‘Russian Tartary’ in Siberia and ‘Independent Tartary’ in the area of Kazakhstan, nomadic peoples not part of any big empire). More than 20 million government documents survive from the Qing, more than most Qing-contemporary European countries put together, but quite a few of these are 7-8 copies of the same thing. All of these, including the 800,000 held by Taiwan, are being digitised and should be available online by 2030 – making these exciting times for Qing Historians worldwide.

The Manchus adapted themselves quickly to the Chinese style-governance, but with important restrictions on the majority Han based on traditional Manchurian ideas. Distinction between “Manchu” and “Han” were strictly defined and ruthlessly maintained, but on the basis of cultural and social conventions, rather than ethnicity. Positions of privilege were reserved only for “Manchus” belonging to the “Eight Banners,” supposedly made up of loyal members of the original Manchu tribes that founded the Qing Dynasty. In practice, so many Han people who contributed to the founding of the dynasty were enrolled among the banners that, by the time Qing had unified all China, a large majority of the bannermen may well have been Han by ethnicity rather than Manchu already. Nevertheless, the bannermen were required to

rigorously observe Manchu customs, live in separate areas of the cities where they resided, and serve as soldiers in service of the dynasty, in return for the privileges and monetary subsidies they received. This dynasty persisted into the twentieth century, where it spectacularly collapsed and the seeds of modern China were born.

The beginnings of the dynasty were actually quite dramatic: the Manchu started as a federation of Jurchen tribes in what is now known as Manchuria (or Dongbei, the Northeast in Chinese). Under leaders such as Nurhaci and Huang Taiji, they would consolidate and strengthen their position, expanding their influence into Mongolia and Korea. After the last Mongol khan submitted to the Manchus, their imperial house became kin of [Genghis Khan](#) himself by marrying Mongol princesses. Following the fall of the Ming, former imperial general Wu Sangui, who guarded the pass of the Great Wall to Manchuria would defect to them, thus opening up their way into China proper (Wu Sangui would go on to be considered a traitor of historical proportions in China, since, after surrendering to Qing, he rose up in a revolt against his new master a couple of decades later after having been given the huge and rich province of Szechwan to govern. Since his betrayal(s) were supposedly motivated by love triangles, his story is also the fodder for Chinese novels and soap operas). And thus, after decades of brutal conquest and slaughter that saw the Qings conquer not only China proper but also Tibet, Xinjiang, Western Mongolia, and parts of modern Tadjikistan and Kirghizstan, late imperial China would enter another age of prosperity and cultural advancement, the High Qing. Its emperors were known by the *nianhao* (or era names, corresponding to an emperor's reign) Kangxi, Yongzheng and Qianlong respectively. After that (actually already under the later Qianlong years) things started to go down south...

The ultimate reason for the Qing Dynasty's eventual failure and collapse was its shoestring budget, which precluded it from fostering economic development or bureaucratic reform even when it pursued these things wholeheartedly (as in its final decade). The Qing *never* taxed more than 2% of the country's GDP; Britain had

been taxing 8% of GDP as early as 1650, a figure which had only risen since then. The early Qing kept taxes so low because Confucius had espoused a doctrine of fiscal-economic liberalism which stressed minimal taxation and government intervention in the economy, which in practice had been marred by laws restricting commerce in the name of 'Confucian' morality until the Ming (under whom they'd been relaxed, a policy continued under the Qing). The late Qing weren't able to raise taxes – even when they wanted to – because of the continued influence of that concept, administration inertia, and ever-growing local and regional autonomy. There are serious questions as to whether *any* government could've handled the gargantuan tasks the Qing faced, and they managed to survive a Civil War that by all accounts should have destroyed them and would probably have taken down most lesser Chinese empires. Tellingly, although the regions the rebels held in the 1850-64 Taiping Rebellion had just a fifth of the country's total wealth, they had used high taxes to effectively fight the entire rest of the country to a standstill.

Although its inability to mobilise its people's resources in the form of taxes was its greatest weakness, the second and most notable was its increasingly obsolescent and eventually obsolete military and military-industrial complex. This seriously damaged the Qing's prestige and caused many to believe that it had lost its legitimacy as a government, directly contributing to the revolution which ended it. The last Ming holdouts had been crushed by the 1680s. Since then the Qing's military needs had *never* gotten so desperate that they needed to resort to producing muskets (to compensate for a lack of bowmen) and there had been *zero* need for siege or naval guns of any kind. But it wasn't just that India and Europe were swimming in guns when the Qing weren't; the Qing also lacked the *gun-tactics* that had been developed over the past three hundred years of European gunpowder-warfare. If there had been any straight-up matches between European and Qing military forces before this disadvantage had become catastrophically wide, perhaps the Qing would have realised the need to get to work churning

out muskets. But there weren't; the Qing's massive population and wealth put off all would-be challengers from seriously considering taking them on until 1839. In the First Opium War, well-drilled British troops under the command of veterans of the French Revolutionary/Napoleonic Wars (1790-1815) using tactics perfected during said wars took on poorly-trained Qing musketeers who hadn't fought a war in living memory. The result was a foregone conclusion.

The Qing's third great weakness (a well-developed but overwhelmingly agricultural economy) limited the tax-base available to the Qing government and increased the expense of developing a modern military-industrial complex – leaving even less money for economic development projects. This weakness was not apparent at first, since it was not seen as a weakness but rather regarded as *the norm*. In a world in which agriculture and people were the foundations of the economy and the source of virtually all its wealth (mining and manufacturing that *didn't* use agricultural products being very much in the minority), an empire with a third of the world's population and agricultural production all to itself had good grounds for calling itself the richest and most powerful on earth.

However, in the early 19th century this began to change. Devices made from large quantities of high-quality steel and iron could harness the energy stored in coal to power pumps, ships, and even new types of overland vehicle – traction machines (tractors) and locomotives (trains). The Europeans' superior knowledge of chemistry had also borne fruit for the first time, with the invention of new types of fertiliser that could be made from minerals. The practical upshot of this was that there was a whole new way to improve agricultural productivity: things mined from the earth. Like their German and Russian counterparts Qing metalworkers, miners, and agronomists had very little knowledge of these processes. But *unlike* the Germans and Russians, the Qing didn't have the money (or the sense of paranoia and fear inspired by neighbours doing likewise and becoming so much richer and therefore stronger

as a result) or the willingness to abandon Confucian-style Liberal Economics necessary for them to follow suit by creating State-owned technical colleges, universities, industrial enterprises, telegraph companies, and railways.

All this brings us back to the war of 1839: the so-called 'Opium War'. The highland poppy naturally occurred on the Indian side of the Himalayas, Cantonese traders first introduced southern Chinese consumers to Opium in the early-Ming era, marketing it as a pain-relief medicine and powerful aphrodisiac ('opium-smoking parlour' and 'brothel' quickly became synonymous). In the late Ming Tobacco was also purchased from Spanish traders operating in Manila. In both cases the Chinese merchants quickly cottoned on that anyone who could farm poppies and tobacco domestically could make a killing, and so through a series of wise purchases and bribes the cultivation of both was well-established by the early Qing. Demand for opium and tobacco grew even faster than the population (which had almost doubled Ming levels to c.400 million by 1850), making growing either full-time a viable alternative to other cash-crops like cotton, hemp, wheat, and rice – let alone subsistence-crops like millet, corn, and potatoes.

For all that Chinese tobacco and poppy breeds could satisfy the demands of the middle-classes (along with tea, these goods only became affordable for the poor in the mid-late 19th century), they just weren't as good as the originals and so high-quality opium and tobacco were imported throughout the Ming and Qing. Opium and tobacco were already being produced and shipped out of India and central America in vast amounts for export to other Indian regions, the middle east, and Europe – so exporting some to China as well was really just a question of buying some and shipping it there. Given the constant stream of Chinese ships returning from Malaya to China with near-empty holds after delivering Chinese luxury-goods to the islands (where they would be carried to India by Indian Muslim traders), taking Opium on the homeward journey was a great way of reducing their overheads. When the Portuguese and the Dutch East India Company started trying to get 'in' on East Asian

trade in the 16th century, they too began carrying Opium and this practice was later adopted by the British East India Company when it in turn finally gained the resources and political leeway to operate in this lucrative market.

However, the Qing had very much defined themselves (culturally) as an Empire of [Sour Prudes](#) who condemned the pleasure-loving and intellectual ways of the Ming. This took a turn for the extra-prudish when the use of Opium actually became a problem in society rivalling that of alcoholism. Accordingly, in the late 1830s the governor of Guangzhou county (run from Guangzhou city) attempted to curb its use as part of a wider program of sobering up his constituency. In doing so he made two mistakes: targeting foreign merchants, and refusing to compensate them for their losses. Given just how close [the British East India Company's](#) ties with the British government were, this was a mistake; even so the vote was close, with the resolution to declare war upon the Qing passing by less than 30 votes in a chamber (the House of Commons) with more than 600 representatives.

The Qing lost two naval wars (1839-42, 1860-62) sparked by trying to ban or heavily tax imported goods including opium due to their woefully obsolescent military. As a consequence the Qing were forced to accept European control of a few dozen fishing villages and small towns on the major rivers and coasts, and that Europeans in China would be tried according to the laws of their home country. The latter measure was insisted upon partly because of cultural [Values Dissonance](#) including variable toleration of Christianity and Christian practices, but also because laws varied so incredibly widely between Qing districts and even counties; in the most extreme examples what was illegal upon pain of death in one village (e.g. alcohol, opium) could be perfectly legal in a village just ten miles away. The Qing were also forbidden from passing or enforcing pre-Ming-style sumptuary laws banning the consumption of any goods, and were asked to pay the debts the Europeans had run up fighting the wars. This would not have been a problem for a state which was willing and able to tax its people on anything

more than a token level, but the burden of reparations constituted a pretty heavy millstone around the Qing's all-too-slender neck. There was insurmountable resistance at the local level against any moves towards greater taxation or centralisation of the bureaucracy. This forced the Qing to borrow money to pay the reparations... from European banks, which (because of the high rates at which Europeans had invested their savings in and generally trusted them, this being another development precipitated by Europe's endless series of wars) could offer much lower interest rates than Qing banks.

Around the middle of the 19th century, the [Taiping Rebellion](#) broke out in southern China, led by a decidedly unorthodox Christian convert claiming to be the brother of Christ named Hong Xiuquan. It lasted fourteen years, created a fair-sized state centered on Nanjing, caused the death of about 20-30 million people, and was finally put down with foreign aid. With its regular armies (based on the Banner system) in a state of near total disarray, the Chinese government (especially enterprising local officials) formed militias from local populations, armed them with foreign guns, and hired foreign instructors to train them. Numerous foreign "mercenaries" (in many cases, regular officers offered by foreign nations who decided that the survival of Qing government was preferable to chaos) were hired to lead Chinese armies, both of the national government and locally organized militias. The conflict was one of the largest civil wars of all time, dwarfing^{note} even [the one going on across the Pacific](#) (coincidentally, named the *Taiping Yang*, or Peaceful Ocean in Mandarin^{note}).

At the same time, the [Nien Rebellion](#) up north put additional pressure on the Qing regime and even threatened the capital. The two rebel leaders failed to cooperate, leading to their eventual defeat.

The Qing government attempted a program of reform to make China more Western and hopefully save it from further humiliation. [It failed](#), partly because the reformers [actively squabbled with each other instead of the foreigners](#), partly because

even the reformers thought all China needed was a better military and [the rest could stay the same](#), partly because the Empress [was rumored to have taken the program's funds to build herself a boat made out of marble](#) (and the Summer Palace in Beijing, now a UNESCO World Heritage Site), and finally because Chinese armies and fleets equipped with modern weapons but not properly trained in their use were soundly thrashed by the upstart Japanese who had modernized more thoroughly in the [First Sino-Japanese War](#).

That Empress' name was Cixi (pronounced 'Tsih-shee'), and if there was ever a real life [Dragon Lady](#), Cixi was it. Originally a concubine to the late emperor Xianfeng, [Cixi stayed in power as regent for 48 years](#), originally [in non-romantic union with fellow empress C'ian](#). This regency covered the 'rule' of multiple emperors. One was her son, who resisted her iron grasp by [refusing to study](#), sneaking out to brothels, and finally dying of smallpox without having had the courtesy to sire a son. Lacking a traditional heir, the two empresses named Cixi's young nephew^{note} as the new Emperor. While all this was distracting everyone, however, modernisation was definitely not happening.

Finally the new Guangxu Emperor reached his majority and started trying to get things moving on his own. With the assistance of a man named Kang Youwei, they came up with a plan to massively shake up the social structure of China. This is known as the Hundred Days Reform. However, a lot of people currently in power didn't particularly appreciate having their jobs cut out from under them. Also, there was a plot underfoot to trick the Emperor into [signing away control of China to Japan](#). Kang Youwei, hoping to get more people on his side, appointed a man named [Yuan Shikai](#) as leader of his forces. Yuan Shikai proceeded to tell Cixi exactly what was going on. Kang Youwei [ran to Hong Kong](#) to escape Cixi, and Guangxu abdicated and was put under house arrest for the remainder of his (and her) life – when she apparently had him *poisoned* as she was dying to ensure he wouldn't outlive her. *Harsh, Cixi. Harsh.*

Second, the lower classes of China were very annoyed at the Western incursions, and one group of peasants got it into their

heads that it was their destiny to save China by getting rid of all the Westerners. They also believed that they were [immune to bullets](#). Despite [this](#), this group, known fully as the Harmonious Society of Righteous Fists but more commonly as the 'Boxers', travelled across China attacking the foreign powers until they reached Beijing. There they besieged foreign buildings (primarily the embassies), opposed by the foreign-power armies called the League of 8. Cixi supported the Boxers; she even demanded that the Chinese armies come to Beijing to help them fight the foreigners. By this point, the armies were all 'suuure, right' and did virtually nothing to help out.

In 1901, the Boxer Protocol was signed, and Cixi finally started an actual reform program. Unfortunately, while the reforms were in more sweeping than the failed Hundred Days Reform had been, they still weren't enough to make much visible difference.

Thirdly, a man named Sun Yixian ([you may know him as Sun Yat-sen](#) or [Sun Zhongshan](#)) realised that China was still way behind, and that Cixi was taking China down a highway to [Diyu](#), make no mistake. He summarily started to support revolutionary ideas to turn China into a parliamentary democracy. Many of these ideas grew in popularity, particularly amongst China's armies.

To make a now extremely long summary short, Cixi's program failed and Sun Yixian's revolution got underway just as the Qing were setting up a provisional parliament. The rebels were powerful; in the intervening years China's armies had been filled with Sun Yixian's ideas. Whatever the army wanted was going to stick, and the Qing knew it. Realising that Yuan Shikai had the support of at least some of the army, Prince Chun,^{note} father of the last emperor of China, asked him to lead the fight against the rebels. Yuan Shikai happily did so, [on the proviso](#) that he got to be the undisputed leader of the armed forces. Yuan then went to negotiations with the rebels and was persuaded to support the newly formed republic...so long as he got to be the undisputed leader of the country.

[Yuan Shikai](#): 1, China: 0.

This is the dynasty most often seen in Chinese dramas and kung-

fu movies, perhaps because documentation from the time is more readily available, particularly of small details a historian of earlier dynasties might omit, and there is photographic evidence of everything from clothing to buildings. The queue hairstyle (forehead shaved, with a long braided pigtail at the back) associated with the period was imposed by imperial edict at the beginning of the dynasty on pain of death, partly as a measure to mark the submission of the Han population. The fact that late in the dynasty people were cutting their queues off showed how ineffectual the Qing became.

It's worth mentioning though that while the decline of the Qing was quite spectacular, for 200 years they were pretty much the dominant power in Asia, and one of the most powerful nations in the world. Most of China's modern borders are based on the conquests under the Qing (including [Tibet](#)), and especially in its early period the Qing dynasty was characterized by expansion, discovery and reform. The Qing, it seems, will [Never Live It Down](#).

More revisionist historians such as William T. Rowe do not see the Qing in such a negative light anymore though; Chinese nationalist historiography (and that includes the Communists') has often painted things in the darkest colours, but such views are have become less useful with the benefit of hindsight and more research. In other words, even in the later years the Qing were not actually doing that badly. With the intention of avoiding [natter](#), the above account leaves out the ongoing economic and ecological problems which were of a completely internal nature, which were also crucial factors in the fall of that dynasty.

44. Qing Dynasty: Kangxi

Emperor **Kangxi of China**, also known as K'ang-hsi, May 4, 1654 – December 20, 1722) was the fourth Emperor of China of the Manchu [Qing Dynasty](#) (also known as the Ching), and the second Qing emperor to rule over all of China, from 1661 to 1722. He is known as one of the greatest Chinese emperors in history. His reign of 61 years makes him the longest-reigning Emperor of China in history, though it should be noted that having ascended the throne aged eight, he did not exercise much, if any, control over the empire until later, that role being fulfilled by his four guardians and his grandmother the Dowager Empress Xiao Zhuang. The Qing emperors set themselves the same task that all Emperors of China do, that is, to unify the nation and to win the hearts of the Chinese people. Although non-ethnic Chinese, they quickly adopted the habits and customs of China's imperial tradition. Open to Western technology, Emperor Kangxi, (or K'ang-hsi) discoursed with [Jesuit](#) missionaries and he also learned to play the [piano](#) from them. However, when the [Roman Catholic](#) Pope Clement XI refused the Jesuit attempt to Christianize Chinese cultural practice, Kangxi banned Catholic missionary activity in China in what became known as the [Chinese Rites Controversy](#).

What would eventually weaken and destroy the Qing Dynasty, the last imperial dynasty in China, was increasing distrust of Westerners and an inability to deal with them. Unfortunately, K'ang-hsi's successors did not have the same respect for Westerners, falling back on the concept that all non Chinese are [barbarians](#). He consolidated China's territory including settling border disputes with Russia, negotiating with them as well as engaging in armed conflict. His invasion of [Tibet](#) was justified on the grounds that Tibet was part of China, which others dispute. However, the Qing's never ruled Tibet directly but appointed an Amban (Chinese representative) or "liaison officer" to advise the

Tibetan authorities.

The Beginning of the Reign

Technically, the Kangxi Emperor inherited his father [Shunzhi](#)'s throne at the age of eight. His father died in his early 20s, and as Kangxi was not able to rule in his minority, the Shunzhi Emperor appointed Sonin, Suksaha, Ebilun, and Oboi as the Four [Regents](#). Sonin died soon after his granddaughter was made the Empress, leaving Suksaha at odds with Oboi politically. In a fierce power struggle, Oboi had Suksaha put to death, and seized absolute power as sole Regent. For a while Kangxi and the Court accepted this arrangement. In 1669, the Emperor arrested Oboi with help from the Xiao Zhuang Grand Dowager Empress and began to take control of the country himself.

In the spring of 1662, Kangxi ordered the *Great Clearance* in southern China, in order to fight the anti-Qing movement, begun by [Ming Dynasty](#) loyalists under the leadership of Zheng Chenggong (also known as [Koxinga](#)), to regain [Beijing](#). This involved moving the entire population of the coastal regions of southern China inland.

He listed three major issues of concern, being the flood control of the [Yellow River](#), the repairing of the Grand Canal and the Revolt of the Three Feudatories in South China. The Revolt of the Three Feudatories broke out in 1673 and Burni of the Chakhar [Mongols](#) also started a rebellion in 1675.

The Revolt of the Three Feudatories presented a major challenge. [Wu Sangui](#)'s forces had overrun most of southern China and he tried to ally himself with local generals. A prominent general of this kind was Wang Fuchen. Kangxi, however, united his court in support of the war effort and employed capable generals such as Zhou Pei Gong and Tu Hai to crush the rebellion. He also extended commendable clemency to the common people who had been caught up in the fighting. Though Kangxi himself personally wanted

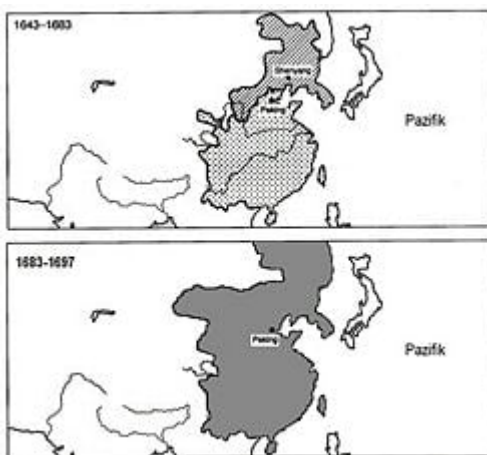
to lead the battles against the three Feudatories, but he was advised not to by his advisers. Kangxi would later lead the battle against the Mongol Dzungars.

Kangxi crushed the rebellious Mongols within two months and incorporated the Chakhar into the Eight Banners. After the surrender of the Zheng family, the Qing Dynasty annexed Taiwan in 1684. Soon afterwards, the coastal regions were ordered to be repopulated, and to encourage settlers, the Qing government gave a pecuniary incentive to each settling family.

In a diplomatic success, the Kangxi government helped mediate a truce in the long-running Trinh-Nguyen War in the year 1673. The war in [Vietnam](#) between these two powerful clans had been going on for 45 years with nothing to show for it. The peace treaty that was signed lasted for 101 years (SarDesai, 1988, 38).

Russia and the Mongols

At the same time, the Emperor was faced with the Russian advance from the north. The [Qing Dynasty](#) and the Russian Empire fought along the Sahaliyan ula (Amur, or [Heilongjiang](#)) Valley region in 1650s, which ended with a Qing victory. The Russians invaded the northern frontier again in 1680s. After series of battles and negotiations, the two empires signed the Treaty of Nerchinsk in 1689 giving China the Amur valley and fixing a border.



Kangxi's conquests until 1697

At this time the Khalkha Mongols preserved their independence and only paid tribute to the Manchu Empire. A conflict between the Houses of Jasaghtu Khan and Tösheetü Khan led another dispute between the Khalkha and the [Dzungar](#) Mongols over influence over [Tibetan Buddhism](#). In 1688 Galdan, the Dzungar chief, invaded and occupied the Khalkha homeland. The Khalkha royal families and the first Jebtsundamba Khutughtu crossed the [Gobi Desert](#), sought help from the Qing Dynasty and, as a result, submitted to the Qing. In 1690, the Zungar and the Manchu Empire clashed at the battle of Ulaan Butun in [Inner Mongolia](#), during which the Qing army was severely mauled by Galdan. In 1696, the Kangxi Emperor himself as commander in chief led 3 armies with a total of 80,000 in the campaign against the Dzungars. The notable second in command general behind Kangxi was Fei Yang Gu who was personally recommended by Zhou Pei Gong. The Western section of the Qing army crushed Galdan's army at the Battle of Dsuunmod and Galdan died in the next year. The Dzungars continued to threaten China and invaded [Tibet](#) in 1717. They took Lhasa with an army 6,000 strong in response to the deposition of the [Dalai Lama](#) and his

replacement with Lha-bzan Khan in 1706. They removed Lha-bzan from power and held the city for two years, destroying a Chinese army in 1718. Lhasa was not retaken until 1720. Overall speaking, the 8 Banner Army was already in decline. The 8 Banner Army was at this time was inferior to the Qing army at its peak during Huang Taji and early Shunzhi's reign; however, it was still superior to the later Yongzheng period and even more so than the Qianlong period. In addition, the Green Standard Army was still powerful. Notable generals are Tu Hai, Fei Yang Gu, Zhang Yong, Zhou Pei Gong, Shi Lang, Mu Zhan, Shun Shi Ke, Wang Jing Bao. These generals were noticeably stronger than the Qianlong period's generals.

All these campaigns would take a great toll on the treasury. At Kangxi's peak, in the 1680s-1700s, the country had somewhat over 50,000,000 taels. By the end of Kangxi's reign in 1722, the treasury had only 8,000,000 taels left. Reasons for this great decline:

1. The wars has been taking great amounts of money from the treasury.

2. The borders defense against the Dzungars plus the later civil war in particular in [Tibet](#) increased toll a lot on the treasury-driving it to less than 10 million taels.

3. Due to Kangxi's old age and torn body, Kangxi had no more energy left to handle the corrupt officials directly like he was able to when he was younger. Though Kangxi tried to use kindness to cure the corrupt officials, the corrupt officials were quite noticeable in Kangxi's final years. Due to the corruptness, the treasury again took a loss. To try and cure this treasury problem, Kangxi advised Yong Prince (the future Yongzheng emperor) some plans and tactics to use make the economy more efficient; however, Kangxi in his life time would not have enough energy or time to make the reforms himself; therefore, leaving job to Yongzheng. The other problem that worried Kangxi when he died was the civil war in Tibet; however, that problem life like the treasury problem would be solved during Yongzheng's reign.

Cultural Achievements

The Kangxi Emperor ordered the compiling of the most complete dictionary of [Chinese characters](#) ever put together, The Kangxi Dictionary. He also invented a very useful and effective Chinese calendar.

Kangxi also was fond of western technology and tried to bring Western technology to China. This was helped through [Jesuit](#) missionaries whom he summoned almost everyday to the Forbidden City. From 1711 to 1723 the Jesuit Matteo Ripa, from the kingdom of Naples, worked as a painter and copper-engraver at the Manchu court. In 1732 Matteo Ripa returned to Naples from China with four young Chinese Christians, all teachers of their native language and formed the “Chinese Institute,” sanctioned by Pope Clement XII to teach Chinese to missionaries and thus advance the propagation of Christianity in China. The “Chinese Institute” turns out to be the first Sinology School of the European Continent and the first nucleus of what would become today’s “Università degli studi di Napoli L’Orientale” (Naples Eastern University).

Kangxi was also the first Chinese Emperor to have played a western instrument, the piano. In many ways this was an attempt to win over the Chinese gentry. Many scholars still refused to serve a foreign conquest dynasty and remained loyal to the [Ming Dynasty](#). Kangxi persuaded many scholars to work on the dictionary without asking them to formally serve the Qing. In effect they found themselves gradually taking on more and more responsibilities until they were normal officials.

Twice Removing the Crown Prince

The Kangxi Emperor at young age

One of the greatest mysteries of the [Qing Dynasty](#) was the event of Kangxi's will, which along with three other events, are known as the "Four greatest mysteries of the Qing Dynasty." To this day, whom Kangxi chose as his successor is still a topic of debate amongst historians, even though, supposedly, he chose Yongzheng, the 4th Prince. Many claimed that Yongzheng faked the will, and some suggest the will had chosen Yinti, the 14th Prince, who was apparently the favorite, as successor.

Kangxi's first Empress gave birth to his second surviving son Yinreng, who was at age two named Crown Prince of the Great Qing Empire, which at the time, being a [Han Chinese](#) custom, ensured stability during a time of chaos in the south. Although Kangxi let several of his sons to be educated by others, he personally brought up Yinreng, intending to make him the perfect heir. Yinreng was tutored by the esteemed mandarin Wang Shan, who was deeply devoted to the prince, and who was to spend the latter years of his life trying to revive Yinreng's position at court. Through the long years of Kangxi's reign, however, factions and rivalries formed. Those who favored Yinreng, the 4th Imperial Prince Yinzhen, and the 13th Imperial Prince Yinxiang had managed to keep them in contention for the throne. Even though Kangxi favoured Yinreng and had always wanted the best out of him, Yinreng did not prove co-operative. He was said to have very cruel habits, beaten and killed his subordinates, alleged to have had sexual relations with one of Kangxi's concubines, which was defined as incest and a capital offense, and purchased young children from the [Jiangsu](#) region for his pleasure. Furthermore, Yinreng's supporters, led by Songgotu, had gradually developed a "Crown Prince Party." The faction, among other objectives, wished to elevate Yinreng to the Throne as soon as possible, even if it meant using unlawful methods.

Over the years the aging Emperor had kept constant watch over Yinreng, and he was made aware of many of his flaws. The relationship between father and son gradually worsened. Many

thought that Yinreng would permanently damage the Qing Empire if he were to succeed the throne. But Kangxi himself also knew that a huge battle at court would ensue if he was to abolish the Crown Prince position entirely. Forty-six years into Kangxi's reign (1707), Kangxi decided that "after twenty years, he could take no more of Yinreng's actions, which he partly described in the Imperial Edict as "too embarrassing to be spoken of," and decided to demote Yinreng from his position as Crown Prince.

With Yinreng rid of and the position empty, discussion began regarding the choice of a new Crown Prince. Yinzhi, Kangxi's eldest surviving son, the Da-a-go, was placed to watch Yinreng in his newly found house arrest, and assumed that because his father placed this trust in himself, he would soon be made heir. The 1st Prince had at many times attempted to sabotage Yinreng, even employing witchcraft. He went as far as asking Kangxi for permission to execute Yinreng, thus enraging Kangxi, which effectively erased all his chances in succession, as well as his current titles. In Court, the Eighth Imperial Prince, Yinsi, seemed to have the most support among officials, as well as the Imperial Family.

In diplomatic language, Kangxi advised that the officials and nobles at court to stop the debates regarding the position of Crown Prince. But despite these attempts to quiet rumours and speculation as to who the new Crown Prince might be, the court's daily businesses were strongly disrupted. Furthermore, the 1st Prince's actions led Kangxi to think that it may have been external forces that caused Yinreng's disgrace. In the Third Month of the forty-eighth Year of Kangxi's reign (1709), with the support of the 4th and 13th Imperial Princes, Kangxi re-established Yinreng as Crown Prince to avoid further debate, rumours and disruption at the imperial court. Kangxi had explained Yinreng's former wrongs as a result of mental illness, and he had had the time to recover, and think reasonably again.

In 1712, during Kangxi's last visit south to the [Yangtze](#) region, Yinreng and his faction yet again vied for supreme power. Yinreng ruled as [regent](#) during daily court business in [Beijing](#). He had

decided, with bad influence from many of his supporters, to allow an attempt at forcing Kangxi to abdicate when the Emperor returned to Beijing. Through several credible sources, Kangxi had received the news, and with power in hand, using strategic military maneuvering, he saved the Empire from a coup d'état. When Kangxi returned to Beijing in December 1712, he was enraged, and removed the Crown Prince once more. Yinreng was sent to court to be tried and placed under house arrest.

Kangxi had made it clear that he would not grant the position of Crown Prince to any of his sons for the remainder of his reign, and that he would place his Imperial Valedictory Will inside a box inside Qianqing Palace, only to be opened after his death, and thus no one knew Kangxi's real intentions. What was on his will is subject to intense historical debate.

Disputed Succession

Following the abolition, Kangxi made several sweeping changes in the political landscape. The 13th Imperial Prince, Yinxiang, was placed under house arrest for “cooperating” with the former Crown Prince. Yinsi, too, was stripped of all imperial titles, only to have them restored years later. The 14th Imperial Prince Yinti, whom many considered to have the best chance in succession, was named “Border Pacification General-in-chief” quelling rebels and was away from Beijing when the political debates raged on. Yinsi, along with the 9th and 10th Princes, had all pledged their support for Yinti. Yinzhen was not widely believed to be a formidable competitor.

Official documents recorded that during the evening hours of December 20, 1722, Kangxi assembled seven of the non-disgraced Imperial Princes in Beijing at the time, being the 3rd, 4th, 8th, 9th, 10th, 16th, 17th Princes to his bedside. After his death, Longkodo announced Kangxi's will of passing the throne to the 4th Prince Yinzhen. Yinti happened to be in [Xinjiang](#) fighting a war, and was

summoned to Beijing. He did not arrive until days after Kangxi's death. In the meantime Yinzhen had declared that Kangxi had named him as heir. The dispute over his succession revolves around whether or not Kangxi intended his 4th or 14th son to accede to the throne. (See: Yongzheng) He was entombed at the Eastern Tombs in Zunhua County, [Hebei](#).

Family

- Father: Shunzhi Emperor of China (3rd son)
- Mother: Concubine from the Tongiya clan (1640–1663). Her family was of [Jurchen](#) origin but lived among Chinese for generations. It had Chinese family name Tong (佟) but switched to the Manchu clan name Tongiya. She was made the Ci He Dowager Empress (慈和皇太后) in 1661 when Kangxi became emperor. She is known posthumously as Empress Xiao Kang Zhang (Chinese: 孝康章皇后; Manchu: Hiyoošungga Nesuken Eldembuhe Hūwanghu).
- Consorts:
 1. Empress Xiao Cheng Ren (died 1674) from the Heseri clan—married in 1665
 2. Empress Xiao Zhao Ren (Manchu: Hiyoošungga Genggiiyen Gosin Hūwanghu)
 3. Empress Xiao Yi Ren (Manchu: Hiyoošungga Fujurangga Gosin Hūwanghu)
 4. Empress Xiao Gong Ren; Manchu: Hiyoošungga Gungnecuke Gosin Hūwanghu) from the Uya clan
 5. Imperial Noble Consort Jing Min (?–1699) from the Zhanggiya clan.
 6. Imperial Noble Consort Yi Hui (1668–1743) from the Tunggiya clan.

7. Imperial Noble Consort Dun Chi (1683–1768) from the Guargiya clan.
8. Noble Consort Wen Xi (?–1695) from the Niuheru clan.
9. Consort Rong (?–1727) from the Magiya clan.
10. Consort I (?–1733) from the Gobulo clan.
11. Consort Hui (?–1732) from the Nala clan.
12. Consort Shun Yi Mi (1668–1744) from the Wang clan was Han chinese from origin.
13. Consort Chun Yu Qin (?–1754) from the Chen clan.
14. Consort Liang (?–1711) from the Wei clan.

- Children: Many of his children died in infancy. Among those who survived are:

1. Yinreng 1674–1725), second son. Initially Heir Apparent and later degraded. Only surviving son of Empress Xiao Cheng
2. Yinzhi, third son. Son of consort Rong.
3. Yinzhen, later [Yongzheng Emperor](#) (1678–1735), fourth son. Son of Empress Xiaogong Ren
4. Yinzhao 1680–1685). Son of Empress Xiaogong Ren
5. Yinsi, the Prince Lian (1681, eighth son. Son of [concubine](#) Liang Fei of the Wei family
6. A son of consort I of the Gobulo clan.
7. Son of consort I of the Gobulo clan.
8. a son of consort Ting.
9. Yinxiang , Prince Yi (1686–1730), son of Min-Fei
10. Yinti Prince Xun (1688–1767), son of Empress Xiaogong Ren

45. Qing Dynasty: Yongzheng

The **Yongzheng Emperor** (雍正 born **Yinzhen** 胤禛) (December 13, 1678 – October 8, 1735) was the fourth emperor of the Manchu [Qing Dynasty](#), and the third Qing emperor to rule over China, from 1722 to 1735. Historical information about the Yonzheng Emperor includes extensive debates about his ascension to the throne. His father, the [Kangxi Emperor](#) left fourteen sons and no designated heir; many accounts suggest Yongzheng usurped the throne from his younger brother Yinti, and portray him as a despot.

Though he is less well-known than the Kangxi Emperor and his son, the [Qianlong Emperor](#)(乾隆), the Yongzheng Emperor's thirteen-year rule was efficient and vigorous. During his reign, the Qing administration was centralized and reforms were instituted which ensured the Kangqian Period of Harmony, a period of continued development in China. He disliked corruption and punished officials severely when they were found guilty of the offense. Yongzheng reformed the fiscal administration and strengthened the authority of the throne by uniting the leadership of the [Eight Banners](#) (elite Manchu military divisions) under the emperor. The Qing government encouraged settlement in the southwest, appointed Han Chinese officials to important posts, and used military force to secure China's borders.

Background

The early Qing (Ch'ing) dynasty

The Manchu Qing (Ch'ing) came to power after defeating the Chinese [Ming dynasty](#) and taking Beijing in 1644. During the late

seventeenth and early eighteenth centuries, the Qing enacted policies to win the adherence of the Chinese officials and scholars. The civil service examination system and the [Confucian](#) curriculum were reinstated. Qing (Ch'ing) emperors learned Chinese, and addressed their subjects using Confucian rhetoric, as their predecessors had. They also continued the Ming practice of adopting era names for the rule of each emperor. Initially, important government positions were filled by Manchu and members of the [Eight Banners](#), but gradually large numbers of Han Chinese officials were given power and authority within the Manchu administration.

The first Qing emperor, [Shunzhi Emperor](#) (Fu-lin ,reign name, Shun-chih), was put on the throne at the age of five and controlled by his uncle and regent, Dorgon, until Dorgon died in 1650. During the reign of his successor, the [Kangxi Emperor](#) (K'ang-hsi emperor; reigned 1661–1722), the last phase of the military conquest of China was completed, and the Inner Asian borders were strengthened against the Mongols.

The Prince Yong



Yongzheng Emperor in Costumes



Yongzheng Emperor in Costumes



Yongzheng Emperor in Costumes



Yongzheng Emperor in Costumes



Yongzheng Emperor in Costumes



Yongzheng Emperor in Costumes



An 18th century [Chinese painting](#) of the **Yongzheng Emperor** wearing a European wig and dress, spearing a [tiger](#) with a trident.

The Yongzhen Emperor was the fourth son of the Kangxi Emperor to survive into adulthood, and the eldest son by Empress Xiaogong

(孝恭皇后), a lady of the Manchu Uya clan who was then known as “De-fei.” Kangxi knew it would be a mistake to raise his children in isolation in the palace, and therefore exposed his sons, including Yinzhen, to the outside world, and arranged a strict system of education for them. Yongzheng went with Kangxi on several inspection trips around the Beijing area, as well as one trip further south. He was the honorary leader of the Plain Red Banner during Kangxi’s second battle against Mongol Khan Gordhun. Yinzhen was made a *beile* (貝勒, “lord”) in 1698, and then successively raised to the position of second-class prince in 1689.

In 1704, there was unprecedented flooding of the [Yangtze](#) and [Yellow Rivers](#), severely damaging the economy and robbing the people in these areas of their livelihood. Yongzheng was sent out as an envoy of the Emperor with the 13th Imperial Prince Yinxiang (the Prince Yi 怡親王胤祥) to organize relief efforts in southern China. The Imperial Treasury, having been drained by unpaid loans to many officials and nobles, did not have sufficient funds to deal with the flooding; Yongzheng had the added responsibility of securing relief funds from the wealthy southern tycoons. These efforts ensured that funds were distributed properly and people would not starve. He was given the peerage title of a first-class Prince, the *Prince Yong* (雍親王) in 1709.

Disputed Succession to the Throne

In 1712 the [Kangxi Emperor](#) removed the second of his twenty surviving sons, Yinreng (胤礽), the heir apparent to the imperial throne of China, as his successor, and did not designate another one. This led to further fragmentation in the court, which had long been divided among supporters of Yinzhi (Aisin-Gioro 胤祉) , Yinzhen, Yinsi (the Prince Lian 廉亲王胤禩), and Yinti (the Prince Xun 恂郡王胤禴), the 3rd, 4th, 8th, and 14th Imperial Princes, respectively. Of the princes, Yinsi had the most support from the

mandarins, though often for reasons of personal gain. Prior to this, Yinzhen had been a supporter of the Crown prince. By the time the old Emperor died in December 1722, the field of contenders had narrowed to three Princes, Yinzhi, Yinti, and Yinzhen; Yinsi had pledged his support to the 14th prince Yinti, his brother by the same mother.

At the time of the Kangxi Emperor's death, Yinti, as Border Pacification General-in-Chief (撫遠大將軍), was away at the war front in the northwest. Some historians say this had been arranged in order to train the next Emperor in military affairs; others maintain that it was to ensure a peaceful succession for Yinzhen. It was Yongzheng who had nominated Yinti for the post, and not Yinti's supporter Yinsi. The posting of Yinti at the frontier was regarded as an indication of Kangxi's choice of successor, since the position of Crown Prince had been vacant for seven years.

The official record states that on December 20, 1722, the ailing Kangxi Emperor called to his bedside seven of his sons and the General Commandant of the Peking Gendarmerie, Longkodo (隆科多), an eminent Chinese official at court, who read out the will declaring that Yinzhen should succeed him on the imperial throne. Some evidence suggests that Yinzhen had already made contact with Longkodo months before the will was read, in order to make preparations for succession by military means, though in their official capacities the two would have encountered each other frequently. According to folklore, Yongzheng changed Kangxi's will by adding strokes and modifying characters. The most famous story was that Yongzheng changed "fourteen" (十四) to "four" (于四), others say it was "fourteen" to "fourth" (第四). Yinti was the fourteenth son and Yinxzheng the fourth son of the Kangxi emperor. Though this folklore has been widely circulated, there is little evidence to support the theory. The character "于" was not widely used during the Qing Dynasty; on official documents, "於" was used. According to Qing tradition, the will would have been written in both Manchu and Chinese, and Manchu writing would have been impossible to modify. Furthermore, princes in the Qing Dynasty

were referred to as the Emperor's son, in the order in which they were born (such as "The Emperor's Fourth Son" Chinese: 皇四子). Therefore, the theory that Yinzhen changed the will in order to ascend to the throne has little substance.

Another theory suggests that Yinzhen forged a new will. The Manchu version has been lost, and the existing will in Chinese that is preserved in the Chinese Historical Museum was only issued two days after Kangxi's death.

According to Confucian ideals, the manner in which a ruler ascended the throne was important to the legitimacy of his rule, and it is possible that Yongzheng's political enemies deliberately tried to discredit him by spreading rumors that he usurped the throne.

Yongzheng's first official act as Emperor was to release his long-time ally, the 13th prince, Yinxiang (Prince Yi; 怡親王胤祥), who had been imprisoned by the Kangxi Emperor at the same time as the Crown Prince. Some sources indicate that Yinxiang, the most military of the princes, then assembled a special task force of Beijing soldiers from the Fengtai command to seize immediate control of the [Forbidden City](#) and surrounding areas, and prevent any usurpation by Yinsi's allies. Yongzheng's personal account stated that Yinsi was emotionally unstable and deeply saddened over his father's death, and knew it would be a burden "much too heavy" for himself if he were to succeed the throne. In addition, after the will was read, Yinzhen wrote that the officials (Premier Zhang Tingyu and Longkedo, Yinzhi (胤禔, the eldest son), and Prince Cheng led the other Princes in the ceremonial "Three-Kneels and Nine-Salutes" to the Emperor. On the next day, Yongzheng issued an edict summoning Yinti, who was his brother from the same mother, back from [Qinghai](#), and bestowing upon their mother the title of Holy Mother Empress Dowager on the day Yinti arrived at the funeral.

Reign over China



The Yongzheng Emperor in Costume.

In December 1722, after succeeding to the throne, Yinzhen took the era name of **Yongzheng** (雍正, era of Harmonious Justice), effective 1723, from his peerage title *Yong*, meaning “harmonious;” and *zheng*, a term for “just” or “correct.” Immediately after succeeding the throne, Yongzheng chose his new governing council. It consisted of the 8th prince Yinsi (廉亲王胤禩); the 13th prince Yinxiang (怡親王胤祥); Zhang Tingyu (张廷玉), was a Han Chinese politician; Ma Qi; and Longkodo (隆科多). Yinsi was given the title of Prince Lian, and Yinxiang was given the title of Prince Yi, both holding the highest positions in the government.

Continued battle against the princes

Since the nature of his succession to the throne was unclear and clouded by suspicion, Yongzheng regarded all his surviving brothers

as a threat. Two had been imprisoned by Kangxi himself; Yinzhi, the eldest, continued under house arrest, and Yinreng, the former Crown Prince, died two years into Yongzheng's reign. Yongzheng's greatest challenge was to separate Yinsi's party (consisting of Yinsi and the 9th and 10th princes, and their minions), and isolate Yinti to undermine their power. Yinsi, who nominally held the position of President of the Feudatory Affairs Office, the title *Prince Lian*, and later the office of Prime Minister, was kept under close watch by Yongzheng. Under the pretext of a military command, Yintang was sent to [Qinghai](#), the territory of Yongzheng's trusted protégé Nian Gengyao. Yin'e, the 10th Prince, was stripped of all his titles in May 1724, and sent north to the Shunyi area. The 14th Prince Yinti, his brother born from the same mother, was placed under house arrest at the Imperial Tombs, under the pretext of watching over their parents' tombs.

Partisan politics increased during the first few years of Yongzheng's reign. Yinsi attempted to use his position to manipulate Yongzheng into making wrong decisions, while appearing to support him. Yinsi and Yintang, both of whom supported Yinti's claim to the throne, were also stripped of their titles, languished in prison and died in 1727.

After he became Emperor, Yongzheng censored the historical records documenting his accession and also suppressed other writings he deemed inimical to his regime, particularly those with an anti-Manchu bias. Foremost among these writers was Zeng Jing, a failed degree candidate heavily influenced by the seventeenth-century scholar Lü Liuliang. In October 1728, he attempted to incite Yue Zhongqi, Governor General of Shaanxi-Sichuan, to rebellion by composing a long denunciation against Yongzheng, accusing him of the murder of the Kangxi Emperor and the killing of his brothers. Highly concerned about the implications of the case, Yongzheng had Zeng Jing brought to Beijing for trial.

Nian and Long



The Yongzheng Emperor in Costume.

Nian Gengyao (年羹尧, a Chinese military commander) was a supporter of Yongzheng long before he succeeded the throne. In 1722, when Yongzheng summoned his brother Yinti back from the northeast, he appointed Nian to fill the position. The situation in Xinjiang at the time was still precarious, and a strong general was needed in the area. After he succeeded in several military conquests, however, Nian Gengyao's desire for power increased, until he sought to make himself equal to Yongzheng himself. Yongzheng issued an Imperial Edict demoting Nian to general of the Hangzhou Commandery. When Nian's ambitions did not change, he given an ultimatum, after which he committed suicide by poison in 1726. Longkodo, who was commander of Beijing's armies at the time of Yongzheng's succession, fell into disgrace in 1728, and died under house arrest.

Precedents and reforms

Yongzheng is recognized for establishing strict autocratic rule and carrying out administrative reforms during his reign. He disliked corruption and punished officials severely when they were found guilty of the offense. In 1729, he issued an edict prohibiting the smoking of madak, a blend of [tobacco](#) and opium. He also reformed the fiscal administration, greatly improving the state of the Qing treasury. During Yongzheng's reign, the Manchu Empire became a great power and a peaceful country, and ensuring the Kangqian Period of Harmony (康乾盛世), a period of continued development for China. In response to the tragedy surrounding his father's death, he created a sophisticated procedure for selecting his successor.

During the Yongzheng Emperor's reign, the government promoted Chinese settlement of the southwest and tried to integrate non-Han aboriginal groups into Chinese culture. Yongzheng placed his trust in Mandarin Chinese officials, giving Li Wei (李卫), a famous mandarin, and Tian Wenjing responsibility for governing China's southern areas. Ertai also served Yongzheng as a governor of the southern regions.

Yongzheng also strengthened the authority of the throne by removing the Princes as commanders of the [Eight Banners](#), the elite Manchu military divisions, and uniting all the Banners under himself, through the "Act of the Union of the Eight Princes" or "八王依正."

Military expansion in the northwest



The Yongzheng Emperor offering sacrifices at the alter of the god of agriculture, Shennong.

Like his father, Yongzheng used military force to preserve the Qing dynasty's position in Outer [Mongolia](#). When Tibet was torn by civil war during 1717-28, he intervened militarily, leaving behind a Qing resident backed up by a military garrison to pursue the dynasty's interests. For the Tibetan campaign, Yongzheng sent an army of 230,000 led by Nian GenYiao against the Dzungars, who had an army of 80,000. Though vastly superior in numbers, the Qing army was hampered by the geography of the terrain and had difficulty engaging the mobile enemy. Eventually, the Qing engaged and defeated the enemy. This campaign cost the treasury at least 8,000,000 taels. Later in Yongzheng's reign, he sent another small army of 10,000 to fight the Dzungars. The whole army was

annihilated, and the Qing Dynasty nearly lost control of the Mongolian area. However, a Qing ally, the Khalkha tribe, defeated the Dzungars.

After the reforms of 1729, the treasury had over 60,000,000 taels, surpassing the record set during the reign of Yongzhen's father, the Kangxi emperor. However, the pacification of the Qinghai area and the defense of the borders was a heavy burden. For the border defense alone, more than 100,000 taels were needed each year. The total cost of military operations added up to 10,000,000 taels annually. By the end of 1735, military spending had used up half of the treasury, and because of this heavy burden, the Yongzheng emperor considered making peace with the Dzungars.

Death

The Yongzheng Emperor had fourteen children, of which only five survived to adulthood. He died suddenly at the age of fifty-eight, in 1735, after only thirteen years on the throne. According to legends, he was actually assassinated by Lu Siniang, daughter of Lü Liuliang, whose entire family was believed to have been executed for literacy crimes against the Manchu Regime. Some historians believe that he might have died due to an overdose of a medication which he was consuming, believing that it would prolong his life. To prevent the problems of succession which he himself had faced thirteen years ago, he ordered his third son, Hongshi, who had been an ally of Yinsi, to commit suicide. Yongzhen was succeeded by his son, Hongli, the Prince Bao, who became the fifth emperor of the Qing dynasty under the era name of Qianlong.

He was interred in the Western Qing Tombs (清西陵), 120 kilometers (75 miles) southwest of [Beijing](#), in the Tailing (泰陵) mausoleum complex (known in Manchu as the Elhe Munggan).

The Yongzheng Emperor and art

The Yongzheng Emperor was a lover of art who did not follow traditional imperial practices. Unlike the [Kangxi Emperor](#), who had carefully guarded the treasures of the past and taken an interest in preserving and improving on traditional standards of craftsmanship, Yongzheng valued the artistic beauty and uniqueness of the items produced in the Palace Workshops. Traditionally, Chinese artifacts were produced anonymously, but documents from the reign of Yongzheng record the names of over one hundred individual craftsmen. Yongzheng knew his artisans by name and personally commented on their work, rewarding creations that he considered particularly outstanding.

In many of the paintings commissioned by Yongzheng, works of art were depicted in addition to the conventional books and scrolls. He requested that the Jesuit court painter Giuseppe Castiglione (1688–1766) paint “portraits” of his favorite porcelain vases, both ancient and modern. It was customary for an emperor to present himself in a particular light in the paintings called *xingle tu* (“pictures of pleasurable activities”) by choosing to have himself depicted engaged in specific activities and in particular settings. Yongzheng commissioned a series of fourteen “costume portraits” portraying him as a Confucian scholar with books, writing brush, or qin (a long zither); a Buddhist itinerant monk; a Tibetan lama meditating in a cave; a Daoist immortal with a gourd hanging from his staff; a recluse listening to the waves; a fisherman dreaming; two figures in possession of magic charms: a pearl for summoning a dragon (that is, rain), and a peach of immortality; and three foreigners: a Mongol nobleman, an archer perhaps of a nomadic tribe, and a European hunter wearing a wig.^[1]

Yongzheng and Catholicism

The Kangxi emperor had been unsuccessful in stopping the spread of [Catholicism](#) in China. After the Yongzhen emperor ascended the throne in 1722, an incident occurred in Fujian when the Catholic missionary there asked his followers to repair the church building. Members of the public protested and a judge, Fu Zhi, who personally visited the church to ban the reconstruction, was confronted by angry Catholics. As a result, in June of 1723, the Governor of Fujian ordered the Catholic missionary to be deported to Macao. The Governor reported the incident to Yongzheng, and requested that he instate a law deporting all missionaries from China. The law was passed in November of the same year, and most of the Catholic missionaries were forced to go to Macao. Their churches were torn down or converted to schools, warehouses, or town halls. In 1729, Yongzheng ordered the expulsion of any missionaries who had remained in hiding. Only twenty were allowed to remain in China, on the condition that they did not preach or proselytize.

Family

- Father: The [Kangxi Emperor](#) (of whom he was the 4th son)
- Mother: Concubine from the Manchu Uya clan (1660-1723), who was made the Ren Shou Dowager Empress (仁壽皇太后) when her son became Emperor, and is known posthumously as Empress Xiao Gong Ren (Chinese: 孝恭仁皇后; Manchu: Hiyoošungga Gungnecuke Gosin Hūwanghu)

Consorts

1. Empress Xiao Jing Xian (c. 1731) of the Ula Nara Clan (Chinese:

孝敬憲皇后; Manchu: Hiyoosungga Ginggun Temgetulehe Hūwanghu)

2. Empress Xiao Sheng Xian (1692-1777) of the Niohuru Clan (Chinese: 孝聖憲皇后; Manchu: Hiyoosungga Enduringge Temgetulehe Hūwanghu), mother of Hongli (Emperor Qianlong)
3. Imperial Noble Consort Dun Shu (年貴妃), sister of Nian Gengyao, bore three sons and a daughter, none of which survived
4. Imperial Noble Consort Chun Yi (懿貴妃) of Geng, mother of Hongzhou
5. Consort Ji (齊妃) of Li, mother of Hongshi
6. Consort Qian (謙妃) of the Liu clan, bore Yongzheng's youngest son
7. Imperial Concubine Mau of the Song clan, bore two daughters
8. Worthy Lady Wu

Sons

1. Honghui (弘暉), 端親王
2. Hongpan
3. Hongyun (弘昀), died young
4. Hongshi (弘時)
5. [Hongli](#) (弘曆) (Qianlong Emperor)
6. Hongzhou (弘晝), Prince He 和恭親王
7. Fuhe (福宜), died young
8. Fuhui (福惠), 懷親王
9. Fupei (福沛), died young
10. Hongzhan (弘瞻), 果恭郡王
11. (弘盼), died young

Daughters

- 4 daughters (1 survived)

Modern media

Although his name is seldom included in reference, Yongzheng was an inseparable part of the era known as the Kangqian Period of Harmony, where China saw continued development. China's CCTV-1 broadcast one of the best-rated television Series in Chinese history on Yongzheng in 1997, portraying him in a positive light and highlighting his tough stance on corruption, an important issue in contemporary China.

46. Qing Dynasty: Qianlong

The **Qianlong Emperor** (乾隆帝) (born **Hongli**, September 25, 1711 – February 7, 1799) was the fifth emperor of the Manchu [Qing Dynasty](#), and the fourth Qing emperor to rule over China. The fourth son of the [Yongzheng Emperor](#) (雍正帝), he reigned officially from October 18, 1735 to February 9, 1796, at which point he abdicated in favor of his son, the Jiaqing Emperor (嘉慶帝 the sixth emperor), in order to fulfill a filial pledge not to reign longer than his grandfather, the illustrious [Kangxi Emperor](#) (康熙帝, the second Qing emperor). Despite his retirement, he retained ultimate power until his death in 1799.

During the reign of the Qianlong Emperor, China attained its maximum territorial expanse; Xinjiang in the west was conquered, and [Myanmar](#) and Annam in the south were forced to recognize Chinese suzerainty. Commerce continued to thrive, handicraft industries prospered, and painting, printmaking, and porcelain manufacture flourished. Qianlong commissioned a catalog of all important works on Chinese culture, the *Siku quanshu* (四庫全書), containing about 3,450 complete works in 36,000 volumes; it was compiled partly to censor seditious references to the Manchus. The Qianlong Emperor is remembered for his rebuff of the British trade ambassador, [George Macartney](#), in 1793. Despite its successful military expansion, the later years of Qianlong's reign were characterized by corruption in the government, and the cost of military campaigns, building projects, travel and personal luxury left the national treasury depleted.

Background

Qing Manchu Dynasty

The Manchu Qing (Ch'ing) dynasty was first established in 1636 by the Manchus to designate their regime in [Manchuria](#) and came to power after defeating the Chinese [Ming dynasty](#) and taking Beijing in 1644. The first Qing emperor, [Shunzhi Emperor](#) (Fu-lin ,reign name, Shun-chih), was put on the throne at the age of five and controlled by his uncle and regent, Dorgon, until Dorgon died in 1650. During the reign of his successor, the [Kangxi Emperor](#) (K'ang-hsi emperor; reigned 1661–1722), the last phase of the military conquest of China was completed, and the Inner Asian borders were strengthened against the Mongols. In 1689 a treaty was concluded with Russia at Nerchinsk setting the northern extent of the Manchurian boundary at the Argun River. Over the next 40 years the Dzungar Mongols were defeated, and the empire was extended to include Outer [Mongolia](#), [Tibet](#), Dzungaria, Turkistan, and [Nepal](#).

During the late seventeenth and early eighteenth centuries, the Qing enacted policies to win the adherence of the Chinese officials and scholars. The civil service examination system and the Confucian curriculum were reinstated. Qing (Ch'ing) emperors learned Chinese, and addressed their subjects using Confucian rhetoric, as their predecessors had. More than half of the important government positions were filled by Manchu and members of the Eight Banners, but gradually large numbers of Han Chinese officials were given power and authority within the Manchu administration. Under the Qing, the Chinese empire trebled its size and the population grew from 150,000,000 to 450,000,000. Many of the non-Chinese minorities within the empire were Sinicized, and an integrated national economy was established.

Early Years

The Qianlong Emperor was born **Hongli**, September 25, 1711. Certain myths and legends claim that Hongli was actually a [Han](#) and not of Manchu descent, others say that he was half Manchu and half Han Chinese. It is apparent from historical records that Hongli was loved both by his grandfather, the [Kangxi Emperor](#) and his father, the [Yongzheng Emperor](#). Some historians argue that the Kangxi Emperor appointed Yongzheng as his successor to the throne because of Qianlong, who was his favorite grandson; he felt that Hongli's mannerisms and character were very similar to his own.

As a teenager, Hongli was skilled at martial arts, and possessed considerable literary ability. After his father's succession to the throne in 1722, Hongli became the **Prince Bao** (宝亲王/寶親王). Like many of his uncles, Hongli entered into a battle of succession with his older half-brother Hongshi, who had the support of a large faction of court officials, as well as with Yinsi, the Prince Lian. For many years the [Yongzheng Emperor](#) did not endorse the position of Crown Prince, but many speculated that he favored Hongli as his successor. Hongli was sent on inspection trips to the south, and was known to be an able negotiator and enforcer. Hongli was also chosen as chief [regent](#) on occasions when his father was away from the capital.

Ascension to the Throne

Even before Yongzheng's will was read to the assembled court, it was widely known that Hongli would be the new emperor. The young Hongli had been a favorite of his grandfather, [Kangxi](#), and his father, and Yongzheng had entrusted a number of important ritual tasks to him while Hongli was still a prince, and included him in important court discussions of military strategy. Hoping to

avoid repetition of the succession crisis that had tainted his own accession to the throne, he had the name of his successor placed in a sealed box secured behind the tablet over the throne in the Palace of Heavenly Purity (Qianqing Gong; 乾清宫). The name in the box was to be revealed to other members of the imperial family in the presence of all senior ministers only upon the death of the Emperor. When Yongzheng died suddenly in 1735, the will was taken out and read aloud before the entire Qing Court; Hongli became the 4th Manchu Emperor of China. He took the Reign title of **Qianlong** (乾隆), meaning *strong/heavens* (qian); *prosperous* (long), or put together, *the Era of Strong Prosperity*.

Frontier Wars



The Qianlong Emperor in Armor on Horseback, by Italian [Jesuit](#) Giuseppe Castiglione (1688-1766 C.E.).

The Qianlong Emperor was a successful military leader, presiding over a consolidation of the expansive territory controlled by the Qing dynasty. This was made possible not only by Chinese military strength but also by the declining strength and the disunity of the Inner Asian peoples. Under Qianlong, Chinese Turkestan was incorporated into the Qing dynasty's rule and renamed [Xinjiang](#), while to the West, Ili was conquered and garrisoned. The Qing also dominated [Outer Mongolia](#) after inflicting a final defeat on the [Western Mongols](#). Throughout this period there were continued Mongol interventions in [Tibet](#) and a reciprocal spread of [Tibetan Buddhism](#) in Mongolia.

Qianlong sent armies into Tibet and firmly established the [Dalai Lama](#) as ruler, with a Qing resident and garrison to preserve Chinese suzerainty. Further afield, military campaigns against the Burmese, Nepalese, and Gurkhas forced these peoples to submit and send tribute.

In 1787 the last Le king fled a peasant rebellion in Vietnam and formally requested Chinese aid to restore him to his throne in [Thanglong](#) (Hanoi). The Qianlong Emperor agreed and sent a large army into [Vietnam](#) to remove the Tay Son peasant rebels who had captured all of Vietnam. The capital, Thanglong, was conquered in 1788, but a few months later, the Chinese army was defeated in a surprise attack during Tet by Nguyen Hue, the second and most capable of the three Tay Son brothers. The Chinese government gave formal protection to the Le emperor and his family but did not intervene in Vietnam for another 90 years.

The Qianlong Emperor's military expansion captured millions of square miles and brought into the Chinese empire non-Han-Chinese peoples, such as [Uyghurs](#), Kazakhs, Kirghiz, Evenks and [Mongols](#), who were potentially hostile. It was also a very expensive undertaking; the funds in the Imperial Treasury were almost depleted due to the military expeditions.

Though the wars were an overall success, they did not bring total victory. The size of the army declined noticeably, and Qing encountered serious difficulties with several enemies. The campaign to dominate the Jin Chuan area lasted three years; the Qing army suffered heavy casualties before Yue Zhongqi finally got the upper hand. A campaign against the Dzungars inflicted heavy losses on both sides.

Artistic Achievements



The Qianlong Emperor was a major patron of the arts. The most significant of his commissions was a catalog of all important works on Chinese culture, the *Siku quanshu* (四庫全書). Produced in 36,000 volumes, containing about 3,450 complete works and employing as many as 15,000 copyists, the entire work took some twenty years. It preserved many books, but it was also intended as

a means of ferreting out and suppressing those deemed offensive to the ruling Manchurians. Some 2,300 works were listed for total suppression and another 350 for partial suppression. The aim was to destroy the writings that were anti-Qing or rebellious, that insulted previous barbarian dynasties, or that dealt with frontier or defense problems.

Qianlong was a prolific poet and a collector of [ceramics](#), an art which flourished in his reign; a substantial part of his collection is in the Percival David Foundation in [London](#).

Architecturally, Qianlong took personal interest in the expansion of the Old Summer Palace and supervised the construction of the Xiyanglou or “Western Mansion.” In the 1750s Qianlong commissioned Italian Jesuit Giuseppe Castiglione to design a series of timed waterworks and fountains complete with underground machinery and pipes for the amusement of the Imperial family.

Later Years



The Putuo Zongcheng Temple of Chengde, built in the eighteenth century during the reign of the Qianlong Emperor.

In his later years, Qianlong became disillusioned with his power,

and began to rely heavily on Heshen, his highest-ranking and most favored minister. The day-to-day governance of the country was left in the hands of Heshen while Qianlong himself indulged in luxuries and his favorite pastime of hunting. It is widely remarked by historians that Heshen laid the foundations for the future collapse and corruption of the Qing dynasty. Eventually it became impossible to reverse the harm that had been done on every level of government. When Heshen was killed, it was discovered that the amount of his personal wealth surpassed the country's depleted treasury.

Qianlong started his reign in 1735 with about 30,000,000 *taels* inherited from the period of Yongzheng's reign. Around 1775, Qianlong reached the peak of the Qing dynasty's prosperity with about 73,900,000 *taels* in the treasury, a record unmatched during the reigns of Kangxi or Yongzheng. However, mass corruption on all levels, along with heavy expenses of over 150,200,000 *taels* on military expeditions, the building of more palaces, six personal trips to Jiangnan, suppression of the White Lotus Rebellion, and luxurious spending, nearly depleted the once-prospering treasury. By the end of Qianlong's reign in 1796, the treasury was almost empty, leaving a serious problem for his successor, Jiaqing.

The [Macartney Embassy](#)



Coin from the reign of the Qianlong Emperor.

During the mid-eighteenth century, Qianlong began to face severe pressures from the West to increase foreign trade. China's lack of a Ministry of Foreign Affairs reinforced the belief among Chinese that China was the “central kingdom” of the world. The proposed cultural exchange between the British Empire and the Qing Empire collapsed when Heshen encouraged Qianlong to maintain the belief that the Qing Empire was the center of the world and did not need to pay attention to the British proposal for trade and cultural exchange. The [British](#) trade ambassador at the time, George Macartney, was humiliated when he was finally granted an audience with the Qianlong Emperor and arrived to find only an Imperial Edict placed on the [Dragon Throne](#). The edict informed him that the Qing Empire had no need for any goods and services that the British could provide and that the British should recognize that the Qing Empire was far greater than the British Empire. Qianlong's *Edict on*

Trade with Great Britain referred to Macartney and his embassy as “barbarians,” reflecting the Chinese idea that all countries were “peripheral” in comparison to China.^[1]

Insistent demands from Heshen and the Qing Court that the British Trade ambassadors should kneel and kowtow to the empty dragon throne worsened matters. The British rejected these demands and insisted they would kneel only on one knee and bow to the Dragon throne as they did to their own monarch. This caused an uproar. The British trade ambassadors were dismissed and told to leave China immediately. They were informed that the Qing Empire had no particular interest in trading with them, and that strict orders had been given to all local governors not to allow the British to carry out any trade or business in China.^[2]

The next year, in 1795, Isaac Titsingh, an emissary from [Dutch](#) and Dutch East India Company did not refuse to kowtow; he and his colleagues were treated warmly by the Chinese because of what was construed as their seemly compliance with conventional court etiquette.^[3]

Emperor Qian Long's Letter to George III, 1793

You, O King, live beyond the confines of many seas, nevertheless, impelled by your humble desire to partake of the benefits of our civilization, you have dispatched a mission respectfully bearing your memorial. Your Envoy has crossed the seas and paid his respects at my Court on the anniversary of my birthday. To show your devotion, you have also sent offerings of your country's produce.

I have perused your memorial: the earnest terms in which it is couched reveal a respectful humility on your part, which is highly praiseworthy. In consideration of the fact that your Ambassador and his deputy have come a long way with your memorial and tribute, I have shown them high favor and have allowed them to be introduced into my presence. To manifest my indulgence, I have entertained them at a banquet and made them numerous gifts. I have also caused presents to be

forwarded to the Naval Commander and six hundred of his officers and men, although they did not come to Peking, so that they too may share in my all-embracing kindness.

As to your entreaty to send one of your nationals to be accredited to my Celestial Court and to be in control of your country's trade with China, this request is contrary to all usage of my dynasty and cannot possibly be entertained. It is true that Europeans, in the service of the dynasty, have been permitted to live at Peking, but they are compelled to adopt Chinese dress, they are strictly confined to their own precincts and are never permitted to return home. You are presumably familiar with our dynastic regulations. Your proposed Envoy to my Court could not be placed in a position similar to that of European officials in Peking who are forbidden to leave China, nor could he, on the other hand, be allowed liberty of movement and the privilege of corresponding with his own country; so that you would gain nothing by his residence in our midst....

If you assert that your reverence for Our Celestial dynasty fills you with a desire to acquire our civilization, our ceremonies and code of laws differ so completely from your own that, even if your Envoy were able to acquire the rudiments of our civilization, you could not possibly transplant our manners and customs to your alien soil. Therefore, however adept the Envoy might become, nothing would be gained thereby.

Swaying the wide world, I have but one aim in view, namely, to maintain a perfect governance and to fulfill the duties of the State: strange and costly objects do not interest me. If I have commanded that the tribute offerings sent by you, O King, are to be accepted, this was solely in consideration for the spirit which prompted you to dispatch them from afar. Our dynasty's majestic virtue has penetrated unto every country under Heaven, and Kings of all nations have offered their costly tribute by land and sea. As your Ambassador can see

for himself, we possess all things. I set no value on objects strange or ingenious, and have no use for your country's manufactures. This then is my answer to your request to appoint a representative at my Court, a request contrary to our dynastic usage, which would only result in inconvenience to yourself. I have expounded my wishes in detail and have commanded your tribute Envoys to leave in peace on their homeward journey. It behooves you, O King, to respect my sentiments and to display even greater devotion and loyalty in future, so that, by perpetual submission to our Throne, you may secure peace and prosperity for your country hereafter. Besides making gifts (of which I enclose an inventory) to each member of your Mission, I confer upon you, O King, valuable presents in excess of the number usually bestowed on such occasions, including silks and curios—a list of which is likewise enclosed. Do you reverently receive them and take note of my tender goodwill towards you! A special mandate.

From E. Backhouse and J. O. P. Bland, *Annals and Memoirs of the Court of Peking*. (Boston: Houghton Mifflin, 1914), 322-331, 1793. [\[4\]](#)

Abdication



In October 1795, after a reign of 60 years, Qianlong officially announced that in the spring of the following year he would voluntarily abdicate his throne and pass the crown to his son. It was said that Qianlong had made a promise during the year of his ascension not to rule longer than his grandfather, the [Kangxi Emperor](#) (康熙帝 the second Qing emperor). Despite his retirement, however, he retained ultimate power until his death in 1799.

In anticipation of his abdication, Qianlong decided to move out of the Hall of Mental Cultivation in the [Forbidden City](#), the residence dedicated only for the reigning sovereign, and ordered the construction of his residence in another part of the Forbidden City; however, Qianlong never moved out the Hall of Mental Cultivation.

Legends

A legend claims that Qianlong was the son of Chen Yuanlong of Haining. When Emperor Kangxi chose the heir to his throne, he not only considered his son's ability to govern the Empire, but also the ability and character of his grandson, in order to ensure the Manchus' everlasting reign over the country. Yongzheng's own son was a weakling, so he surreptitiously arranged for his daughter to be swapped for Chen Yuanlong's son, who became the apple of Kangxi's eye. Thus, Yongzheng succeeded to the throne, and his "son," Hongli, subsequently became Emperor Qianlong. Later, Qianlong went to the southern part of the country four times, and stayed in Chen's house in Haining, leaving behind his calligraphy; he also frequently issued imperial decrees making and maintaining Haining as a tax-free state.

Stories about Qianlong visiting the Jiangnan area to conduct inspections disguised as a commoner have been a popular topic for many generations. In total, Qianlong made eight tours of inspection to Jiang Nan; the Kangxi emperor made six inspections.

Family



The Qian Long Emperor in Old Age

- Father: The [Yong Zheng Emperor](#) (of whom he was the fourth son)
- Mother: Empress Xiao Sheng Xian (1692-1777) of the Niuheru Clan (Chinese: 孝聖憲皇后; Manchu: Hiyoošungga Enduringge Temgetulehe Hūwanghu)

Consorts

- Empress Xiao Xian Chun

- Demoted Empress Ulanara, the Step Empress of no title
- Empress Xiao Yi Chun
- Imperial Noble Consort Hui Xian
- Imperial Noble Consort Chun Hui
- Imperial Noble Consort Shu Jia
- Imperial Noble Consort Qing Gong
- Imperial Noble Consort Zhe Min
- Noble Consort Ying
- Noble Consort Wan
- Noble Consort Xun
- Noble Consort Xin
- Noble Consort Yu
- Consort Dun
- Consort Shu
- Consort Rong
- Worthy Lady Shun

Children

Sons

- Eldest son: Prince Yong Huang (1728 – 1750), son of Imperial Noble Consort Che Min
- 2nd: Prince Yong Lian [永璉] (1730 – 1738), 1st Crown Prince, son of Empress Xiao Xian Chun
- 5th: Prince Yong Qi [永琪] (1741-1766), bore the title Prince Rong of the blood (榮親王)
- 7th: Prince Yong Zhong [永琮] (1746 – 1748), 2nd Crown Prince, son of Empress Xiao Xian Chun
- 8th: Prince Yong Xuan [永璇], son of the Imperial Noble Consort Shu Jia
- 11th: Prince Yong Xin [永理], son of the Imperial Noble Consort Shu Jia

- 12th: Prince Yong Ji, son of the Demoted Empress Ulanara, the Step Empress of no title
- 15th: Prince Yong Yan [永琰] the (Jia Qing Emperor), son of Empress Xiao Yi Chun. In 1789 he was made Prince Jia of the 1st rank (嘉親王).
- 17th: Prince Yong Lin [永璘], given the title as the 1st Prince Qing Yong Lin. His grandson is Prince Yi Kuang, bore the title Prince Qing [慶親王奕劻] (February 1836 – January 1918).
- 18th: Prince ?

Daughters

- 1st: Princess ? (1728 – 1729), daughter of Empress Xiao Xian Chun
- 3rd: Princess He Jing [固倫和敬公主] (1731 – 1792), daughter of Empress Xiao Xian Chun
- 4th: Princess He Jia [和碩和嘉公主] (1745 – 1767), daughter of the Imperial Noble Consort Chun Hui
- 5th: Princess ?, daughter of the Demoted Empress Ulanara, the Step Empress of no title
- 7th: Princess He Jing [固倫和靜公主] (1756 – 1775), daughter of Empress Xiao Yi Chun
- 10th: Princess He Xiao (daughter-in-law of He Shen) was spared execution when the Jia Qing Emperor prosecuted Heshen in 1799. She was given some of He Shen's estate.

See also

- Jean Joseph Marie Amiot
- Giuseppe Castiglione
- *Manwen Laodang*
- Canton System
- Xi Yang Lou

- Long Corridor

47. Forbidden City Revealed

3/3



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from this version of the text. You can view them online

here: [https://library.achievingthedream.org/
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48. Deconstructing History: The Great Wall of China



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49. Emperor Kangxi- Most Learned Emperor in Chinese History



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PART VI

5: IMPERIALISM IN ASIA

50. Sati

Sati

Introduction

The status of widows in many societies has been precarious, because the deaths of husbands removed the primary source of their economic well-being as well as control over their sexuality. If there were no adult sons to support widowed mothers, other kinfolk might be reluctant or lack the means to care for widowed relatives. Many societies where men held dominant power evolved mechanisms to control the social and sexual relationships of widows. The burning or burying of widows with their deceased husbands occurred at various times in places as diverse as central Asia, South and Southeast Asia, and Fiji.

Sati in India

In India, the Laws of Manu, compiled around 200 CE declared that a Hindu widow was to remain *sati*, a Sanskrit word that was interpreted to mean chaste or pure, and was not to remarry, while a Hindu widower was permitted to marry again. Gradually, the word *sati* was used to designate the ritual of self-immolation or self-sacrifice by a Hindu widow on her husband's pyre. Through her self-sacrifice, a widow remained pure and demonstrated her everlasting devotion to her husband. Thus *sati* (a word that Europeans frequently transliterated as *suttee*) came to mean both the practice of self-immolation and the Hindu widow who died by this ritual. Such a widow was thought to become a goddess and to bring auspiciousness or good fortune to her birth and marital families. Her cremation site was also marked by a commemorative stone or

temple and became a pilgrimage site for devotees seeking divine favors. Although it was never widespread, sati as self-immolation became and remains a potent source for stereotypes of Indian society as ridden with exotic and superstitious religious injunctions, and for images of Hindu women as oppressed.

The Origins of Sati

The origins of sati as self-immolation are hotly debated. It is often associated with war and concepts of honor. One possible source was the deaths of four widows in the *Mahabharata*, a great epic about a war between two sets of cousins for a kingdom. Another is the custom of *jauhar* among Rajputs, groups from central Asia who migrated to northwestern India, who, when confronted with certain defeat, put their women and children to death by fire to prevent their enemy from capturing and dishonoring them. One religious source mentioned is the Hindu goddess named Sati who committed suicide in protest against her father's refusal to invite her divine husband Shiva to a royal sacrifice. But Sati died and the god Shiva was incapable of dying, so she was not and could not be a widow.

There is much debate about when the practice of self-immolation began to be practiced in India. Some historians claim that there is material evidence in the form of commemorative stones of self-immolation as early as the 6th century CE and European accounts of the sati ritual begin with Marco Polo and proliferate from the 1500s onward. Sati stones exist in the Gujarat and Marathi areas of western India and in Karnataka and the eastern coast of south India. However, self-immolation was more prevalent among elite women in the princely states of Rajputana and in Bengal. Some scholars have argued that the *dayabhaga* legal tradition that was unique to Bengal, which allowed Hindu widows to inherit their *stridhan* (personal property, usually jewelry given at the time of her marriage) and a limited estate in real property (which they could use but not alienate), was perhaps a material reason why sati was more common in Bengal than elsewhere. Anand Yang, however, has documented that non-elite Hindu widows committed sati in the early 19th century in districts in Bihar and Bengal, where women's

property rights were not likely to be at stake. The social restrictions on Hindu widows that might include shaving one's hair, discarding all jewelry, and wearing simple white saris, eating only one meal a day, and being excluded from celebrations such as weddings constituted "cold" sati and could have motivated some widows to willingly commit self-immolation.

European Views of Sati

As more Europeans traveled to India from the 1500s onward to forge trade and diplomatic relations, they recorded their observations and attitudes towards sati and the Hindu culture that they asserted authorized such deaths. Their accounts tended to praise the devotion of Hindu wives to their husbands and to emphasize the religious injunctions for the ritual. As it expanded its political control during the 18th century, the English East India Company viewed sati as a disturbing religious practice but permitted it so as not to antagonize Hindu subjects. By the early 1800s, British officials and missionaries became more aggressive in their condemnation of sati, although their accounts continued to have subtle praise for the wifely devotion of Hindu widows. At the same time high-caste Hindus, frequently of the *bhadralok* (respectable people) elite in Bengal, either defended the ritual or sought to prohibit it.

The debate over sati escalated when the East India Company, under pressure from evangelical groups in Britain, legalized sati in 1813 if the widow acted voluntarily. This legislation triggered intense debate in India and Britain both for and against sati. British missionaries as well as Indian advocates and opponents of sati sought sanction for their opposing positions in Hindu scriptural texts. Emboldened by support from Indians such as Ram Mohan Roy and influenced by the Utilitarian philosophy which sought the greatest good for the greatest number of people through legislation, Lord William Bentinck, governor-general of the Company's possessions in India from 1828 to 1835, promulgated legislation

criminalizing sati in 1829. Controversy persisted during the 1830s because of continuing episodes of sati. It proved difficult to enforce the prohibition in a climate where cremation took place usually within 24 hours of death and British officials were widely dispersed. Contention resurfaced in the late 20th century after Roop Kanwar, an 18-year-old Rajput woman, allegedly committed sati at Deorala, Rajasthan, on September 4, 1987 in very different political and social circumstances.

Sources About Sati

European travelers, British officials, Indian reformers, orthodox Hindus, and Christian missionaries wrote extensively about sati, while Europeans and Indians produced visual representations in prints, paintings, magazines, and eventually, films. Men produced almost all of these primary sources that contained several themes. First, Indians and Europeans debated the origins of sati, traced where it occurred in India, and occasionally tried to ascertain which *varnas* (the four broad divisions of Hindu society: *brahman*, or priests; *kshatriya*, or warriors and administrators; *vaishya*, or merchants; and *sudras*, or artisans and peasants) and economic classes enjoined the practice of sati on Hindu widows. Second, both orthodox Hindus and those seeking to reform Hindu customs argued about the scriptural legitimacy, or lack thereof, for sati. Third, European travelers, officials, and missionaries revealed much about their changing attitudes toward Indian culture and specifically to Indian women in their accounts of sati from the 1600s onward. Fourth, during the early 1800s, the campaign to prohibit sati produced official reports and polemical tracts that gave evidence of cultural arrogance among British officials and missionaries, defensiveness among Indian reformers, and assertiveness among orthodox Hindus.

Sources in English or available in English translation have told us more about European representations of and attitudes toward

the ritual of sati, European ideas about Indian (specifically Hindu) women, and about Hindu culture in India in general than about Indian attitudes toward sati. Even so, the positions of Indian men regarding sati are much more accessible in primary sources than those of Indian women. For the stories of Hindu widows who committed self-immolation or attempted to do so and decided against doing so at the last minute, historians must rely on British and Indian, usually male, witnesses of the spectacle of sati.

51. Female Infanticide

Female infanticide in India has a history spanning centuries. [Poverty](#), the [dowry system](#), births to unmarried women, deformed infants, famine, lack of support services and maternal illnesses such as [postpartum depression](#) are among the causes that have been proposed to explain the phenomenon of [female infanticide](#) in India.

Infanticide is nowadays a criminal offence in India but it is an under-reported crime; reliable objective data is unavailable. There were around 100 male and female infanticides reported in the country in 2010, giving an official rate of less than one per million people.

DEFINITION

Section 315 of the [Indian Penal Code](#) defines infanticide as the killing of an infant in the 0–1 age group. The Code differentiates between this and numerous other crimes against children, including [foeticide](#) and [murder](#).^{[1][1]}

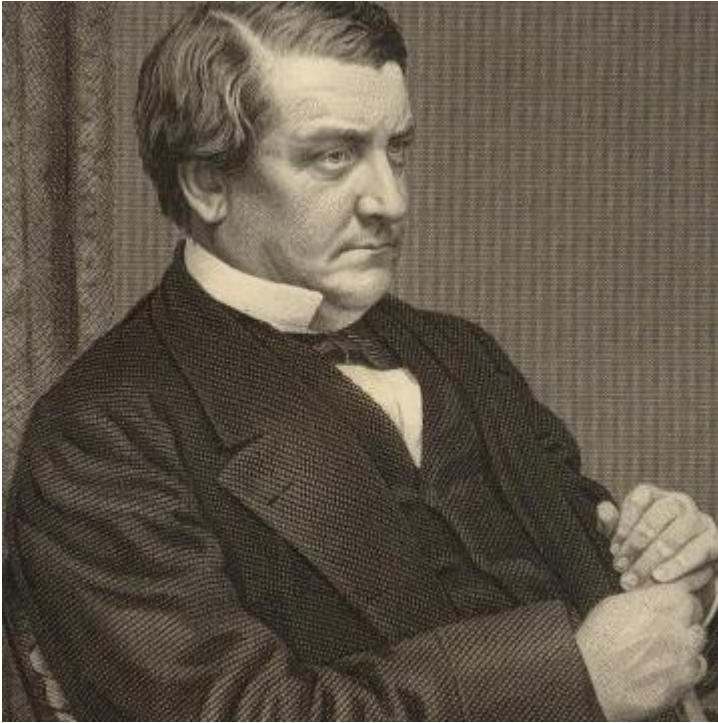
Some scholarly publications on infanticide use the legal definition.^{[3][4]} Others, such as the collaboration of Renu Dube, Reena Dube and Rashmi Bhatnagar, who describe themselves as “postcolonial feminists”, adopt a broader scope for *infanticide*, applying it from foeticide through to [femicide](#) at an unspecified age.^[5] Barbara Miller, an anthropologist, has “for convenience” used the term to refer to all non-accidental deaths of children up to the age of around 15–16, which is culturally considered to be the age when childhood ends in rural India. She notes that the act of infanticide can be “outright”, such as a physical beating, or take a “passive” form through actions such as neglect and

starvation. [Neonaticide](#), being the killing of a child within 24 hours of birth, is sometimes considered as a separate study.^[6]

Studies of systematic infanticide based on gender have tended to concentrate on female children – *female infanticide* – but there are instances where male children are targeted, one historic example of which was in Japan.^[4] Eleanor Scott, an archaeologist who has specialised in the study of infant deaths and their cultural associations, notes that the tendency to concentrate on the female examples is misplaced and driven by the desire of 19th-century [cultural anthropologists](#) to explain the evolution of lineages and systems of marriage. Scott also notes that the [Netsilik Inuit](#) “are in fact the only society for which there is any real qualitative data about the existence of the practice of female infanticide.”^[7]

COLONIAL PERIOD

CAUSATION



British colonists in India first became aware of the practice of female infanticide in 1789, during the period of [Company Rule](#). It was noted among members of a [Rajput](#) clan by [Jonathan Duncan](#), then the [British Resident](#) in [Jaunpur district](#) of what is now the northern [state](#) of [Uttar Pradesh](#). Later, in 1817, officials noted that the practice was so entrenched that there were entire [taluks](#) of the [Jadeja](#) Rajputs in [Gujarat](#) where no female children of the clan existed.^[8] In the mid-19th century, a magistrate who was stationed in the north-west of the country claimed that for several hundred

years no daughter had ever been raised in the strongholds of the Rajahs of [Mynpoorie](#) and that only after the intervention of a [District Collector](#) in 1845 did the Rajput ruler there keep a daughter alive.^[9] The British identified other [high-caste](#) communities as practitioners in north, western and central areas of the country; these included the [Ahirs](#), [Bedis](#), [Gurjars](#), [Jats](#), [Khatris](#), [Lewa](#), [Kanbis](#), [Mohyal Brahmins](#) and [Patidars](#).^{[8][10]}

According to [Marvin Harris](#), another anthropologist and among the first proponents of [cultural materialism](#), these killings of legitimate children occurred only among the Rajputs and other elite land-owning and warrior groups. The rationale was mainly economic, lying in a desire not to split land and wealth among too many heirs and in avoiding the payment of dowries. Sisters and daughters would marry men of similar standing and thus pose a challenge to the cohesion of wealth and power, whereas concubines and their children would not and thus could be allowed to live.^{[11][12]} He further argues that the need for warriors in the villages of a pre-industrial society meant female children were devalued, and the combination of war casualties and infanticide acted as a necessary form of population control.^[13]

[Sociobiologists](#) have a different theory to Harris. Indeed, his theory and interest in the topic of infanticide is born of his more generalised opposition to the sociobiological hypothesis of the procreative imperative.^{[14][15]} According to this theory of imperative, based on the 19th-century vogue for explanations rooted in evolution and its premise of natural selection,^[7] the biological differences between men and women meant that many more children could be gained among the elites through support for male offspring, whose fecundity was naturally much greater: the line would spread and grow more extensively. Harris believes this to be a fallacious explanation because the elites had sufficient wealth easily to support both male and female children.^[12] Thus, Harris and others, such as [William Divale](#), see female infanticide as a way to

restrict population growth, while sociobiologists such as [Mildred Dickemann](#) view the same practice as a means of expanding it.^[13]

Another anthropologist, [Kristen Hawkes](#), has criticised both of these theories. On the one hand, opposing Harris, she says both that the quickest way to get more male warriors would have been to have more females as child-bearers and that having more females in a village would increase the potential for marriage alliances with other villages. Against the procreative imperative theory she points out that the corollary to well-off elites such as those in northern India wanting to maximise reproduction is that poor people would want to minimise it and thus in theory should have practiced male infanticide, which it seems they did not.^[13]

RELIABILITY OF COLONIAL REPORTS ON INFANTICIDE

There is no data for the [sex ratio](#) in India prior to the British colonial era. Reliant as the British were on local high-caste communities for the collection of taxes and the maintenance of law and order, the administrators were initially reluctant to peer too deeply into their private affairs, such as the practice of infanticide. Although this did change in the 1830s, the reluctance reappeared following the cathartic events of the [Indian rebellion of 1857](#), which caused government by the [East India Company](#) to be supplanted by the [British Raj](#).^[16] In 1857, John Cave Browne, a chaplain serving in [Bengal Presidency](#), reported a Major Goldney speculating that the practice of female infanticide among the Jats in the [Punjab Province](#) originated from “Malthusian motives”.^[17] In the Gujarat region, the first cited examples of discrepancies in the sex ratio among Lewa Patidars and [Kanbis](#) dates from 1847.^[18] These historical records have been questioned by modern scholars. The British made their observations from a distance and never mixed with their Indian subjects to understand their poverty, frustrations,

life or culture at close hand.^[19] Browne documented his speculations on female infanticide using “they tell” hearsay.^[17] [Bernard Cohn](#) states that the colonial British residents in India would not accuse an individual or family of infanticide as the crime was difficult to prove in a British court, nevertheless accused an entire clan or social group of female infanticide. Cohn says, “female infanticide thus became a ‘statistical crime’”, during the colonial rule of India.^[20]

Aside from numerous reports and correspondence on infanticide from colonial officials,^[10] there was also documentation from Christian missionaries, who were significant writers of ethnographies of India during the 19th century. They sent letters back to Britain announcing their missionary accomplishments and characterising the culture as savage, ignorant and depraved.^{[21][22]} Scholars have questioned this distorted construction of Indian culture during the colonial era, stating that infanticide was as common in England during the 18th and 19th century, as in India.^{[21][23][24]} Some British Christian missionaries of the late 19th century, states Daniel Grey, wrongly believed that female infanticide was sanctioned by the scriptures of Hinduism and Islam, and against which Christianity had “centuries after centuries come into victorious conflict”.^[21]

LOCATION AND DIRECT METHOD

A review of scholarship by Miller has shown that the majority of female infanticides in India during the colonial period occurred in the north-west, and that it was widespread although not all groups carried out this practice.^[25]

[David Arnold](#), a member of the [subaltern studies group](#) who has used a lot of contemporary sources, says that various methods of outright infanticide were used, including reputedly including poisoning with [opium](#), strangulation and suffocation. Poisonous

substances such as the root of the [plumbago rosea](#) and [arsenic](#) were used for abortion, with the latter also ironically being used as an [aphrodisiac](#) and cure for [male impotence](#). The act of direct infanticide among Rajputs was usually performed by women, often the mother herself or a nurse. Administration of poison was in any event a type of killing particularly associated with women; Arnold describes it as “often murder by proxy”, with the man at a remove from the event and thus able to claim innocence.^[26]

The practice was made illegal in the [British Indian](#) regions of Punjab and the [North-Western Provinces and Oudh](#), with the passing of the [Female Infanticide Prevention Act, 1870](#).^[25] The Act authorised the [Governor-General of India](#) to expand it to other regions, when appropriate, at his discretion.

IMPACT OF FAMINES ON INFANTICIDE

Major [famines occurred in India](#) every five to eight years in the 19th- and early 20th-centuries,^{[27][28]} resulting in millions starving to death.^{[29][30]} As also happened in China, these events begat infanticide: desperate starving parents would either kill a suffering infant, sell a child to buy food for the rest of the family, or beg people to take them away for nothing and feed them.^{[31][32][33]} Gupta and Shuzhou state that massive famines and poverty-related historical events had influenced historical sex ratios, and they have had deep cultural ramifications on girls and regional attitudes towards female [infant mortality](#).^[33]

IMPACT OF ECONOMIC POLICIES ON INFANTICIDE

According to [Mara Hvistendahl](#), documents left behind by the

colonial administration following [independence](#) showed a direct correlation between the taxation policies of the [British East India Company](#) and the rise in female infanticide.^[34]

REGIONAL AND RELIGIOUS DEMOGRAPHICS

From 1881 through 1941, demographic data shows India had excess males overall in all those years.^[35] The gender difference was particularly high in north and western regions of India, with an overall sex ratio – males per 100 females – of between 110.2 to 113.7 in the north over the 60-year period, and 105.8 to 109.8 males for every 100 female in western India for all ages.^[35] Visaria states that female deficit among Muslims was markedly higher, next only to Sikhs.^[36] South India region was an exception reporting excess females overall, which scholars attribute partly to selective emigration of males and the regional practice of matriarchy.^[36]

The overall sex ratios, and excess males, in various regions were highest among the [Muslim population of India](#) from 1881 to 1941, and the sex ratio of each region correlated with the proportion of its Muslim population, with the exception of eastern region of India where the overall sex ratio was relatively low while it had a high percentage of Muslims in the population.^[37] If regions that are now part of modern Pakistan are excluded (Baluchistan, North West Frontier, Sind for example), Visaria states that the regional and overall sex ratios for the rest of India over the 1881–1941 period improve in favour of females, with a lesser gap between male and female population.^[38]

CONTEMPORARY DATA AND STATISTICS

Infanticide in India, and elsewhere in the world, is a difficult issue to objectively access because reliable data is unavailable.^{[39][40]} Scrimshaw states that not only accurate frequency of female infanticide is unknown, differential care between male and female infants is even more elusive data.^[39]

Sheetal Ranjan reports that the total male and female infanticide reported cases in India were 139 in 1995, 86 in 2005 and 111 in 2010;^[41] the National Crime Records Bureau summary for 2010 gives a figure of 100.^[42] Scholars state that infanticide is an under-reported crime.^[43]

Reports of regional cases of female infanticide have appeared in the media, such as those in [44]

REASONS

Extreme poverty with an inability to afford raising a child is one of the reasons given for female infanticide in India.^{[45][46]} Such poverty has been a major reason for high infanticide rates in various cultures, throughout history, including England, France and India.^{[47][48][49]}

The dowry system in India is another reason that is given for female infanticide. Although India has taken steps to abolish the dowry system,^[50] the practice persists, and for poorer families in rural regions female infanticide and gender selective abortion is attributed to the fear of being unable to raise a suitable dowry and then being socially ostracised.^[51]

Other major reasons given for infanticide, both female and male, include unwanted children, such as those conceived after rape, deformed children born to impoverished families, and those born to unmarried mothers lacking reliable, safe and affordable birth

control.^{[45][52][39]} Relationship difficulties, low income, lack of support coupled with mental illness such as [postpartum depression](#) have also been reported as reasons for female infanticide in India.^{[53][54][55]}

Elaine Rose in 1999 reported that disproportionately high female mortality is correlated to poverty, infrastructure and means to feed one's family, and that there has been an increase in the ratio of the probability that a girl survives to the probability that a boy survives with favourable rainfall each year and the consequent ability to irrigate farms in rural India.^[56]

Ian Darnton-Hill et al. state that the effect of malnutrition, particularly micronutrient and vitamin deficiency, depends on sex, and it adversely impacts female infant mortality.^[57]

STATE RESPONSE

In 1992 the [Government of India](#) started the “baby cradle scheme”. This allows families anonymously to give their child up for adoption without having to go through the formal procedure. The scheme has been praised for possibly saving the lives of thousands of baby girls but also criticised by human rights groups, who say that the scheme encourages child abandonment and also reinforces the low status in which women are held.^[58] The scheme, which was piloted in [Tamil Nadu](#), saw cradles placed outside state-operated health facilities. The [Chief Minister of Tamil Nadu](#) added another incentive, giving money to families that had more than one daughter. 136 baby girls were given for adoption during the first four years of the scheme. In 2000, 1,218 cases of female infanticide were reported, the scheme was deemed a failure and it was abandoned. It was reinstated in the following year.^[59]

In 1991 the [Girl Child Protection Scheme](#) was launched. This operates as a long-term financial incentive, with rural families having to meet certain obligations such as sterilisation of the

mother. Once the obligations are met, the state puts aside ₹2000 in a state-run fund. The fund, which should grow to ₹10,000, is released to the daughter when she is 20: she can use it either to marry or to pursue higher education.^[60]

INTERNATIONAL REACTIONS

The [Geneva Centre for the Democratic Control of Armed Forces](#) (DCAF) wrote in their 2005 report, *Women in an Insecure World*, that at a time when the number of casualties in war had fallen, a “secret genocide” was being carried out against women.^[61] According to DCAF the demographic shortfall of women who have died for gender related issues is in the same range as the 191 million estimated dead from all conflicts in the 20th century.^[62] In 2012, the documentary [It's a Girl: The Three Deadliest Words in the World](#) was released. This focused on [female infanticide in China](#) and in India.^[63]

In 1991 [Elisabeth Bumiller](#) wrote *May You be the Mother of a Hundred Sons: A Journey Among the Women of India* around the subject of infanticide.^[64] In the chapter on female infanticide, titled *No More Little Girls*, she said that the prevailing reason for the practice is “not as the act of monsters in a barbarian society but as the last resort of impoverished, uneducated women driven to do what they thought was best for themselves and their families.”^[65]

Gift of A Girl Female Infanticide is a 1998 documentary that explores the prevalence of female infanticide in southern India, as well as steps which have been taken to help eradicate the practice. The documentary won an award from the [Association for Asian Studies](#).^{[66][67]}

SEE ALSO

- [Sati](#)

52. Slavery Abolition Act 1833

Slavery Abolition Act 1833

Background

Slavery had been abolished in England in 1772 by [3] and Britain had outlawed the slave trade with the Slave Trade Act in 1807, with penalties of £100 per slave levied on British captains found importing slaves (treaties signed with other nations expanded the scope of the trading ban). Small trading nations that did not have a great deal to give up, such as Sweden, quickly followed suit, as did the Netherlands, also by then a minor player, however the British empire on its own constituted a substantial fraction of the world's population. The Royal Navy established the West Africa Squadron (or Preventative Squadron) at substantial expense in 1808 after Parliament passed the Act. The squadron's task was to suppress the Atlantic slave trade by patrolling the coast of West Africa. This suppressed the slave trade but did not stop it entirely. It is possible that if slave ships were in danger of being captured by the Royal Navy, some captains may have ordered the slaves to be thrown into the sea to reduce the fines they had to pay. Between 1808 and 1860 the West Africa Squadron captured 1,600 slave ships and freed 150,000 Africans.[4] [5] . Notwithstanding what had been done to suppress the trade, further measures were soon discovered to be necessary.

The first Society for Effecting the Abolition of the Slave Trade was established in Britain in 1787, and members included John Barton; William Dillwyn; George Harrison; Samuel Hoare Jr; Joseph Hooper;

John Lloyd; Joseph Woods Sr; James Phillips; Thomas Clarkson, Granville Sharp, Philip Sansom and Richard Phillips. [6]

The later Anti-Slavery Society was founded in 1823. Members included Joseph Sturge, Thomas Clarkson, William Wilberforce, Henry Brougham, Thomas Fowell Buxton, Elizabeth Heyrick, Mary Lloyd, Jane Smeal, Elizabeth Pease and Anne Knight. [7]

During the Christmas holiday of 1831, a large-scale slave revolt in Jamaica known as the Baptist War broke out. It was organised originally as a peaceful strike by Baptist minister Samuel Sharpe. The rebellion was suppressed by the militia of the Jamaican plantocracy and the British garrison ten days later in early 1832. Because the loss of property and life in the 1831 rebellion, the British Parliament held two inquiries. The results of these inquiries contributed greatly to the abolition of slavery with the Slavery Abolition Act 1833.

A successor organisation to the Anti-Slavery Society was formed in 1839, committed to worldwide abolition. Its official name was the British and Foreign Anti-Slavery Society. [8] This continues today as Anti-Slavery International.

Main points of the Act

Slavery was officially abolished in most of the British Empire on 1 August 1834.[9] In practical terms, however, only slaves below the age of six were freed, as all slaves over the age of six were redesignated as “apprentices”.[10] Apprentices would continue to serve their former owners for a period of time after the abolition of slavery, though the length of time they served depended on which of three classes of apprentice they were.[11]

The first class of apprentices were former slaves who “in their State of Slavery were usually employed in Agriculture, or in the Manufacture of Colonial Produce or otherwise, upon Lands belonging to their Owners”.[11] The second class of apprentices were

former slaves who “in their State of Slavery were usually employed in Agriculture, or in the Manufacture of Colonial Produce or otherwise, upon Lands not belonging to their Owners”.[11] The third class of apprentices was composed of all former slaves “not included within either of the Two preceding Classes”.[11] Apprentices within the third class were released from their apprenticeships on 1 August 1838.[12] The remaining apprentices within the first and second classes were released from their apprenticeships on 1 August 1840.[13]

The Act also included the right of compensation for slave-owners who would be losing their property. The amount of money to be spent on the compensation claims was set at “the Sum of Twenty Millions Pounds Sterling”.[14] Under the terms of the Act the British government raised £20 million to pay out in compensation for the loss of the slaves as business assets to the registered owners of the freed slaves. The names listed in the returns for slave compensation show that ownership was spread over many hundreds of British families,[15] many of them of high social standing. For example, Henry Phillpotts (then the Bishop of Exeter), in a partnership with three business colleagues, received £12,700 for 665 slaves.[16] The majority of men and women who were awarded compensation under the 1833 Abolition Act are listed in a Parliamentary Return, entitled *Slavery Abolition Act*, which is an account of all moneys awarded by the Commissioners of Slave Compensation in the *Parliamentary Papers 1837-8 Vol. 48*.

In all, the government paid out over 40,000 separate awards. The £20 million fund was 40% of the government’s total annual expenditure.

As a notable exception to the rest of the British Empire, the Act did not “extend to any of the Territories in the Possession of the East India Company, or to the Island of Ceylon, or to the Island of Saint Helena.”[2]

On 1 August 1834, an unarmed group of mainly elderly people being addressed by the Governor at Government House in Port of Spain, Trinidad, about the new laws, began chanting: “Pas de six ans.

Point de six ans" ("Not six years. No six years"), drowning out the voice of the Governor. Peaceful protests continued until a resolution to abolish apprenticeship was passed and de facto freedom was achieved. Full emancipation for all was legally granted ahead of schedule on 1 August 1838, making Trinidad the first British colony with slaves to completely abolish slavery.[17]

Repeal

The Slavery Abolition Act 1833 was repealed in its entirety under the Statute Law (Repeals) Act 1998. [18] [19] However, this repeal has not made slavery legal again, as sections of the Slave Trade Act 1824, Slave Trade Act 1843 and Slave Trade Act 1873 are still in force. In addition the Human Rights Act 1998 incorporates into British Law Article 4 of the European Convention on Human Rights which prohibits the holding of persons as slaves.[20] [21] [22] [23]

53. British Imperialism in Asia

British Raj (*rāj*, lit. “rule” in Hindi) or **British India**, officially the British **Indian Empire**, and internationally and contemporaneously, **India**, is the term used synonymously for the region, the rule, and the period, from 1858 to 1947, of the [British Empire](#) on the Indian subcontinent. The region included areas directly administered by the [United Kingdom](#)^[1] (contemporaneously, “British India”) as well as the princely states ruled by individual rulers under the paramountcy of the British Crown. Prior to 1858, Britain’s interests and possessions in India had been administered by the [British East India Company](#), which was officially a commercial enterprise chartered by the Government. It operated in India as an agent of the [Moghul Empire](#). After the [First War of Indian Independence](#) (known as the mutiny) the British government assumed direct responsibility for ruling its Indian territories. A policy of expansion followed that brought the whole of India within the Empire. The princely states, of which all entered into treaty arrangements with the British Crown, were allowed a degree of local autonomy in exchange for accepting protection and complete representation in international affairs by the United Kingdom.

Known as the “Jewel in the Crown” of the [British Empire](#), India was over the years a source of wealth for Britain, although the Raj’s profitability declined in the years before independence was finally granted. On the other hand, [railway](#), [transport](#) and [communication](#) systems were built that helped to knit the previously independent regions of India into a whole, which actually aided the Indian independence struggle under the leadership of the [Indian National Congress](#). This movement was led by the very class of Indians that the

British [education](#) system had produced, who read in English literature about the concepts of fair-play, [justice](#) and about the mother of [Parliaments](#) in Westminster but observed that the British seemed to leave these values and the practice of [democracy](#) at home when they arrived in India. The Raj's policy has been described as one of "divide and rule." This partly refers to the way in which much territory was acquired, by playing one Indian ruler against another, and to the way in which the British stressed what they saw as intractable differences between different religious communities, arguing that it was only their presence in India that prevented a blood bath.

Definition and Geographical Expanse

The British *Indian Empire* included the regions of present-day [India](#), [Pakistan](#), and [Bangladesh](#), and, in addition, at various times, Aden (from 1858 to 1937), Lower Burma (from 1858 to 1937), Upper Burma (from 1886 to 1937) (Burma was detached from British India in 1937), British Somaliland (briefly from 1884 to 1898), and [Singapore](#) (briefly from 1858 to 1867). British India had some ties with British possessions in the Middle East; the Indian rupee served as the currency in many parts of that region. What is now [Iraq](#) was, immediately after World War I, administered by the India Office of the British government. The *Indian Empire*, which issued its own passports, was commonly referred to as *India* both in the region and internationally. As *India*, it was a founding member of the [League of Nations](#), and a member nation of the Summer Olympics in 1900, 1920, 1928, 1932, and 1936. Among other countries in the region, [Ceylon](#) (now [Sri Lanka](#)), which was ceded to the [United Kingdom](#) in 1802 under the Treaty of Amiens, was a British Crown Colony, but not part of British India. The kingdoms of [Nepal](#) and [Bhutan](#) although having been in conflict with Britain, had both subsequently signed treaties with Britain, and were

recognized as independent states and not part of the British Raj.^{[2][3]} The Kingdom of [Sikkim](#) was established as a princely state after the *Anglo-Sikkimese Treaty* of 1861, however, the issue of sovereignty was left undefined.^[4] The [Maldiv Islands](#) were a British protectorate from 1867 to 1965, but not part of British India.

The system of governance lasted from 1858, when the rule of the [British East India Company](#) was transferred to the Crown in the person of [Queen Victoria](#) (and who, in 1877, was proclaimed Empress of India), until 1947, when the British Indian Empire was partitioned into two sovereign states, the *Dominion of India* (later the [Republic of India](#)) and the *Dominion of Pakistan* (later the Islamic Republic of Pakistan and the People's Republic of Bangladesh). Burma was separated from the administration of the British Indian Empire in 1937 and directly administered thereafter; it received independence from the UK in 1948 as the *Union of Burma*.

History

Company rule in India

On December 31, 1600 [Queen Elizabeth I](#) of [England](#) granted a [royal charter](#) to the [British East India Company](#) to carry out trade with the East. Ships first arrived in India in 1608, docking at Surat in modern-day Gujarat. Four years later, British traders battled the [Portuguese](#) at the Battle of Swally, gaining the favor of the Mughal emperor Jahangir in the process. In 1615, [King James I](#) sent Sir Thomas Roe as his ambassador to Jahangir's court, and a commercial treaty was concluded in which the Mughals allowed the Company to build trading posts in India in return for goods from Europe. The Company traded in such commodities as [cotton](#), [silk](#), saltpetre, indigo, and tea.

By the mid-1600s, the Company had established trading posts

or “factories” in major Indian cities, such as [Bombay](#), [Calcutta](#), and Madras in addition to their first [factory](#) at Surat (built in 1612). In 1670 [King Charles II](#) granted the company the right to acquire territory, raise an army, mint its own money, and exercise legal jurisdiction in areas under its control.

By the last decade of the seventeenth century, the Company was arguably its own “nation” on the Indian subcontinent, possessing considerable military might and ruling the three presidencies.

The British first established a territorial foothold in the Indian subcontinent when Company-funded soldiers commanded by Robert Clive defeated the Nawab of Bengal – Siraj Ud Daulah at the [Battle of Plassey](#) in 1757. Bengal became a British protectorate directly under the rule of the East India Company. Bengal’s wealth then flowed to the Company, which attempted to enforce a monopoly on Bengali trade (though [smuggling](#) was rife). Bengali farmers and craftsmen were obliged to render their labor for minimal remuneration while their collective tax burden increased greatly. Some believe that as a consequence, the famine of 1769-1773 cost the lives of ten million Bengalis^[5]. A similar catastrophe occurred almost a century later, after Britain had extended its rule across the Indian subcontinent, when 40 million Indians perished from famine. The Company, despite the increase in trade and the revenues coming in from other sources, found itself burdened with massive military expenditures, and its destruction seemed imminent.

Building the Raj: British expansion across India



Map of British India, 1855

Lord North's India Bill, [The Regulating Act](#) of 1773, by the British Parliament granted Whitehall, the British government administration, supervisory (regulatory) control over the work of the East India Company but did not take power for itself. This was the first step along the road to government control of India. It also established the post of [Governor-General of India](#), the first occupant of which was [Warren Hastings](#). Further acts, such as the [Charter Act of 1813](#) and the [Charter Act of 1833](#), further defined the relationship of the Company and the British government.

[Hastings](#) remained in India until 1784 and was succeeded by Cornwallis, who initiated the Permanent Settlement, whereby an agreement in perpetuity was reached with zamindars or landlords

for the collection of revenue. For the next 50 years, the British were engaged in attempts to eliminate Indian rivals.

At the turn of the nineteenth century, Governor-General Lord Wellesley (brother of the Arthur Wellesley, 1st Duke of Wellington) began expanding the Company's domain on a large scale, defeating [Tippu Sultan](#) (also spelled Tippoo Sultan), annexing Mysore in southern India, and removing all [French](#) influence from the subcontinent. In the mid-nineteenth century, Governor-General Lord Dalhousie launched perhaps the Company's most ambitious expansion, defeating the [Sikhs](#) in the Anglo-Sikh Wars (and annexing the Punjab with the exception of the Phulkian States) and subduing [Burma](#) in the Second Burmese War. He also justified the takeover of small princely states such as Satara, Sambalpur, Jhansi, and Nagpur by way of the doctrine of lapse, which permitted the Company to annex any princely state whose ruler had died without a male heir. The annexation of Oudh in 1856 proved to be the Company's final territorial acquisition, as the following year saw the boiling over of Indian grievances toward the so-called "Company Raj."

First War of Indian Independence

On May 10, 1857 soldiers of the British Indian Army (known as "sepoys," from Urdu/Persian *sipaahi* = "soldier"), drawn from the Indian [Hindu](#) and [Muslim](#) population, rose against British in Meerut, a cantonment 65 kilometres northeast of [Delhi](#). At the time, the strength of the Company's Army in India was 238,000, of whom 38,000 were Europeans. Indian soldiers marched to [Delhi](#) to offer their services to the Mughal emperor, and soon much of north and central India was plunged into a year-long insurrection against the [British East India Company](#). Many Indian regiments and Indian kingdoms joined the uprising, while other Indian units and Indian kingdoms backed the British commanders and the HEIC.

Causes of the rebellion

The rebellion or the war for independence had diverse political, economic, military, religious and social causes.

The policy of annexation pursued by Governor-General Lord Dalhousie, based mainly on his “Doctrine of Lapse,” which held that princely states would be merged into [company](#)-ruled territory in case a ruler died without direct heir. This denied the Indian rulers the right to adopt an heir in such an event; adoption had been pervasive practice in the Hindu states hitherto, sanctioned both by religion and by secular tradition. The states annexed under this doctrine included such major kingdoms as Satara, Thanjavur, Sambhal, Jhansi, Jetpur, Udaipur, and Baghat. Additionally, the company had annexed, without pretext, the rich kingdoms of Sind in 1843 and Oudh in 1856, the latter a wealthy princely state that generated huge revenue and represented a vestige of Mughal authority. This greed for land, especially in a group of small-town and middle-class British merchants, whose *parvenu* background was increasingly evident and galling to Indians of rank, had alienated a large section of the landed and ruling [aristocracy](#), who were quick to take up the cause of evicting the merchants once the revolt was kindled.

The justice system was considered inherently unfair to the Indians. The official Blue Books — entitled *East India (Torture) 1855–1857* — that were laid before the [House of Commons](#) during the sessions of 1856 and 1857 revealed that Company officers were allowed an extended series of appeals if convicted or accused of brutality or crimes against Indians.

The economic policies of the East India Company were also resented by the Indians. Most of the [gold](#), jewels, [silver](#) and [silk](#) had been shipped off to Britain as tax and sometimes sold in open auctions, ridding India of its once abundant wealth in precious stones. The land was reorganized under the comparatively harsh Zamindari system to facilitate the collection of taxes. In certain areas farmers were forced to switch from subsistence farming to

commercial crops such as indigo, jute, [coffee](#) and tea. This resulted in hardship to the farmers and increases in food prices. Local industry, specifically the famous weavers of Bengal and elsewhere, also suffered under British rule. Import [tariffs](#) were kept low, according to traditional British free-market sentiments, and thus the Indian market was flooded with cheap clothing from Britain. Indigenous industry simply could not compete, and where once India had produced much of England's luxury cloth, the country was now reduced to growing cotton which was shipped to Britain to be manufactured into clothing, which was subsequently shipped back to India to be purchased by Indians. This extraordinary quantity of wealth, much of it collected as 'taxes', was absolutely critical in expanding public and private infrastructure in Britain and in financing British expansionism elsewhere in Asia and Africa.

The spark that lit the fire was the result of a British blunder in using new cartridges for the Pattern 1853 Enfield rifle that were greased with animal [fat](#), rumored to now be a combination of [pig-fat](#) and [cow-fat](#). This was offensive to the religious beliefs of both Muslim and Hindu sepoys, who refused to use the cartridges and, under provocation, finally mutinied against their British officers.

The rebellion soon engulfed much of North India, including Oudh and various areas that had lately passed from the control of Maratha princes to the company. The unprepared British were terrified, without replacements for the casualties. However, after getting reinforcements, the British army was able to suppress the uprising and restore British control over these areas.

It was a monumental event in history, for both Indians and British alike. The Rebels had achieved (at that time) the impossible in uniting and overthrowing (if only temporarily) an apparently unbeatable army and a now semi-despotic ruling power. Heroic defenses of British bases such as the Siege of Lucknow, Siege of Cawnpore and the retaking of rebel held cities as in the Siege of Delhi also passed into history.

Isolated uprisings also occurred at military posts in the centre of the subcontinent. The last major sepoy rebels surrendered on June

21, 1858, at Gwalior (Madhya Pradesh), one of the principal centres of the revolt. A final battle was fought at Sirwa Pass on May 21, 1859, and the defeated rebels fled into [Nepal](#).

Aftermath of the 1857 Rebellion and the formal initiation of the Raj

The rebellion was a major turning point in the history of modern [India](#). In May 1858, the British exiled Emperor Bahadur Shah Zafar II (r. 1837–1857) to Rangoon, [Burma](#) (now Yangon, [Myanmar](#)), after executing most of his family, thus formally liquidating the [Mughal Empire](#). Bahadur Shah Zafar, known as the Poet King, contributed some of [Urdu](#)'s most beautiful poetry^[6], with the underlying theme of the freedom struggle^[7]. The Emperor was not allowed to return and died in solitary confinement in 1862. The Emperor's three sons, also involved in the 1857 Rebellion, were arrested and shot in [Delhi](#) by Major William Stephen Raikes Hodson of the British Indian Army.

Cultural and religious centres were closed down, properties and estates of those participating in the uprising were confiscated. At the same time, the British abolished the [British East India Company](#) and replaced it with direct rule under the British Crown. In proclaiming the new direct-rule policy to “the Princes, Chiefs, and Peoples of India,” [Queen Victoria](#) (upon whom the British Parliament conferred the title “Empress of India” in 1877) promised equal treatment under British law, which never materialized.

Many existing economic and revenue policies remained virtually unchanged in the post-1857 period, but several administrative modifications were introduced, beginning with the creation in [London](#) of a cabinet post, the Secretary of State for India. The [governor-general](#) (called *viceroy* when acting as representative to the nominally sovereign “princely states” or “native states”), headquartered in [Calcutta](#), ran the administration in India, assisted

by executive and legislative councils. Beneath the governor-general were the governors of Provinces of India, who held power over the division and district officials, who formed the lower rungs of the Indian Civil Service. For decades the Indian Civil Service was the exclusive preserve of the British-born, as were the superior ranks in such other professions as law and medicine. This continued until the 1880s when a small but steadily growing number of native-born Indians, educated in British schools on the Subcontinent or in Britain, were able to assume such positions. However, a proposal by Viceroy Ripon and Courtenay Ilbert in 1883 that Indian members of the Civil Service have full rights to preside over trials involving white defendants in criminal cases sparked an ugly racist backlash. Thus an attempt to further include Indians in the system and give them a greater stake in the Raj, ironically, instead exposed the racial gap that already existed, sparking even greater Indian nationalism and reaction against British rule.



Map of the Madras Presidency, 1909

The [Viceroy](#) announced in 1858 that the government would honor former treaties with princely states and renounced the “Doctrine of Lapse,” whereby the East India Company had annexed territories

of rulers who died without male heirs. About 40 percent of Indian territory and 20–25 percent of the population remained under the control of 562 princes notable for their religious ([Islamic](#), [Hindu](#), [Sikh](#) and other) and ethnic diversity. Their propensity for pomp and ceremony became proverbial, while their domains, varying in size and wealth, lagged behind socio-political transformations that took place elsewhere in British-controlled India. A more thorough re-organization was effected in the constitution of army and government finances. Shocked by the extent of solidarity among Indian soldiers during the rebellion, the government separated the army into the three presidencies. The Indian Councils Act of 1861 restored legislative powers to the Presidencies (elite provinces), which had been given exclusively to the governor-general by the Charter Act of 1833.

British attitudes toward Indians shifted from relative openness to insularity and [racism](#), even against those with comparable background and achievement as well as loyalty. British families and their servants lived in cantonments at a distance from Indian settlements. Private clubs where the British gathered for social interaction became symbols of exclusivity and snobbery that refused to disappear decades after the British had left India. In 1883 the government of India attempted to remove race barriers in criminal jurisdictions by introducing a bill empowering Indian judges to adjudicate offences committed by Europeans. Public protests and editorials in the British press, however, forced the viceroy George Robinson, First Marquess of Ripon, (who served from 1880 to 1884), to capitulate and modify the bill drastically. The Bengali “Hindu intelligentsia” learned a valuable political lesson from this “white mutiny”: the effectiveness of well-orchestrated agitation through demonstrations in the streets and publicity in the media when seeking redress for real and imagined grievances.

Effects on economy

Some of the modernization associated with the [industrial revolution](#) did benefit India during this period. Foreign investors set up jute mills around [Calcutta](#), and Indian merchants set up [cotton textile](#) factories in Gujrat and around Bombay. However, this was accompanied by the collapse of traditional industry, which was faced with the ferocious competition of cheap British-made goods. When the British arrived to India for trading, a prosperous India accounted for more than 17 percent of the world GDP, but when the British left India in 1947, it is believed that India accounted for less than one percent of the world [Gross Domestic Product](#).

Post-1857 India also experienced a period of unprecedented calamity when the region was swept by a series of frequent and devastating famines, among the most catastrophic on record. Approximately 25 major [famines](#) spread through states such as Tamil Nadu in South India, Bihar in the north, and Bengal in the east in the latter half of the nineteenth century, killing 30–40 million Indians.

Contemporary observers of the famines such as Romesh Dutt as well as present-day scholars such as Amartya Sen attributed the famines both to uneven rainfall and British economic and administrative policies, which since 1857 had led to the seizure and conversion of local farmland to foreign-owned plantations, restrictions on internal trade, inflationary measures that increased the price of food, and substantial exports of staple crops from India to the United Kingdom [\[8\]](#)[\[9\]](#)[\[10\]](#)[\[11\]](#). On the other hand some other scholars have argued that, whilst the [famines](#) may have been exacerbated by British policy, they were primarily caused by [drought](#) and ecological factors. [\[12\]](#)[\[13\]](#)

Some British citizens such as William Digby agitated for policy reforms and better famine relief, but Robert Bulwer-Lytton, 1st Earl of Lytton, son of the poet Edward Bulwer-Lytton, 1st Baron Lytton and the governing British viceroy in India, opposed such changes

in the belief that they would stimulate shirking by Indian workers. The famines continued until independence in 1947, with the Bengal Famine of 1943–1944—among the most devastating—killing three–four million Indians during [World War II](#). Famine relief methods were inefficient as they often involved making undernourished people do heavy labor on public works. However, there were some famines (ex. 1874 and 1907) in which English officials acted effectively. During the famine of 1897–1902 the [Curzon](#) administration spent £10,000,000 (money of the day) and at its peak 4,500,000 people were on famine relief. From the 1880s onwards British administrators built a series of [irrigation](#) canals in India, much of it for the purpose of famine prevention.^[14] After 1902 there was not a single famine in India until 1943 in Bengal. ‘What the British added was above all the power of a unified an authoritarian state, which acted because it saw the danger of drought and famine to its rule.’^[15] After the major famines the British government conducted “serious investigations”^[16] into the famine. Lord Lytton’s administration was particularly negligent when it came to famine relief, with disastrous results. It was Lord Lytton’s belief that market forces would see that food got into famine stricken areas, therefore government aid would not be necessary and in fact would inhibit famine relief efforts (Niall Ferguson, *Empire* and Lady Beatty Balfour, *Lord Lytton’s Indian Administration*). As a result of the calamity of 1877 Lord Lytton lost his job but not before he established the Famine Insurance Grant. The results of this was that the British prematurely assumed that the problem of famine had been solved forever^[17]. This, sadly, proved not to be the case and the complacency that resulted from it contributed to the lack of action by the Elgin^[18]. Curzon abhorred the seeming indifference many Britons at home had towards famine in India^[19]. ‘It was the tragedy of 1876–1878 that led to the establishment of a general famine commission under Richard Strachey and the consequent adoption of a famine code’^[20] A famine code was not adopted in Bengal however, which contributed to the disaster in 1943. In order to limit the effects of famine

“Successive British governments were anxious not to add to the burden of taxation”^[21].

The twenty-first century Indian legal system, India’s governmental structure, the national capital, and the railway network (the world’s biggest employer) all remain substantially influenced by the British period. The predominance of the English language in India, has also proved to be a critical advantage for Indian tourism, call centres and [computer software](#) developers. As a direct result of former ties between the UK and India, substantial numbers of Indian nationals have been allowed to emigrate to the UK. For several decades this large community has imported Indian products to sell in the wider British market, has sent remittances home and has invested British earned capital in Indian business ventures.

Beginnings of self-government

The first steps were taken toward self-government in British India in the late 19th century with the appointment of Indian counsellors to advise the British viceroy and the establishment of provincial councils with Indian members; the British subsequently widened participation in legislative councils with the Indian Councils Act of 1892. Municipal Corporations and District Boards were created for local administration; they included elected Indian members.



Map of the Northern Bombay Presidency, 1909

The Government of India Act of 1909—also known as the Morley-Minto Reforms (John Morley was the secretary of state for India, and Gilbert Elliot, fourth earl of Minto, was viceroy)—gave Indians limited roles in the central and provincial legislatures, known as legislative councils. Indians had previously been appointed to legislative councils, but after the reforms some were elected to them. At the centre, the majority of council members continued to be government-appointed officials, and the viceroy was in no way responsible to the legislature. At the provincial level, the elected members, together with unofficial appointees, outnumbered the appointed officials, but responsibility of the governor to the legislature was not contemplated. Morley made it clear in introducing the legislation to the British Parliament that parliamentary self-government was not the goal of the British government.

The Morley-Minto Reforms were a milestone. Step by step, the elective principle was introduced for membership in Indian legislative councils. The “electorate” was limited, however, to a small group of upper-class Indians. These elected members increasingly became an “opposition” to the “official government.” Communal

electorates were later extended to other communities and made a political factor of the Indian tendency toward group identification through religion.



Muhammad Ali Jinnah is credited for uniting Muslims to form the state of [Pakistan](#).

For Muslims it was important both to gain a place in all-India politics and to retain their Muslim identity, objectives that required varying responses according to circumstances, as the example of Muhammed Ali Jinnah illustrates. Jinnah, who was born in 1876, studied law in England and began his career as an enthusiastic liberal in Congress on returning to India. In 1913 he joined the Muslim League, which had been shocked by the 1911 annulment of the partition of Bengal into cooperating with Congress to make demands on the British. Jinnah continued his membership in Congress until 1919. During this dual membership period, he was described by a leading Congress spokesperson, Mrs. [Sarojini Naidu](#), as the “ambassador of Hindu-Muslim unity.”

After World War I

A number of factors influenced the evolution of the Raj's India policy during and after [World War I](#). Before and during the war, militant movements had been on the rise, and during the war, massive efforts had been made by the Germans, along with expatriate Indian groups like Ghadar and the Berlin Committee to destabilize British India. During the war, the revolutionary movement in Bengal was significant enough to nearly paralyze the local administration. This militancy was, however, on its wane by the end of the war. Further, India's important contributions to the efforts of the [British Empire](#) in [World War I](#) stimulated further expectations and demands within India for political progress, and found response from Montagu, the newly appointed and liberal Secretary of State for India. The Congress Party and the Muslim League met in joint session in December 1916. Under the leadership of Jinnah and Pandit Motilal Nehru (father of [Jawaharlal Nehru](#)), unity was preached and a proposal for constitutional reform was made that included the concept of separate electorates. The resulting Congress-Muslim League Pact ^[22] (often referred to as the Lucknow Pact) was a sincere effort to compromise. Congress accepted the separate electorates demanded by the Muslim League, and the Muslim League joined with Congress in demanding self-government. The pact was expected to lead to permanent and constitutional united action.

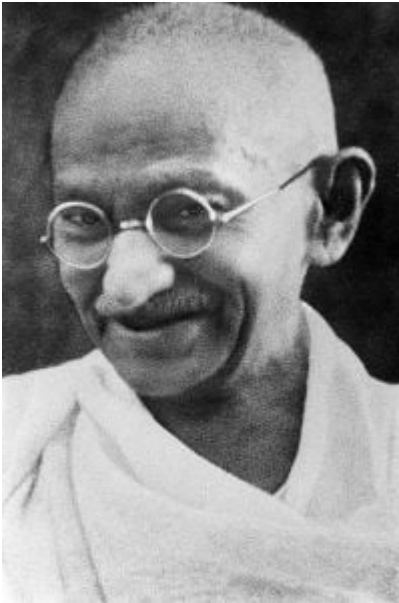


Map of the Southern Bombay Presidency, 1909

In August 1917 the British government formally announced a policy of “increasing association of Indians in every branch of the administration and the gradual development of self-governing institutions with a view to the progressive realization of responsible government in India as an integral part of the British Empire.” Constitutional reforms were embodied in the Government of India Act 1919, also known as the Montagu-Chelmsford Reforms (Edwin Samuel Montagu was the United Kingdom’s Secretary of State for India; the Viscount Chelmsford was viceroy). These reforms represented the maximum concessions the British were prepared to make at that time. The franchise was extended, and increased authority was given to central and provincial legislative councils, but the viceroy remained responsible only to London.

The changes at the provincial level were significant, as the provincial legislative councils contained a considerable majority of

elected members. In a system called “dyarchy,” based on an approach developed by Lionel Curtis, the nation-building departments of government—agriculture, education, public works, and the like—were placed under ministers who were individually responsible to the legislature. The departments that made up the “steel frame” of British rule—finance, revenue, and home affairs—were retained by executive councillors who were often (but not always) British, and who were responsible to the governor. The act indirectly increased the number of elected Indian members in district boards and municipal corporations, since the authority to regulate local government bodies was placed in the hands of the popularly elected ministers, whose constituents naturally wanted more democracy. Later, tariff protection was finally given to Indian industry.



[Mahatma Gandhi](#) is largely credited for uniting Indians

using [passive resistance](#) in their political struggle for [independence](#) from British rule.

The 1919 reforms did not satisfy political demands in India. The presence of Indian nationalists in Afghanistan and the remnants of the terrorist movements in Punjab and Bengal (which, unrealized by the Raj, was declining), along with popular unrest in the midst of economic depression in the post-war scenario (including strikes by mill workers in Bombay and similar labor unrests in the rest of the country) necessitated the institution of the Rowlatt Commission to investigate the German and [Bolshevik](#) links to these unrests, especially in Punjab and Bengal. British repressed opposition and re-enacted restrictions on the press and on movement. An apparently unwitting example of violation of rules against the gathering of people led to the massacre at Jalianwala Bagh in Amritsar in April 1919. This tragedy galvanized such political leaders as [Jawaharlal Nehru](#) (1889 – 1964) and [Mohandas Karamchand “Mahatma” Gandhi](#) (1869 – 1948) and the masses who followed them to press for further action.

The [Allies’](#) post-World War I peace settlement with [Turkey](#) provided an additional stimulus to the grievances of the Muslims, who feared that one goal of the Allies was to end the [caliphate](#) of the [Ottoman](#) sultan. After the end of the [Mughal Empire](#), the Ottoman caliph had become the symbol of Islamic authority and unity to [Muslims](#) in the British Raj. A pan-Islamic movement, known as the Khilafat Movement, spread in India. It was a mass repudiation of Muslim loyalty to British rule and thus legitimated Muslim participation in the Indian nationalist movement. The leaders of the Khilafat Movement used Islamic symbols to unite the diverse but assertive Muslim community on an all-India basis and bargain with both Congress leaders and the British for recognition of minority rights and political concessions.

Muslim leaders from the Deoband and Aligarh movements joined Gandhi in mobilizing the masses for the 1920 and 1921 demonstrations of [civil disobedience](#) and non-cooperation in

response to the massacre at Amritsar. At the same time, Gandhi endorsed the Khilafat Movement, thereby placing many Hindus behind what had been solely a Muslim demand.

Despite impressive achievements, however, the Khilafat Movement failed. [Turkey](#) rejected the caliphate and became a secular state. Furthermore, the religious, mass-based aspects of the movement alienated such Western-oriented constitutional politicians as Jinnah, who resigned from Congress. The movement was given a final blow when the Amir of [Afghanistan](#) closed off its borders and many of the participants of the Khilafat movement perished due to lack of food and exposure to the elements. Other Muslims also were uncomfortable with Gandhi's leadership. The British historian **Sir Percival Spear** wrote that: *"a mass appeal in his [Gandhi](#)'s hands could not be other than a Hindu one. He could transcend [Hindu caste](#) but not community. The [Hindu](#) devices he used went sour in the mouths of Muslims"*. In the final analysis, the movement failed to lay a lasting foundation of Indian unity and served only to aggravate Hindu-Muslim differences among masses that were being politicized. Indeed, as India moved closer to the self-government implied in the Montagu-Chelmsford Reforms, rivalry over what might be called the spoils of independence sharpened the differences between the communities.

World War II and the end of the Raj



Map of the [Hyderabad State](#), 1909

By 1942, Indians were divided over [World War II](#), as the British had unilaterally and without consultation entered India into the war. Some wanted to support the British during the [Battle of Britain](#), believing the UK would keep its word of granting India independence once the war was won. Others were enraged by a believed British disregard for Indian intelligence and civil rights, and were unsympathetic to the travails of the British people. The British Indian army, with a strength of 2,250,000 by the end of the war, came to be the largest all-volunteer army in the history of the world. However, even during the war, in July 1942, the [Indian National Congress](#) had passed a resolution demanding complete independence from [Britain](#). The draft proposed that if the British did not accede to the demands, massive [civil disobedience](#) would be launched. In August 1942 the **Quit India Resolution** was passed at the [Bombay](#) session of the All India Congress Committee (AICC) marking the start of what was the [Quit India Movement](#). The movement was to see massive, and initially peaceful demonstrations and denial of authority, undermining the British War effort. Large-

scale protests and demonstrations were held all over the country. Workers remained absent en masse and strikes were called. The movement also saw widespread acts of [sabotage](#), Indian underground organization carried out bomb attacks on allied supply convoys, government buildings were set on fire, electricity lines were disconnected and transport and communication lines were severed.

The movement soon became a leaderless act of defiance, with a number of acts that deviated from Gandhi's principle of non-violence. In large parts of the country, the local underground organizations took over the movement. However, by 1943, *Quit India* had petered out.

However, at the time the war was at its bloodiest in Europe and Asia, the Indian revolutionary [Subhash Chandra Bose](#) had escaped from house arrest in Calcutta and ultimately made his way to [Germany](#), and then to Japanese South Asia, to seek [Axis](#) help to raise an army to fight against the [British](#) control over India. Bose formed what came to be known as the Azad Hind Government as the Provisional Free Indian Government in exile, and organized the **Indian National Army** with Indian [POWs](#) and Indian expatriates in [Southeast Asia](#) with the help of the [Japanese](#). Its aim was to reach India as a fighting force that would inspire public resentment and revolts within the Indian soldiers to defeat the Raj. The INA fought hard in the forests of Assam, Bengal and [Burma](#), laying siege to Imphal and Kohima with the Japanese 15th Army. It would ultimately fail, owing to disrupted logistics, poor arms and supplies from the Japanese, and lack of support and training. However, Bose's audacious actions and radical initiative energized a new generation of Indians.



Map of the Baroda State, 1909

Many historians have argued that it was the INA and the mutinies it inspired among the British Indian Armed forces that was the true driving force for India's independence [\[23\]](#)[\[24\]](#) [\[25\]](#). The stories of the Azad Hind movement and its army that came to public attention during the trials of soldiers of the INA in 1945, were seen as so inflammatory that, fearing mass revolts and uprisings—not just in India, but across its empire—the British Government forbade the [BBC](#) to broadcast their story [\[26\]](#). Newspapers reported at the time a summary execution of INA soldiers held at Red Fort [\[27\]](#). During and after the trial, mutinies broke out in the British Indian Army, most notably in the Royal Indian Navy; these found public support throughout [India](#), from [Karachi](#) to [Bombay](#) and from Vizag to [Calcutta](#).

These revolts, faced by the weakened post-war Raj, coupled with the fact that the faith in the British Indian Armed forces had been lost, ultimately shaped the decision to end the Raj. By early 1946, all political prisoners had been released. British openly adopted a political dialogue with the Indian National Congress for the eventual independence of India. On 15 August 1947 the transfer of Power took

place. At midnight on 14 August 1947 Pakistan (including modern Bangladesh) was granted independence. India was granted independence the following day.

Most people would give these dates as the end of the British Raj. However, some people argue that it continued until 1950 in India when it adopted a republican Constitution.

Literature

The Raj produced, and continues to inspire, a genre of literature in which the writing of [Rudyard Kipling](#), [E. M. Forster](#), John Masters and Paul Scott among others features prominently. Kipling more or less subscribed to the dominant attitude of superiority with his concept of the ‘white man’s burden,’ other writers including Forster in *A Passage to India* exposed the hypocrisy and mean spiritedness of colonial rule. Such literature, together with the non-fiction work of Charles Allen, reveals the views and habits that the British developed in India, their preoccupation with precedence, their attitude towards servants especially and Indians generally and their attempt to replicate a British life-style in a very different environment. Usually, the British lived in isolation from Indian society. Marriage between British “other ranks” and Indians, though, did occur, producing the Anglo-Indian community. This is explored by Masters in his *Bhowani Junction*, and other works.

Assessment

Initially, many involved in the enterprise had a high regard for Indian [culture](#) and thought in terms of a partnership between Britain and India. Following the so-called Mutiny, attitudes changed. The British adopted more racially motivated attitudes, regarding

Indians as incapable of self-government and their culture as inferior, if fascinating. Education in the medium of English, and Western curricula, was supported by the Government. Education aimed to produce a class of Indians named Macauley's "minute men" (following [Thomas Babington Macauley](#)'s *Minute on Indian Education* given February 2, 1835^[28]) who, apart from their skin-color, would be English in taste, attitude and loyalty.

A moral rationale was developed to justify colonial rule based on the view that Britain's responsibilities were those of a parent towards an immature child. Regular reports were presented to Parliament on the social and economic progress of India but some blame the more frequent [famines](#) that occurred on aspects of British policy, and suggest that the British response to these episodes also undermined their claim to occupy the moral high ground, as depicted in [Rudyard Kipling](#)'s *White Man's Burden*.^[29]

Provinces

At the time of independence, British India consisted of the following provinces:

- Ajmer-Merwara-Kekri
- Andaman and Nicobar Islands
- Assam
- Baluchistan
- Bengal
- Bihar
- Bombay Province – [Bombay](#)
- Central Provinces and Berar
- Delhi Province – [Delhi](#)
- Madras Province – Madras
- North-West Frontier Province
- Panth-Piploda

- Orissa
- Punjab
- Sindh
- United Provinces (Agra and Oudh)

Eleven provinces (Assam, Bengal, Bihar, Bombay, Central Provinces, Madras, North-West Frontier, Orissa, Punjab, and Sindh) were headed by a governor. The remaining six (Ajmer Merwara, Andaman and Nicobar Islands, Baluchistan, Coorg, Delhi, and Panth-Piploda) were governed by a chief commissioner.

There were also several hundred Princely States, under British protection but ruled by native rulers. Among the most notable of these were Jaipur, Gwalior, [Hyderabad](#), [Mysore](#), Travancore and [Jammu and Kashmir](#).

54. War in India: Indian Rebellion of 1857

Indian Railways (Hindi भारतीय रेल), abbreviated as **IR**, refers to a Department of the Government of India, under the Ministry of Railways, tasked with operating the rail network in [India](#). A cabinet rank Railways Minister heads the Ministry, while the Railway Board manages the Department. Although a government agency, Indian Railways, of late, has been trying to adopt a corporate management style.

Indian Railways, a state monopoly on India's rail transport, constitutes one of the largest and busiest rail networks in the world, transporting six billion passengers a year. The railways traverse the length and breadth of the country. IR is the world's second largest commercial or utility employer, with more than 1.36 million employees.

The British first introduced railways to India in 1853. By 1947, the year of India's independence, forty-two rail systems crossed the country. In 1951 the government nationalized the system as one unit, becoming one of the largest networks in the world. Indian Railways operates both long distance and suburban rail systems. Although Britain established the Indian railways in the 1850s as a way of exploiting Indian natural resources to fuel the Industrial Revolution in Great Britain, the railways have played a key role in the modernization and democratization of India since independence in 1947.

History

One of the earliest pictures of railways in India

The British first put a plan for a rail system in India forward first in 1832, but a decade passed without action. In 1844, the [Governor-General of India](#) Lord Hardinge allowed private [entrepreneurs](#) to set up a rail system in India, creating two new railway companies; they asked the [East India Company](#) to assist them. Interest from investors in the [UK](#) led to the rapid creation of a rail system over the next few years. The first train in India became operational on 1851-12-22, used for hauling construction material in Roorkee. A year and a half later, on 1853-04-16, the first passenger train service began between Bori Bunder, [Bombay](#) and Thana. Three locomotives, Sahib, Sindh and Sultan covering the distance of 34 km (21 miles), giving birth of railways in India.

The British government encouraged new railway companies backed by private investors under a scheme that would guarantee an annual return of five percent during the initial years of operation. Once established, the company would be transferred to the government, with the original company retaining operational control. The route mileage of this network totaled about 14,500 km (9,000 miles) by 1880, mostly radiating inward from the three major port cities of Bombay, Madras and [Calcutta](#). By 1895, India had started building its own locomotives, and in 1896 sent engineers and locomotives to help build the Uganda Railway.

Soon various independent kingdoms built their own rail systems and the network spread to the regions that became the modern-day states of Assam, Rajasthan and [Andhra Pradesh](#). A Railway Board constituted in 1901, but the Viceroy, Lord Curzon retained decision-making power. The Railway Board operated under aegis of the Department of Commerce and Industry and had three members: a government railway official serving as chairman, a railway manager from England and an agent of one of the company railways. For the first time in its history, the railways began to make a tidy profit. In 1907, the government took over almost all the rail companies.

The following year, the first electric locomotive appeared. With

the arrival of the [First World War](#), the railways served the needs of the British outside India. By the end of the First World War, the railways had suffered immensely and falling into a poor state. The government took over the management of the Railways and removed the link between the financing of the Railways and other governmental revenues in 1920, a practice that continues to date with a separate railway budget.

The [Second World War](#) severely crippled the railways as the British diverted trains to the Middle East, and converted the railway workshops into munitions workshops. At the time of independence in 1947, a large portion of the railways passed to the then newly-formed [Pakistan](#). A total of 42 separate railway systems, including 32 lines owned by the former Indian princely states, amalgamated as a single unit, christened as the *Indian Railways*.

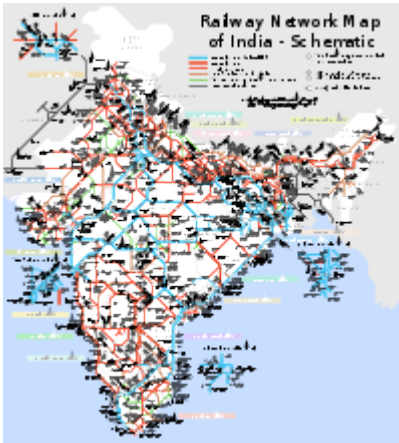
Did you know?

Indian Railways constitutes one of the largest and busiest rail networks in the world, transporting transporting six billion passengers a year

The newly-seated India government abandoned the existing rail networks in favor of zones in 1951 and a total of six zones came into being in 1952. As the economy of India improved, almost all railway production units indigenized. By 1985, steam locomotives phased out in favor of diesel and electric locomotives. The entire railway reservation system was streamlined with [computerization](#) in 1995.

In the twenty-first century Indian Railways constitutes one of the largest and busiest rail networks in the world, transporting transporting six billion passengers a year.^[4] IR has 114,500 kilometers (71,147 mi) of total track over a route of 65,000 kilometers (40,389 mi) and 7,500 stations.^[3] The railways traverse the length and breadth of the country and carry over 30 million passengers and 2.8 million tons of freight daily.^[3] It is the world's second largest commercial or utility employer, with more than 1.36 million employees.^[3] As for rolling stock, IR owns over 240,000 (freight) wagons, 60,000 coaches and 9,000 locomotives.^[3]

Railway zones



A schematic map of the Indian Railway network

For administrative purposes, Indian Railways divides into sixteen zones.

No.	Name	Abbr.	Headquarters	Date established
1.	Northern Railway	NR	Delhi	April 14, 1952
2.	North Eastern Railway	NER	Gorakhpur	1952
3.	Northeast Frontier Railway	NFR	Maligaon(Guwahati)	1958
4.	Eastern Railway	ER	Kolkata	April, 1952
5.	South Eastern Railway	SER	Kolkata	1955,
6.	South Central Railway	SCR	Secunderabad	October 2, 1966
7.	Southern Railway	SR	Chennai	April 14, 1951
8.	Central Railway	CR	Mumbai	November 5, 1951
9.	Western Railway	WR	Mumbai	November 5, 1951
10.	South Western Railway	SWR	Hubli	April 1, 2003
11.	North Western Railway	NWR	Jaipur	October 1, 2002
12.	West Central Railway	WCR	Jabalpur	April 1, 2003
13.	North Central Railway	NCR	Allahabad	April 1, 2003
14.	South East Central Railway	SECR	Bilaspur, CG	April 1, 2003
15.	East Coast Railway	ECoR	Bhubaneswar	April 1, 2003
16.	East Central Railway	ECR	Hajipur	October 1, 2002
17.	Konkan Railway†	KR	Navi Mumbai	January 26, 1998

†Konkan Railway (KR) operates as a separately incorporated railway, with its headquarters at Belapur CBD (Navi Mumbai), operating under the control of the Railway Ministry and the Railway Board.

Indian Railways owns and operates the Calcutta Metro, but not a part of any of the zones. Administratively, the railway has the status of a zonal railway. A certain number of divisions make up each zonal

railway, each having a divisional headquarters and a total of sixty-seven divisions.



A better schematic Map of Indian Railway Network

Zonal Railway	Divisions
Northern Railway	Delhi , Ambala, Firozpur, Lucknow, Moradabad
North Eastern Railway	Izzatnagar, Lucknow, Varanasi
Northeast Frontier Railway	Alipurduar, Katihar, Lumding, Rangia, Tinsukia
Eastern Railway	Howrah, Sealdah, Asansol, Malda
South Eastern Railway	Adra, Chakradharpur, Kharagpur, Ranchi
South Central Railway	Secunderabad, Hyderabad, Guntakal, Guntur, Nanded, Vijayawada
Southern Railway	Chennai , Madurai, Palghat, Tiruchchirapalli, Trivandrum, Salem
Central Railway	Mumbai , Bhusawal, Pune, Solapur, Nagpur
Western Railway	Mumbai Central, Baroda, Ratlam, Ahmedabad , Rajkot, Bhavnagar
South Western Railway	Hubli, Bangalore , Mysore
North Western Railway	Jaipur, Ajmer , Bikaner, Jodhpur
West Central Railway	Jabalpur, Bhopal, Kota
North Central Railway	Allahabad , Agra, Jhansi
South East Central Railway	Bilaspur, Raipur, Nagpur
East Coast Railway	Khurda Road, Sambalpur, Visakhapatnam
East Central Railway	Danapur, Dhanbad, Mughalsarai, Samastipur, Sonpur

Passenger services



A long-distance express train

Indian Railways operates 8,702 passenger trains and transports 15 million daily across 25 states and three union territories (Delhi, Puducherry (formerly Pondicherry) and Chandigarh). [Sikkim](#), Arunachal Pradesh and Meghalaya are the only states not connected.

The passenger division rates as the most preferred form of long distance transport in most of the country.

A standard passenger train consists of 18 coaches, but some popular trains can have up to 24 coaches. Coaches have been designed to accommodate between 18 to 72 passengers, but may actually accommodate many more during the holiday seasons and on busy routes. The railways use vestibule coaches, with some of those dummied on some trains for operational reasons. Freight trains use a large variety of wagons.

Each coach has different accommodation class; the most popular being the sleeper class, with typically up to nine of those type coaches coupled. A standard train may have between three and five air-conditioned coaches. Online passenger ticketing, introduced in 2004, may top 100,000 per day by 2008, while ATMs in many

stations will be equipped to dispense long-distance tickets by the end of 2007. The management has slated ATMs for installation on board select trains as well.

Production Services



A WAP5 locomotive

The Indian Railways manufactures a lot of its rolling stock and heavy engineering components, largely for economic reasons, as important rail technology comes at a high price. The general state of the national engineering industry as matured over the past century and a half.

The ministry directly manages Production Units, the manufacturing plants of the Indian Railways. The General Managers of the PUs report to the Railway Board. The Production Units are:

- Central Organization For Railway Electrification, [Allahabad](#)
- Chittaranjan Locomotive Works, Chittaranjan
- Diesel Locomotive Works, [Varanasi](#)
- Diesel Locomotive Works, Ponmalaipatty, Tiruchirapalli
- Diesel-Loco Modernisation Works, Patiala
- Integral Coach Factory, [Chennai](#)
- Rail Coach Factory, Kapurthala
- Rail Wheel Factory, [Bangalore](#)

- Rail Spring Karkhana, Gwalior
- Bharat Earth Movers Limited, [Bangalore](#)

BEML, although independent of the railways, manufactures coaches for IR, Metro coaches for DMRC, and cars for Bangalore Metro.

Suburban rail



The New Delhi Metro railway

Many cities have their own dedicated suburban networks to cater to commuters. Currently, suburban networks operate in [Mumbai](#) (Bombay), [Chennai](#) (Madras), [Kolkata](#) (Calcutta), [Delhi](#), Hyderabad and Pune. Hyderabad, and Pune lack dedicated suburban tracks but share the tracks with long distance trains. New Delhi, Chennai and Kolkata have their own metro networks, namely the New Delhi Metro, the Chennai MRTS- Mass Rapid Transport System, same as other local EMU suburban service as in Mumbai and Kolkata etc., but with dedicated tracks mostly laid on a flyover and the Kolkata Metro, respectively.

Usually electric multiple units Suburban trains handle commuter traffic. They usually have nine coaches or sometimes twelve to handle rush hour traffic (Hyderabad MMTS; abbreviation for Multi Modal Transport System has mostly six coach train with a single

nine coach one). One unit of an EMU train consists of one power car and two general coaches. Thus three units having one power car at each end and one at the middle comprise a nine coach EMU. The rakes in [Mumbai](#) run on direct current, while those elsewhere use alternating current ([\[1\]](#)). A standard coach accommodates ninety six seated passengers, but the actual number of passengers can easily double or triple with standees during rush hour. The Kolkata metro has the administrative status of a zonal railway, though in another class from the seventeen railway zones.

The Suburban trains in [Mumbai](#) handle more rush then any other suburban network in India. The network has three lines viz, western, central and harbour. Considered the lifeline on Mumbaia Central Lines, the trains start from Chhatrapati Shivaji Terminus (CST) (Formerly Victoria Terminus or VT), running for more than 100 km till Kasara and Western Line. Starting from Churchgate, they run again for more than 100 km till Dahanu Road. Combined, that makes for the longest suburban rail in the world, as well as the busiest suburban network in the world, carrying more than five million passengers each day. On July 11, 2006 terrorists set off six bombs on those trains, targeting the general public.

Freight



A single line rail bridge



The Darjeeling Himalayan Railway is a [World Heritage Site](#), and one of the few places where steam engines are still in operation in India.



A Beyer Garrett 6594 Engine seen at the National Rail Museum

IR carries a huge variety of goods ranging from mineral ores, fertilizers and petrochemicals, agricultural produce, iron & steel, multimodal traffic and others. Ports and major urban areas have their own dedicated freight lines and yards. Many important freight stops have dedicated platforms and independent lines.

Indian Railways makes 70 percent of its revenues, and most of its profits, from the freight sector, using these profits to cross-subsidise the loss-making passenger sector. Competition from trucks which offer cheaper rates has seen a decrease in freight traffic in recent years. Since the 1990s, Indian Railways has switched from small consignments to larger container movement which has helped speed up its operations. Most of its freight earnings come from such rakes carrying bulk goods such as [coal](#), cement, food grains and [iron](#) ore.

Indian Railways also transports vehicles over long distances. Trains haul back trucks that carry goods to a particular location, saving the trucking company fuel expenses. Refrigerated vans run in many areas. The “Green Van” refers to a special type used to transport fresh food and vegetables. Recently Indian Railways introduced the special ‘Container Rajdhani’ or CONRAJ, for high priority freight. The highest speed notched up for a freight train clocked at 100 km/h (62 mph) for a 4,700 metric ton load.

Recent changes have sought to boost the earnings from freight. The government introduced a privatization scheme recently to improve the performance of freight trains by allowing companies

to run their own container trains. The first length of an 11,000 km freight corridor linking India's biggest cities has recently been approved. The railways has increased load limits for the system's 220,000 freight wagons by 11 percent, legalizing a standard practice. Due to increase in manufacturing transport in India augmented by the rising cost of fuel, transportation by rail has become advantageous financially. New measures such as speeding up the turnaround times have added some 24 percent to freight revenues.

Notable trains and achievements

The Darjeeling Himalayan Railway, a narrow gauge railway that still regularly uses steam as well as diesel locomotives received [UNESCO World Heritage Site](#) classification. The route started earlier at Siliguri and now at New Jalpaiguri in the plains in West Bengal and traverses tea gardens en route to [Darjeeling](#), a hill station at an elevation of 2,134 metres (7,000 ft). Ghum represents the highest station in this route. The Nilgiri Mountain Railway, in the Nilgiri Hills in southern India, the only rack railway in India, also received UNESCO World Heritage Site recognition.^[5] The Chatrapati Shivaji Terminus (formerly Victoria Terminus) railway station in [Mumbai](#), operated by Indian Railways, also received World Heritage Site recognition.

The *Palace on Wheels* is a steam locomotive frequently hauling a train specially designed for promoting tourism in Rajasthan. The Maharashtra government tried to introduce the *Deccan Odyssey* along the Konkan route, but proved less successful than the *Palace on Wheels*. The *Samjhauta Express* runs between India and [Pakistan](#). Hostilities between the two nations in 2001 forced the closing of the line, reopening when the hostilities subsided in 2004. The *Thar Express*, connecting Khokhrapar (Pakistan) and Munabao (India) restarted operations on February 18, 2006, closing after the 1965 Indo-Pak war. The Kalka Shimla Railway until recently held the

Guinness Book of World Records for offering the steepest rise in altitude in the space of 96 kilometres.^[6]

The *Lifeline Express*, a special train popularly known as the “Hospital-on-Wheels,” provides healthcare to the rural areas. That train has a carriage that serves as an operating room, a second one serving as a storeroom and an additional two that serve as a patient ward. The train travels around the country, staying at a location for about two months before moving elsewhere.

Among the famous locomotives, the *Fairy Queen* constitutes the oldest running locomotive on the mainline (though only for specials) in the world today, though the distinction of the oldest surviving locomotive that has recently seen service belongs to *John Bull*. Kharagpur railway station also has the distinction of being the world’s longest railway platform at 1072 m (3,517 ft). The Ghum station along the Darjeeling Toy Train route rates as the second highest railway station in the world reached by a steam locomotive.^[7] Indian Railways operates 7,566 locomotives; 37,840 Coaching vehicles and 222,147 freight wagons, operates a total of 6,853 stations, 300 yards, 2,300 goods-sheds, 700 repair shops and a total workforce of 1.54 million.^[8]

Ib wins the title for shortest named station, while Sri Venkatanarasimharajuvaripeta has the longest name. The *Himsagar Express*, between Kanyakumari and Jammu Tawi, has the longest run in terms of distance and time on Indian Railways network, covering 3,745 km (2,327 miles) in about 74 hours and 55 minutes. The *Trivandrum Rajdhani*, between Delhi’s Nizamuddin Station and Trivandrum, travels non-stop between Vadodara and Kota, covering a distance of 528 km (328 miles) in about 6.5 hours, and has the longest continuous run on Indian Railways today. The *Bhopal Shatabdi Express*, the fastest train in India today, clocks a maximum speed of 140 km/h (87 mph) on the Faridabad-Agra section. 184 km/h (114 mph) in 2000 during test runs represents the fastest speed attained by any train, a speed much lower than fast trains in other parts of the world. The low top speed in India may come from the existing tracks designed for lower speeds.

Organizational structure

The headquarters of the Indian Railways in [Delhi](#)

Indian Railways is a department of the Government, being owned and controlled by the Government of India, via the Ministry of Railways rather than a private company. As of May 2011, the Railway Ministry is headed by Dinesh Trivedi, the Union Minister for Railways, and assisted by two ministers of State for Railways. Indian Railways is administered by the Railway Board, which has a financial commissioner, five members, and a chairman.^[9]

General Manager (GM), who reports directly to the Railway Board, heads each of the sixteen zones. The zones further divide into divisions under the control of Divisional Railway Managers (DRM). The divisional officers of engineering, mechanical, electrical, signal & telecommunication, accounts, personnel, operating, commercial and safety branches report to the respective Divisional Manager, responsible for the operation and maintenance of assets. The Station Masters, who control individual stations and the train movement through the track territory under their stations' administration, stand further down the administrative ladder. In addition to the zones, a General Manager (GM), who also reports directly to the Railway Board, heads the six production units (PUs). In addition to that, a General Manager also heads the Central Organisation for Railway Electrification (CORE), Metro Railway, Calcutta and construction organisation of N F Railway. CORE maintains headquarter offices in Allahabad. Thag organisation undertakes electrification projects of Indian Railway and monitors the progress of various electrification projects all over the country.

Apart from these zones and production units, the ministry of railways maintains the administrative control of a number of Public Sector Undertakings (PSU). Those PSU units are:

1. Dedicated Freight Corridor Corporation of India
2. Indian Railways Catering and Tourism Corporation
3. Konkan Railway Corporation
4. Indian Railway Finance Corporation
5. Mumbai Rail Vikas Corporation
6. Railtel Corporation of India – Telecommunication Networks
7. RITES Ltd. – Consulting Division of Indian Railways
8. IRCON International Ltd. – Construction Division
9. Rail Vikas Nigam Limited
10. Container Corporation Limited

Centre for Railway Information Systems signifies an autonomous society under Railway Board, responsible for developing the major software required by Indian Railways for its operations.

Rail budget and finances



A sample ticket; fares on the network are among the cheapest in the world.

The Railway Budget deals with the induction and improvement of existing trains and routes, the modernization and most importantly the tariff for freight and passenger travel. The Parliament discusses the policies and allocations proposed in the budget. A simple majority in the Lok Sabha (India's Lower House) passes the budget. The comments of the Rajya Sabha (Upper House) have non-binding

status. Indian Railways undergo the same audit control as other government revenue and expenditures. Based on the anticipated traffic and the projected tariff, the management predict the level of resources required for railway's capital and revenue expenditure. While the railways meet entirely the revenue expenditure, borrowings (raised by Indian Railway Finance Corporation) and the rest from Budgetary support from the Central Government partly meet the shortfall in the capital (plan) expenditure. Indian Railways pays dividend to the Central Government for the capital invested by the Central Government.

As per the Separation Convention (on the recommendations of the Acworth Committee), 1924, the Union Railway Minister presents the Railway Budget to the Parliament two days prior to the General Budget, usually around 26 February. Though the management separately presents the Railway Budget to the Parliament, the figures relating to the receipt and expenditure of the Railways appear in the General Budget, since they figure into the total receipts and expenditure of the Government of India. That document serves as a balance sheet of operations of the Railways during the previous year and lists out plans for expansion for the current year.

A 'Rail Over Bridge' under construction in Guntur Division.

Railway Board comprising the Chairman, Financial Commissioner and other functional Members for Traffic, Engineering, Mechanical, Electrical and Staff matters form a policy and maintain overall control of the railways. As per the 2006 budget, Indian Railways earned Rs. 54,600 crores^[10] (Rs. 546,000 million or US\$12,300 million). Freight earnings increased by 10 percent from Rs. 30,450 cr (US\$7,000 million) in the previous year. Passenger earnings, other coaching earnings and sundry other earnings increased by 7 percent, 19 percent and 56 percent, respectively, over previous year.

Its year end fund balance has a projection of Rs. 11,280 cr (2.54 billion US\$).^[11]

Around 20 percent of the passenger revenue derives from the upper class segments of the passenger segment (the air-conditioned classes). The overall passenger traffic grew 7.5 percent in the previous year. In the first two months of India's fiscal year 2005–2006 (April and May), the Railways registered a 10 percent growth in passenger traffic, and a 12 percent in passenger earnings.^[12]

Competition from low cost airlines, which recently made its début in India, raised a new concern faced by Indian Railways. In a cost-cutting move, the Railways plans to minimize unwanted cessations, and scrap unpopular routes.

Current problems



Level crossings like these usually see a high accident rate

Indian railways suffers from deteriorating finances and lack the

funds for future investment. Last year, India spent \$28 billion, or 3.6 percent of GDP, on infrastructure. The high accident rate, standing at about three hundred^[13] a year, constitutes the main problem plaguing the Railways. Although accidents such as derailment and collisions occur rarely in recent times, trains run over many people, especially in crowded areas. Indian Railways have accepted, given the size of operations, eliminating all accidents constitutes an unrealistic goal, and at best they can only minimize the accident rate. Human error represents the primary cause (83 percent)^[14] blamed for mishaps. The Konkan Railway route suffers from landslides in the [monsoon](#) season, which has caused fatal accidents in the recent past.

The antiquated communication, safety and signaling equipment contributed to the Railways' problems. An automated signaling system to prevent crashes represents one area of upgrading badly required. A number of train accidents happened due to a manual system of signals between stations. The changeover to a new system would require a substantial investment, although management recognize the importance of upgrades, given the gradual increase in train speeds and lengths. In the latest instances of signaling control by means of interlinked stations (e.g., [Chennai](#) – Washermanpet), failure-detection circuits exist for each track circuit and signal circuit with notification to the signal control centres in case of problems.^[15] That currently serves only a very small subset of the total Railways.

Aging colonial-era [bridges](#) and century-old tracks also require regular maintenance and upgrading. In recent years Indian Railways has claimed that it has achieved a financial turnaround, with (unaudited) operating profits expected to improve by 83.7 percent.^[16] Credit for that achievement has been claimed by current Indian Railway Minister, Mr Lalu Prasad Yadav who claims to have brought a significant improvement in operating efficiency of goods traffic after he took over as Railway Minister in May 2004.^[17]

The Rajdhani Express and Shatabadi Express represent the fastest and most luxurious trains of Indian Railways, though they face

increasing pressure from air travel, as the trains travel only 80 km per hour (c.f. Fastest trains in India) and they offer uncompetitive food and service.^[18] To modernize Indian Rail, and to bring it at par with the developed world, would require a massive investment of about US\$100 billion.^[19]

Sixth Pay Commission has been constituted in India to review the pay structure of the Government employees with recommendations expected by the end of 2008. Based on its recommendations, the government expects to revise the salaries of all Railways officers and staff with retrospective effect (w.e.f. January 01, 2006). If previous Pay Commissions serve as an indicator, then the revision will hit 50 percent upwards, possibly hitting Railways bottomlines severely, thus mitigate all the good work of the Railways.

Sanitation and the use of modern technology in that area has been a problem, but starting in 2007 chemically-treated “green toilets,” developed by IIT Kanpur, will be introduced throughout the system, trains and stations alike. Railroad officials expect that makeover to take three years and cost billions.

Plans to upgrade stations, coaches, security, and services proceed on schedule.^[20] Twenty-two of the largest stations will receive an overhaul when a private company wins the bid for the job. The new LHB German coaches, manufactured in India, have been scheduled for introduction in 2007 on the daily run of the prestigious East Central Railway (ECR) Patna-New Delhi Rajdhani Express. Those coaches will enhance the safety and riding comfort of passengers, and in time will eventually replace thousands of old model coaches throughout Indian Railways. Three new manufacturing units will be set up to produce state-of-the-art locomotives and coaches. Channel music, TV screens showing the latest films, and optional menus from five-star hotels will inaugurate soon on the Rajdhani and Shatabdi Express. Base kitchens and food services across the system have been slated for a makeover, while ATMs will be introduced on select trains as well. More importantly, a whole new IT management infrastructure will be developed to better handle ticketing, freight, rolling stock (wagons), terminals, and rail traffic,

including the use of Global Positioning System (GPS) for train tracking in real time.

55. British Raj

“Detriments you call us? Detriments? Well I want to remind you that it was detriments like us that built this bloody Empire and the Izzat of the bloody Raj. Hats on!”

—**Peachy Carnehan**, [*The Man Who Would Be King*](#)

The British Indian Empire (1858-1947), known colloquially as the **British Raj** (‘Raj’ is Hindi/Urdu for “reign”), was what resulted from the most important nationalisation of any corporation ever. After a rather messy rebellion among [the British East India Company’s Indian mercenaries](#) (Sepoys) in 1857 that saw at least a few thousand mercenaries and ex-mercenaries dead, as well as a couple of hundred British citizens, Parliament passed an act which nationalised the company on the grounds that there is no way in hell a corporation could be trusted to govern a hundred million people responsibly and ethically and why didn’t we do this sooner? Rather conveniently, the last Emperor of the Mughal Empire had been touted as a figurehead-leader by the rebellious mercenaries and so he’d been exiled to Rangoon by The Company. This left the official position of ‘Emperor Of [India](#)’ vacant, though the [Mughal ‘Empire’](#) hadn’t actually been a major power for a hundred years by that point.

Even though the Kings of Great Britain would also be The Emperor Of India from that point on, the name of the new territories was somewhat misleading because the British East India company had only controlled about half of India’s land and population. While the proportions of both under their direct control increased over time, it never exceeded two-thirds of either. The remainder of the continent continued to be ruled by several hundred largely autonomous Princely States that were under the suzerainty of the British Crown – the whole thing was a patchwork-Empire reminiscent of, say, 16th-century ‘Austria’ or ‘Spain’ or ‘France’. Even so, India was indisputably “The Jewel in the Crown of

the British Empire” as it was the *only* part of it (settler societies like Canada aside) that didn’t run at a (massive) loss.

Unfortunately for them, they had not counted on the great efforts of a bald lawyer named [Mohandas Karamchand Gandhi](#). In 1947, exhausted from [World War II](#) and under great pressure from the Indians and facing bankruptcy in trying to keep a lid on the increasing tension, England left India on August 15th, 1947.

However, there was a problem. The British East India Company and The Raj after them had done their best to leave Indian society totally unchanged, merely substituting their bureaucrats into the positions of Viscount or Duke or King or whoever was supposed to rule a certain area. Worse still, there were still a whopping *five hundred and sixty five* [Princely States](#) when the British left a year early (because they were too broke to stick to the schedule after spending every penny they got during WWII) in 1947. The ensuing process of state-building was very, very difficult because they were trying to reform what were effectively pre-modern, largely 18th- and 19th-century bureaucracies into a working modern state. The territory was eventually [integrated by a mix of diplomatic and military means](#), taking nearly two decades to come under central rule. And that’s not even going into the biggest problem—religion. A majority of Indians were Hindu, but there was a large Muslim minority that formed majorities in certain regions—particularly in the northwest, with a bit in East Bengal, as well as Sikh, Jain, Buddhist, and Christian minorities (of which the Sikhs and Christians formed majorities in parts of Punjab and in parts of the north-east, respectively).

Gandhi and Nehru were ambivalent at best about cooperation with the British war effort in [World War II](#)—with Gandhi, [Actual Pacifist](#) that he was, advocating resistance. On the other hand, Muhammad Ali Jinnah persuaded the Muslim community to fully back the war effort. This last gave some traction to the idea of a separate Indian Muslim state upon independence—before the war, most Muslims were indifferent or hostile to the idea of a separate state. But with the burden of the war appearing to fall

disproportionately on Muslim shoulders (or so Muslims were persuaded to believe; whether it did or not is a matter of contention), Muslims increasingly felt separate and accused the rest of the country of not pulling its weight and generally mistreating them. After the war, Gandhi, Nehru, and the Indian National Congress attempted to create a united nation, but now a majority of the Muslims, led by Jinnah and his Muslim League, demanded a new nation exclusively for themselves. The British thought this a splendid idea,^{note} resulting in the [partition](#) to [India](#) (although it is referred to as Bharat in most Indian languages), and an almost exclusively Muslim [Pakistan](#) (which then split in 1971 into its current form and [Bangladesh](#)).

For the army of The Raj see [Kipling's Finest](#) .

56. The First Opium War

Introduction

The Opium Wars of 1839 to 1842 and 1856 to 1860 marked a new stage in China's relations with the West. China's military defeats in these wars forced its rulers to sign treaties opening many ports to foreign trade. The restrictions imposed under the Canton system were abolished. Opium, despite imperial prohibitions, now became a regular item of trade. As opium flooded into China, its price dropped, local consumption increased rapidly, and the drug penetrated all levels of society. In the new treaty ports, foreign traders collaborated with a greater variety of Chinese merchants than under the Canton system, and they ventured deeply into the Chinese interior. Missionaries brought Christian teachings to villagers, protected by the diplomatic rights obtained under the treaties. Popular hostility to the new foreigners began to rise.

Not surprisingly, Chinese historians have regarded the two Opium Wars as unjust impositions of foreign power on the weakened Qing empire. In the 20th century, the Republic of China made strenuous efforts to abolish what it called "unequal treaties." It succeeded in removing most of them in World War II, but this phase of foreign imperialism only ended completely with the reversion of Hong Kong to China in 1997. Conventional textbooks even date the beginning of modern Chinese history from the end of the first Opium War in 1842.

Although the wars, opium trade, and treaties did reflect superior Western military force, focusing only on Western impositions on China gives us too narrow a picture of this period. This was not only a time of Western and Chinese conflict over trade, but a time of great global transformation in which China played one important role. The traders in opium included Britain, the U.S., Turkey, India, and Southeast Asia as well as domestic Chinese merchants. The origins of opium consumption in China are very old, and its first real boom as an item of consumption began after tobacco was

introduced from the New World in the 16th century and Chinese smokers took a fancy to mixing it with the drug.

The Qing court was not in principle hostile to useful trade. In 1689 and 1727, the court had negotiated treaties with Russia to exchange furs from Siberia for tea, and allowed the Russians to live in a foreigners' guest house in Beijing. Qing merchants and officials also traded extensively with Central Eurasian merchants from Bukhara and the Kazakh nomads for vital supplies of wool, horses, and meat. The court knew well the value of the southern coastal trade as well, since revenues from the Canton trade went directly into the Imperial Household department.

The Opium Wars are rightly named: it was not trade per se but rather unrestricted drug trade by the Western powers, particularly Britain, that precipitated them. As the wars unfolded, however, it became clear that far more than opium was ultimately involved. The very nature of China's hitherto aloof relationship with the world was profoundly challenged, and long decades of internal upheaval lay ahead.

Tensions Under the Canton Trade System

Under the system established by the Qing dynasty to regulate trade in the 18th century, Western traders were restricted to conducting trade through the southern port of Canton (Guangzhou). They could only reside in the city in a limited space, including their warehouses; they could not bring their families; and they could not stay there more a few months of the year. Qing officials closely supervised trading relations, allowing only licensed merchants from Western countries to trade through a monopoly guild of Chinese merchants called the Cohong. Western merchants could not contact Qing officials directly, and there were no formal diplomatic relations between China and Western countries. The Qing emperor regarded trade as a form of tribute, or gifts given to him personally by envoys who expressed gratitude for his benevolent rule.



Canton, where the business of trade was primarily conducted during this period, is depicted on this fan created for the foreign market. Seven national flags fly from the Western headquarters that line the shore.

Western traders, for their part, mainly conducted trade through licensed monopoly companies, like Britain's East India Company and the Dutch VOC. Despite these restrictions, both sides learned how to make profits by cooperating with each other. The Chinese hong merchants, the key intermediaries between the foreign traders and the officials, developed close relations with their Western counterparts, instructing them on how to conduct their business without antagonizing the Chinese bureaucracy.

As the volume of trade grew, however, the British demanded greater access to China's markets. Tea exports from China grew from 92,000 pounds in 1700 to 2.7 million pounds in 1751. By 1800 the East India Company was buying 23 million pounds of tea per year at a cost of 3.6 million pounds of silver. Concerned that the China trade was draining silver out of England, the British searched for a counterpart commodity to trade for tea and porcelain. They found it in opium, which they planted in large quantities after they had taken Bengal, in India, in 1757.

British merchants blamed the restrictions of the Canton trade for

the failure to export enough goods to China to balance their imports of tea and porcelain. Thus, Lord George Macartney's mission to the court in Beijing in 1793 aimed to promote British trade by creating direct ties between the British government and the emperor. Macartney, however, portrayed his embassy as a tribute mission to celebrate the emperor's birthday. He had only one man with him who could speak Chinese.

When he tried to raise the trade question, after following the tribute rituals, Macartney's demands were rejected. His gifts of astronomical instruments, intended to impress the Qing emperor with British technological skills, in fact did not look very impressive: the emperor had already received similar items from Jesuits in earlier decades. Macartney's failure, and the failure of a later mission (the Amherst embassy) in 1816, helped to convince the British that only force would induce the Qing government to open China's ports.

Opium Clippers & the Expanding Drug Trade



Opium routes between British-controlled India and China

New fast sailing vessels called clipper ships, built with narrow decks,

large sail areas, and multiple masts, first appeared in the Pacific in the 1830s and greatly stimulated the tea trade. They carried less cargo than the bulky East Indiamen, but could bring fresh teas to Western markets much faster. Clipper ships also proved very convenient for smuggling opium, and were openly and popularly identified as “opium clippers.” Ships like the *Red Rover* could bring opium quickly from Calcutta to Canton, doubling their owners’ profits by making two voyages a year.

At Canton, Qing prohibitions had forced the merchants to withdraw from Macao (Macau) and Whampoa and retreat to Lintin island, at the entrance of the Pearl River, beyond the jurisdiction of local officials. There the merchants received opium shipments from India and handed the chests over to small Chinese junks and rowboats called “fast crabs” and “scrambling dragons,” to be distributed at small harbors along the coast. The latter local smuggling boats were sometimes propelled by as many as twenty or more oars on each side.



*The Pearl
River Delta*

The major India source of British opium bound for China was Patna in Bengal, where the drug was processed and packed into chests holding about 140 pounds. The annual flow to China was around 4,000 chests by 1790, and a little more than double this by the early 1820s. Imports began to increase rapidly in the 1830s, however, as “free trade” agitation gained strength in Britain and the East India Company’s monopoly over the China trade approached its termination date (in 1834). The Company became more dependent than ever on opium revenue, while private merchants hastened to increase their stake in the lucrative trade. On the eve of the first Opium War, the British were shipping some 40,000 chests to China annually. By this date, it was estimated that there were probably around ten million opium smokers in China, two million of them addicts. (American merchants shipped around 10,000 chests between 1800 to 1839.)

OPIUM IMPORTS TO CHINA FROM INDIA

(1 chest = approximately 140 pounds)

1773	1,000 chests
1790	4,000 chests
early 1820s	10,000 chests
1828	18,000 chests
1839	40,000 chests
1865	76,000 chests
1884	81,000 chests (peak)



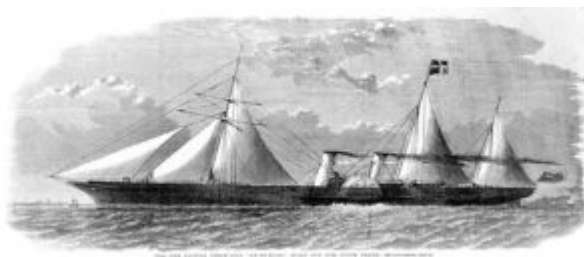
*“The Opium
Ships at
Lintin in
China, 1824”
Print based
on a
painting by
“W. J.
Huggins,
Marine
Painter to
His late
Majesty
William the
4th”*



In 1831, it was estimated that between 100 and 200 “fast crab” smuggling boats were operating in the waters around Lintin Island, the rendezvous point for opium imports. Ranging from 30 to 70 feet in length, with crews of upwards of 50 or 60 men, these swift rowboats could put on sail for additional speed. They were critical in navigating China’s often shallow rivers and delivering opium to the interior.



"The 'Streatham' and the opium clipper 'Red Rover'" The Streatham, an East India Company ship, is shown at anchor in the Hooghly River, Calcutta. Near the bank, the Red Rover, the first of the "opium clippers," sits with her sails lowered. Built for speed, the Red Rover doubled the profits of her owners by completing two Calcutta-to-China smuggling voyages a year.



“The new clipper steam-ship “LY-EE-MOON,” built for the opium trade,” Illustrated London News, ca. 1859 A quarter century after revolutionizing the drug trade, the celebrated “opium clippers” had begun to undergo a further revolution with the addition of coal-fueled, steam-driven paddle wheels. This illustration appeared in the Illustrated London News in 1859, two decades after the first Opium War began.

Mandarins, Merchants & Missionaries

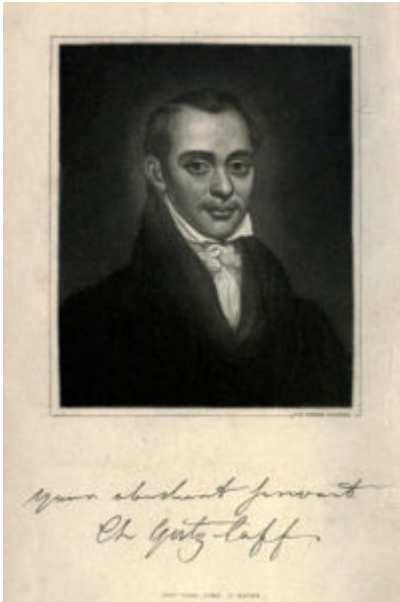
The opium trade was so vast and profitable that all kinds of people, Chinese and foreigners, wanted to participate in it. Wealthy literati and merchants were joined by people of lower classes who could now afford cheaper versions of the drug. Hong merchants

cooperated with foreign traders to smuggle opium when they could get away with it, bribing local officials to look the other way. Smugglers, peddlers, secret societies, and even banks in certain areas all became complicit in the drug trade.



*Chinese
Mandarins,
Illustrated
London
News,
November 12,
1842*

Opium, as an illegal commodity, brought in no customs revenue, so local officials exacted fees from merchants. Even missionaries who deplored the opium trade on moral grounds commonly found themselves drawn into it, or dependent on it, in one form or another. They relied on the opium clippers for transportation and communication, for example, and used merchants dealing in opium as their bankers and money changers. Karl Gützlaff (1803–1851), a Protestant missionary from Pomerania who was an exceptionally gifted linguist, gained a modicum of both fame and notoriety by becoming closely associated with the opium trade and then serving the British in the Opium War—not just as an interpreter, but also as an administrator in areas occupied by the foreign forces.



The missionary Karl Gutzlaff (often anglicized as Carl or Charles Gutzlaff), who served as an interpreter for the British in the first Opium War, was well known for frequently pursuing his religious calling while dressed in native garb. Portrait of Gutzlaff (inscribed) on the frontispiece of his 1834 book, *A Sketch of Chinese History: Ancient and Modern*.



George Chinnery's sketch of "Revd. Charles Gutzlaff, Missionary," done in 1832 [right], found later incarnation in a lithograph captioned "Revd. Chas. Gutzlaff, Missionary to China in the Dress of a Fokien Sailor" (below)



The Daoguang Emperor & Commissioner Lin

By the 1830s, up to 20 percent of central government officials, 30 percent of local officials, and 30 percent of low-level officials regularly consumed opium. The Daoguang emperor (r. 1821–50) himself was an addict, as were most of his court.

As opium infected the Qing military forces, however, the court grew alarmed at its insidious effects on national defense. Opium imports also appeared to be the cause of massive outflows of silver, which destabilized the currency. While the court repeatedly issued edicts demanding punishment of opium dealers, local officials accepted heavy bribes to ignore them. In 1838, one opium dealer was strangled at Macao, and eight chests of opium were seized in Canton. Still the emperor had not yet resolved to take truly decisive measures.



“The Imperial Portrait of a Chinese Emperor called ‘Daoguang’”

As opium flooded the country despite imperial prohibitions, the court debated its response. On one side, officials concerned about

the economic costs of the silver drain and the social costs of addiction argued for stricter prohibitions, aimed not only at Chinese consumers and dealers but also at the foreign importers. On the other side, a mercantile interest including southern coastal officials allied with local traders promoted legalization and taxation of the drug. Debate raged within court circles in the early 1800s as factions lined up patrons and pushed their favorite policies.

Ultimately, the Daoguang emperor decided to support hardliners who called for complete prohibition, sending the influential official Lin Zexu to Canton in 1839. Lin was a morally upright, energetic official, who detested the corruption and decadence created by the opium trade. He had served in many important provincial posts around the empire and gained a reputation for impartiality and dedication to the welfare of the people he governed. In July 1838 he sent a memorial to the emperor supporting drastic measures to suppress opium use. He outlined a systematic policy to destroy the sources and equipment supporting drug use, and began putting this policy into effect in the provinces of Hubei and Hunan. After 19 audiences with the emperor, he was appointed Imperial Commissioner with full powers to end the opium trade in Canton. He arrived in Canton in March, 1839.

Although Lin's vigorous attempt to suppress the opium trade ultimately ended in disastrous war and personal disgrace, he is remembered a great and incorruptible patriot eminently deserving of the nickname he had enjoyed before his appointment as an Imperial Commissioner in Canton: "Lin the Blue Sky." Portraits of him by Chinese artists at the time vary in style, but all convey the impression of a man of wisdom and integrity. Today, statues in and even outside China pay homage to the redoubtable commissioner.

57. Boxer Rebellion



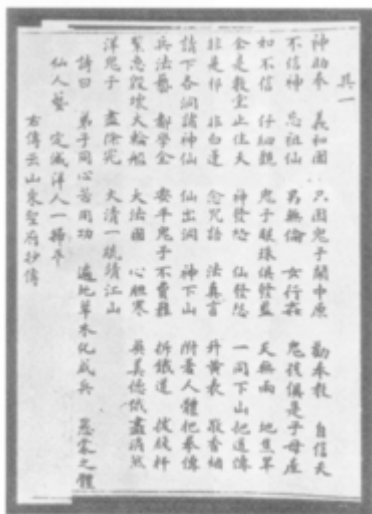
Boxer forces (1900 photograph)

The **Boxer Uprising** or **Boxer Rebellion** was a Chinese rebellion against foreign influence in areas such as trade, politics, [religion](#), and technology that occurred in China during the final years of the [Qing Dynasty](#) from November 1899 to September 7, 1901.^[1] By August 1900, over 230 foreigners, tens of thousands of Chinese Christians, an unknown number of rebels, their sympathizers, and other innocent bystanders were killed in the ensuing chaos. The brutal uprising crumbled on August 4, 1900, when 20,000 foreign troops entered the Chinese capital, Peking ([Beijing](#)). The European powers saw China as an imperialistic opportunity where they could gain influence and power without territorial sovereignty. Internal weakness in China and the suspicion that China might even implode

resulted in the European powers negotiating more and more concessions by way of trading posts that were virtually independent colonies. The local population grew more and more unhappy with the presence of foreigners, suspecting their motives, resulting in the rebellion. When the rebellion was crushed, yet more concessions and monetary indemnity were claimed from China by the Russians, Germans, French, and British. The experience of the events leading up to and surrounding this rebellion continue to affect China's perceptions of the world and its relations in the present day.

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Anti-foreign movement



Anti-Foreign pamphlet, c. 1899

In 1839, the First Opium War broke out, and China was defeated by [Britain](#). In view of the weakness of the Qing government, Britain

and other nations such as [France](#), [Russia](#), and [Japan](#) started to exert influence over China. Due to their inferior army and navy, the [Qing Dynasty](#) was forced to sign many agreements which became known as the “Unequal Treaties.” These include the Treaty of Nanking (1842), the Treaty of Aigun (1858), the Treaty of Tientsin (1858), the Convention of Peking (Beijing) (1860), the [Treaty of Shimonoseki](#) (1895), and the Second Convention of Peking (Beijing) (1898).

Such treaties were regarded as grossly unfair by many Chinese. They had always considered themselves to be superior to foreigners, but their prestige was sorely damaged by the treaties, as foreigners were perceived to receive special treatment compared to Chinese. Rumors circulated of foreigners committing crimes as a result of agreements between foreign and the Chinese governments over how foreigners in China should be prosecuted. In Guizhou, local officials were reportedly shocked to see a cardinal using a sedan chair decorated in the same manner as one reserved for the governor. The Catholic Church’s prohibition on some Chinese rituals and traditions were another issue of contention. Thus, in the late nineteenth century, such feelings increasingly resulted in civil disobedience and violence towards both foreigners and Chinese Christians.

The rebellion was initiated by a society known as the Righteous Harmony Society (Yihe Quan) or in contemporary English parlance, “Boxers,” a group that initially opposed, but later reconciled itself, to China’s ruling Manchu [Qing Dynasty](#). The Boxer rebellion was concentrated in northern China where the European powers had begun to demand territorial, rail, and [mining](#) concessions. Imperial [Germany](#) responded to the killing of two missionaries in Shandong province, in November 1897, by seizing the port of Qingdao. A month later, a [Russian](#) naval squadron took possession of Lushun, in southern Liaoning. Britain and France followed, taking possession of Weihai and Zhanjiang respectively.

The rebellion

Boxer forces in Tianjin

Boxer activity developed in [Shandong](#) province in March 1898, in response to both foreign influence in the region and the failure of the Imperial court's "self-strengthening" strategy of officially-directed development, whose shortcomings had been shown graphically by China's defeat in the Sino-Japanese War (1894-1895). One of the first signs of unrest appeared in a small village in Shandong province, where there had been a long dispute over the property rights of a temple between locals and the Catholic authorities. The Catholics claimed that the temple was originally a church abandoned decades previously after the Kangxi Emperor banned Christianity in China. The local court ruled in a favor of the Church, angering the villagers who claimed they needed the temple for various rituals and had traditionally used it to practice martial arts. After the local authorities seized the temple and gave it to the Catholics, villagers attacked the church under the leadership of the Boxers.

The early months of the movement's growth coincided with the Hundred Days' Reform (June 11–September 21, 1898), during which the Guangxu Emperor of China sought to improve the central administration, before the process was reversed at the behest of his powerful aunt, the [Empress Dowager Cixi](#). After a mauling at the hands of loyal Imperial troops in October 1898, the Boxers dropped their anti-government slogans, turning their attention to foreign missionaries (such as Hudson Taylor) and their converts, whom they saw as agents of foreign imperialist influence. The Empress Dowager Cixi, who credited the Boxers' claim of magical imperviousness to both blade and bullet, decided to use the Boxers to remove the foreign powers from China. The Imperial Court, now

under Cixi's firm control, issued edicts in defense of the Boxers, drawing heated complaints from foreign diplomats in January 1900.



A Boxer rebel

The conflict came to a head in June 1900, when the Boxers, now joined by elements of the Imperial army, attacked foreign compounds within the cities of Tianjin and [Beijing](#). The legations of the [Great Britain](#), [France](#), [Belgium](#), the [Netherlands](#), the [United States](#), [Russia](#), and [Japan](#) were all located on the same city block close to the Forbidden City—built there so that Chinese officials could keep an eye on the ministers—were strong structures surrounded by walls. The legations were hurriedly linked into a fortified compound and became a refuge for foreign citizens in Beijing. The Spanish, Belgian, and German legations were not in the same compound. Although the Spanish and Belgian legations were

only a few streets away and their staff was able to arrive safely at the compound, the German legation was on the other side of the city and was stormed before the staff could escape. When the Envoy for the German Empire, Klemens Freiherr von Ketteler, was kidnapped and killed on June 20, the foreign powers declared open war against China. The Chinese Court in turn proclaimed hostilities against those nations, who began to prepare military forces to relieve the besieged embassies. In Beijing, the fortified legation compound remained under siege from Boxer forces from June 20 to August 14. Under the command of the British minister to China, Claude Maxwell MacDonald, the legation staff and security personnel defended the compound with one old muzzle-loaded cannon and small arms.

Stories appeared in the foreign media describing the fighting going on in Beijing. Some were mere rumor or exaggerated the nature of the conflict, but others more accurately described the torture and murder of captured foreigners. Chinese Christians suffered even more greatly, as there were more of them and most were not able to seek refuge in the legations, having to seek shelter elsewhere. Those that were caught were raped as well as tortured and murdered. As a result of these reports, a great deal of anti-Chinese sentiment was generated in Europe, the United States, and Japan.

Despite their efforts, the Boxer rebels were unable to break into the compound, which was relieved by the international army of the Eight-Nation Alliance in July.

Eight-Nation Alliance



Military of the Powers during the Boxer Rebellion, with their naval flags, from left to right: [Italy](#), [United States](#), [France](#), [Austria-Hungary](#), [Japan](#), [Germany](#), [United Kingdom](#), [Russia](#). Japanese print, 1900.

First intervention

Foreign navies started to build up their presence along the northern China coast from the end of April 1900. Upon the request of foreign embassies in Beijing, 750 troops from five countries were dispatched to the capital on May 31.



Contingent of Japanese marines who served under the British commander Edward Hobart Seymour.

As the situation worsened, a second international force of 2,000 marines under the command of the British Vice Admiral Edward Hobart Seymour, the largest contingent being British, was dispatched from Tianjin to Beijing on June 10. They were met with stiff resistance from Chinese governmental troops and were finally rescued by allied troops from Tianjin, where they retreated to on June 26, with the loss of 350 men.

Second intervention

With a difficult military situation in Tianjin, and a total breakdown of communications between Tianjin and Beijing, the allied nations took steps to reinforce their military presence dramatically. On June 17, they took the Dagu Forts commanding the approaches to Tianjin, and from there brought more and more troops on shore.

The international force, with British Lt-General Alfred Gaselee acting as the commanding officer, called the Eight-Nation Alliance, eventually numbered 54,000, with the main contingent being composed of Japanese soldiers: Japanese (20,840), Russian (13,150), British (12,020), French (3,520), American (3,420), German (900), Italian (80), [Austro-Hungarian](#) (75), and anti-Boxer Chinese troops.

The international force finally captured Tianjin on July 14, under the command of the Japanese colonel Kuriya, after one day of fighting.



The capture of the southern gate of Tianjin. British troops were positioned on the left, Japanese troops at the center, French troops on the right

Notable exploits during the campaign were the seizure of the Dagu Forts commanding the approaches to Tianjin, and the boarding and capture of four Chinese destroyers by Roger John Brownlow Keyes, 1st Baron Keyes.

The allied march on August 4—about 120 kilometers from Tianjin to Beijing—was not particularly harsh, despite approximately 70,000 Imperial troops and anywhere from 50,000 to 100,000 Boxers along the way. They only encountered minor resistance and a battle was engaged in Yangcun, about 30 kilometers outside Tianjin, where the United States' 14th Infantry Regiment and British troops led the assault. The weather was a major obstacle, as it was extremely humid, with temperatures sometimes reaching 110 degrees Fahrenheit (43 Celsius).

The international force reached and occupied Beijing on August 14.



American troops in China during the Boxer Rebellion.

The [United States](#) was able to play a secondary but significant role in suppressing the Boxer Rebellion because of the large number of American ships and troops deployed in the [Philippines](#) as a result of the U.S. conquest of the islands during the [Spanish American War](#) (1898) and the subsequent [Philippine-American War](#). In the United States military, the suppression of the Boxer Rebellion was known as the China Relief Expedition.

Aftermath

Troops from most nations (with the exception of American and Japanese) engaged in plunder, looting, and rape. German troops in particular were criticized for their enthusiasm in carrying out Kaiser Wilhelm II of Germany's July 27 order to "make the name German remembered in China for a thousand years so that no Chinaman will ever again dare to even squint at a German." This speech, in which Wilhelm invoked the memory of the fifth century Huns, gave rise to the British derogatory name "Hun" for their German enemy during [World War I](#).



Russian troops in Beijing during the Boxer rebellion

On September 7, 1901, the Qing court was compelled to sign the “Boxer Protocol,” also known as the Peace Agreement between the Eight-Nation Alliance and China, undertaking to execute ten officials linked to the outbreak and to pay war reparations of \$333 million. Much of it was later earmarked by both Britain and the U.S. for the education of Chinese students at overseas institutions, subsequently forming the basis of Tsinghua University. The British signatory of the Protocol was Sir Ernest Satow.

The court’s humiliating failure to defend China against the foreign powers contributed to the growth of republican feeling, which was to culminate a decade later in the dynasty’s overthrow and the establishment of the Republic of China.

The foreign privileges which had angered Chinese people were largely canceled in the 1930s and 1940s.

Russia had meanwhile been busy (October 1900) with occupying much of the northeastern province of Manchuria, a move which threatened Anglo-American hopes of maintaining what remained of China’s territorial integrity and openness to commerce (the “Open Door Policy”) to all comers, but paid the concept only lip service. This behavior led ultimately to a disastrous Russian defeat (in the Russo-Japanese War) at the hands of an increasingly confident Japan (1904-1905), as they maintained garrisons and improved fortifications between Port Arthur and Harbin along the southern spur line of the Manchurian Railway constructed on their leased lands.

Results

During the incident, 48 [Catholic](#) missionaries and 18,000 members were killed, along with 182 [Protestant](#) missionaries and five hundred Chinese Christians.

The effect on China was a weakening of the dynasty, although it was temporarily sustained by the Europeans who were under the impression that the Boxer Rebellion was anti-Qing. China was also forced to pay almost \$333 million in reparations. China's defenses were weakened and [Dowager Cixi](#) realized that in order to survive, China would have to reform, despite her previous opposition. Among the Imperial powers, Japan gained prestige due to its military aid in suppressing the Boxer Rebellion and was first seen as a power. Its clash with [Russia](#) over the Liaodong and other provinces in eastern Manchurian, long considered by the Japanese as part of their sphere of influence led to the Russo-Japanese War when two years of negotiations broke down in February 1904. Germany, as mentioned above, earned itself the nickname "Hun" and occupied Qingdao bay, consequently fortifying to serve as Germany's primary naval base in East Asia. The Russian Lease of the Liaodong (1898) was confirmed. The U.S. 9th Infantry Regiment earned the nickname "Manchus" for its actions during this campaign. Current members of the regiment (stationed in Camp Casey, South Korea) still do a commemorative 25-mile (40 kilometer) foot march every quarter in remembrance of the brutal fighting. Soldiers who complete this march are authorized to wear a special belt buckle that features a Chinese imperial dragon on their uniforms.

Controversy in modern China

Though the reaction of the Boxers against foreign imperialism in

China is regarded by some as patriotic, others in China consider this movement as a rebellion (disorder; Mandarin Pinyin: luàn), a negative term in Chinese language, when described by commentators during the years of the [Qing Dynasty](#) and Republic of China. Chinese Communists have altered the perception of the rebellion by referring to it as an uprising (being upright; q_yì), a more positive term in the Chinese language. It is frequently referred to as a “patriotic movement” in the People’s Republic of China by Communist politicians.

In January 2006, *Freezing Point*, a weekly supplement to the *China Youth Daily* newspaper, was closed partly due to its running of an essay by Yuan Weishi (History professor at Zhongshan University) that criticized the way in which the Boxer Rebellion and nineteenth century history about foreign interaction with China was portrayed in Chinese textbooks and taught at school.

58. Imperialism: Crash Course World History #35



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here: [https://library.achievingthedream.org/
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59. Asian Responses to Imperialism: Crash Course World History #213



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PART VII

6: EUROPE 1500-1750

60. Little Ice Age

The Little Ice Age was a period of regionally cold conditions between roughly AD 1300 and 1850. The term “Little Ice Age” is somewhat questionable, because there was no single, well-defined period of prolonged cold. There were two phases of the Little Ice Age, the first beginning around 1290 and continuing until the late 1400s. There was a slightly warmer period in the 1500s, after which the climate deteriorated substantially, with the coldest period between 1645 and 1715 . During this coldest phase of the Little Ice Age there are indications that average winter temperatures in Europe and North America were as much as 2°C lower than at present.

There is substantial historical evidence for the Little Ice Age. The Baltic Sea froze over, as did many of the rivers and lakes in Europe. Pack ice expanded far south into the Atlantic making shipping to Iceland and Greenland impossible for months on end. Winters were bitterly cold and summers were often cool and wet. These conditions led to widespread crop failure, famine, and population decline. The tree line and snowline dropped and glaciers advanced, overrunning towns and farms in the process. There were increased levels of social unrest as large portions of the population were reduced to starvation and poverty.

Marginal regions

During the height of the Little Ice Age , it was in general about one degree Celsius colder than at present. The Baltic Sea froze over, as did most of the rivers in Europe. Winters were bitterly cold and prolonged, reducing the growing season by several weeks. These conditions led to widespread crop failure, famine, and in some regions population decline.

The prices of grain increased and wine became difficult to produce in many areas and commercial vineyards vanished in England. Fishing in northern Europe was also badly affected as

cod migrated south to find warmer water. Storminess and flooding increased and in mountainous regions the treeline and snowline dropped. In addition glaciers advanced in the Alps and Northern Europe, overrunning towns and farms in the process.

Iceland was one of the hardest hit areas. Sea ice, which today is far to the north, came down around Iceland. In some years, it was difficult to bring a ship ashore anywhere along the coast. Grain became impossible to grow and even hay crops failed. Volcanic eruptions made life even harder. Iceland lost half of its population during the Little Ice Age.

Tax records in Scandinavia show many farms were destroyed by advancing ice of glaciers and by melt water streams. Travellers in Scotland reported permanent snow cover over the Cairngorm Mountains in Scotland at an altitude of about 1200 metres. In the Alps, the glaciers advanced and threatened to



Rhône glacier ca. 1870.

Source: [Wikimedia Commons](#)

bulldozed towns. Ice-dammed lakes burst periodically, destroying hundreds of buildings and killing many people. As late as 1930 the French Government commissioned a report to investigate the threat of the glaciers. They could not have foreseen that human induced global warming was to deal more effectively with this problem than any committee ever could.

Flourishing of European culture

Despite the difficulties in marginal regions, culture and economy were generally flourishing in Europe during the Little Ice Age. This is most visible in the way that people transformed their environment during the 17th and 18th centuries with expanding agriculture and large scale land reclamation, for example in the Netherlands and England.



Winter landscape by Brueghel the Elder.

Source: [Wikimedia Commons](#)

The Little Ice Age also coincided with the maritime expansion of Europe and the creation of seaborne trading and later colonial empires. First came the Spanish and Portuguese, followed by the Dutch, English and other European nations. Key to this success was the development

of shipbuilding technology which was a response to both trading, strategic but also climatic pressures.

Art and architecture also flourished, which is probably best embodied in the wonderful winter landscape paintings which can be considered a direct result of the Little Ice Age. These paintings show us ice-skaters enjoying themselves, a sign that they were more than capable to withstand the harsher winter conditions and that they had also enough food (Robinson: 2005). The latter is a key element in the success of European culture at that time.

On balance, the Little Ice Age affected northern European history in different ways. Regions that diversified agriculture and had good access to the international trade network, like Britain and the Low Countries, could cope quite easily with increasingly severe weather conditions. They could import food when harvests failed. Trade also gave them the financial base to develop technological responses.

In isolated regions, like high alpine areas of Switzerland, the Highlands of Scotland or Iceland, the unfavorable condition of the Little Ice Age, especially cold springs and harvest rains as well as longer winters, strongly influenced grain prices and were drivers for local famines. In central Europe the Little Ice Age was characterized by increased droughts as well as by increased flood frequency. Generally, the impact on different parts of Europe differed considerably. Some regions thrived while others struggled.

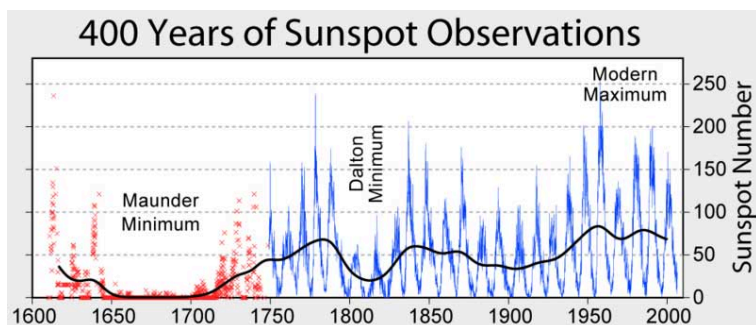
What caused the Little Ice Age?

The earth does not have some magical average natural temperature

to which it always returns. If it warms, the earth must be receiving more heat or retaining more heat. If it cools, then it must be receiving less heat from the Sun or radiating more into space, or both. Is that what happened during the Little Ice Age?

Maunder Minimum

The exact cause of the Little Ice Age is unknown, but there is a striking coincidence in the sunspot cycle and the timing of the Little Ice Age. During the Little Ice Age, there is a minimum in sunspots, indicating an inactive and possibly cooler sun. This absence of sunspots is called the Maunder Minimum.



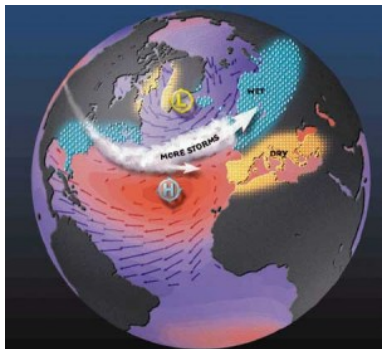
Source: [Wikipedia](#)/ Robert A. Rohde

The Maunder Minimum occurred during the coldest period of the Little Ice Age between 1645 and 1715 AD, when the number of sunspots was very low. It is named after British astronomer E.W. Maunder who discovered the dearth of sunspots during that period. The lack of sunspots meant that solar radiation was probably lower at this time, but models and temperature reconstructions suggest this would have reduced average global temperatures by 0.4°C at most, which does not explain the regional cooling of the climate in Europe and North America.

North Atlantic Oscillation

What does explain a drop of up to 2 degrees C in winter temperatures? The North Atlantic is one of the most climatically

unstable regions in the world. This is caused by a complex interaction between the atmosphere and the ocean. The main feature of this is the North Atlantic Oscillation (NAO), a seesaw of atmospheric pressure between a persistent high over the Azores and an equally persistent low over Iceland. Sometimes the pressure cells weaken and that has severe consequences for the weather in Europe.

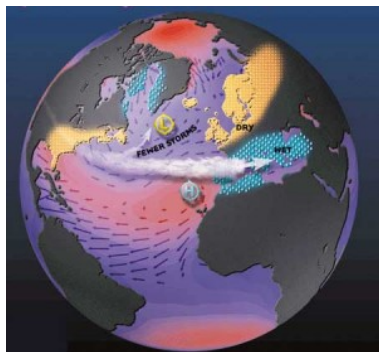


Positive North Atlantic Oscillation.
Image Courtesy [Martin Visbeck](#)

When the Azores high pressure grows stronger than usual and the Icelandic low becomes deeper than normal, this results in warm and wet winters in Europe and in cold and dry winters in northern Canada and Greenland. This also means that the North Atlantic Storm track move north, directing more frequent and severe storms over

northern Europe. This situation is called a Positive NAO Index.

When both pressure systems are weak, cold air can reach Northern Europe more easily during the winter months resulting in cold winters and the North Atlantic storm track is pushed south, causing wet weather in the Mediterranean. This situation is called a Negative NAO Index.



Negative North Atlantic Oscillation.
Image Courtesy [Martin Visbeck](#)

It is now thought that during the Little Ice Age NAO Index was more persistent in a negative mode. For this reason the regional variability during the Little Ice Age can be understood in terms of

changes in atmospheric circulation patterns in the North Atlantic region.

61. Thirty Years' War

UNDERLYING CAUSES

To some this was primarily a religious war in defense of one of the three faiths involved. The Calvinists fought for recognition as co-equals with Lutheranism and Catholicism. For most rulers it was a political struggle; for the Habsburgs it was a struggle to retain some measure of control over the various political-units in Germany and to keep some semblance of empire. It was also a civil war among jealous territorial princes and a dynastic struggle among ruling families such as the Wittelbachs in Bavaria. It was a predatory war fought by mercenary generals for fame, power and booty. Finally, it was an international war for territorial and economic gains, including efforts of Dutch, – Spaniards, Swedes, Bohemians and French.

STAGES OF THE WAR (Named for Habsburg opponents in each period)

BOHEMIAN PHASE

Frederick V of the Palatinate became a Calvinist Bohemian king and fought Habsburg Ferdinand II, but he got poor support and lasted only one winter. Ferdinand occupied and completely subdued all of Bohemia, outlawed the Czech language and replaced the elective kingship by the hereditary rule of the Habsburgs. The remarkable achievements of the Bohemian Baron von Wallenstein during the war years are detailed in subsequent paragraphs and the CZECHOSLOVAKIA section of this chapter.

DANISH PHASE

Christian IV of Denmark responded to Franco-English pressure and invaded lower Saxony, but was eventually defeated by both General Tilly and General Wallenstein, of the Catholic imperialist forces. In fact, by 1630 imperial and Catholic power had reached its greatest mark and the German princes, Catholic and Protestant alike, began to worry about their own rights and powers.

SWEDISH PHASE

After Sweden's Gustavus Adolphus finished his Polish War, in which he obtained the Lithuanian coast and bases in Prussia, he swung around and into Germany, probably for both religious and territorial reasons. After defeating Tilly near Leipzig, Gustavus, who spoke fluent German (learned from his mother), became a German hero and Protestant forces flocked to his side. The Swedes moved far into south Germany and even occupied Munich. In 1632, in a battle with Wallenstein, now restored to power again by the Habsburgs, Gustavus Adolphus was killed while leading his victorious forces. Swedish power was at once dimmed by the disappearance of this forceful king-general and his minister, Oxenstierna, could not carry the field much longer. Furthermore, after Wallenstein was murdered by some of his own sub-generals, the Catholic forces again became more active and forced the Swedes out of southern Germany. Then Saxony made a separate peace with Emperor Ferdinand III, in the Peace of Prague (1635). The terms again gave much power to the emperor, and although accepted unwillingly by most of the German princes, France could not acquiesce in this increase in imperial power.

Map taken from Reference 97

FRENCH PHASE

So, in 1635 France declared war on Spain and Austria, and began full scale war in the Pyrenees, in the north against the Spanish Netherlands and in the east against Spanish and Austrian possessions in Germany. In the long run Swedish-French power prevailed almost everywhere and Germany was thoroughly exhausted. Debates about peace drug on in Westphalia for 4 yearswhile armies continued to fight, with the final peace concluded in 1648.

THE PEACE OF WESTPHALIA

The war left the basic Habsburg Empire intact but destitute. Only the territorial lords seemed to get a clear-cut victory. Prussia emerged as a strong state and Bavaria gained territory and retained the Upper Palatinate. While most German cities were ruined, Hamburg actually prospered by taking over the previous function of Antwerp as a center of refuge for all exiles, after the latter city had fallen to the Spaniards. (Ref. [213](#)) No religious freedom remained in the Habsburg hereditary lands. France and Spain remained at war for another 11 years after the treaty, but France, along with Sweden, reaped the most important benefits. Toul, Metz and Verdun were all given to France, along with other valuable cities and territories in Alsace which gave a bridgehead whereby France could move forces into Germany at will. Sweden got western Pomerania, Stettin and many harbors, keeping good control over northern Germany. Holland and the Swiss Cantons were permanently free.

Following the Treaty of Westphalia the histories of Germany and Austria definitely diverge, with various German states remaining definitely independent, although soon to be dominated by Prussia. The Habsburgs confined their interests and power to the soon to be formed Austrio-Hungarian Empire. The war had cut the population

of Germany from 20,000,000 to 13,500,000 and there was a dearth of men. At the Congress of Franconia in Nuremberg in 1650 a resolution was adopted that every man should be allowed two wives and every male should be so reminded from the pulpits. Taxes were imposed upon unmarried women. By 1700 equality of the sexes had been restored and there were again 20,000,000 Germans.

The many Jews in Germany led a precarious existence in this century. In Frankfort in 1614 a Christian crowd forced entry into a ghetto and after a night of plunder and destruction, compelled 1,380 Jews to leave the city. In general the higher classes of people and clergy were tolerant, but the lower clergy and masses were easily stirred to a frenzy of hate. After the Thirty Years War persecution lessened and the Jewish settlements expanded rapidly.

The second half of the 17th century after the Treaty of Westphalia presents an entirely new picture in Central Europe and we shall now examine that situation in more detail.

62. Absolutism and Louis XIV

The term ‘absolutism’ has both a moral and political connotation. In terms of morality, ‘absolutism’ refers to at least two distinct doctrines. Firstly, absolutism may refer to the claim that there exists a universally valid moral system, which applies to everyone whether they realize it or not. In this sense, absolutism is opposed to [moral relativism](#), which denies the existence of universally applicable moral principles. Secondly, absolutism may refer to the claim that moral rules or principles do not admit any exceptions. [Immanuel Kant](#), for instance, is an absolutist (in this sense) with respect to lying, because he held that it is never permissible to lie. This variety of absolutist need not maintain that all moral principles are absolute. Most contemporary defenders of absolutism would not hold that lying is always impermissible but may maintain this of (e.g., [torture](#)).

In terms of politics, ‘absolutism’ refers to a type of government in which the ruler’s power is absolute, that is, not subject to any legal constraints. The European [monarchies](#), especially those of France, Spain, and Russia, between the fifteenth and eighteenth centuries provide perhaps the clearest examples of absolute rule, although forms of absolutism have existed in most parts of the world. It was not until the end of the eighteenth century that the prevalence of absolute rule in Europe began to wane.

The word ‘absolutism’ does not have an entirely uniform meaning within contemporary moral and political writings. This article outlines three central uses of the term, which may serve as an introduction to the topic.

Meta-ethical absolutism

“Absolutism” (or ‘moral absolutism’) refers, firstly, to a doctrine about the nature of morality ([meta-ethics](#)), according to which there are true or justifiable moral principles that have application to everyone, or at least, all moral agents (excluding infants and the mentally impaired for example). In other words, there are moral rules that apply to all people, including those who do not acknowledge these principles but live their lives in accordance with other, false, principles. Moral absolutism in this sense is committed to the existence of universal moral principles and for this reason is sometimes called universalism.

Moral absolutism in our first sense is opposed to [moral relativism](#), which denies that there are any moral principles that have universal application. Rather, according to the relativist, moral principles apply locally, that is, only to the groups of people who accept them. In understanding the dispute between absolutism and relativism, it is important to distinguish the question of “universal applicability” from “universal acceptance.” The relativist does not deny that is possible (or even actual) that could be moral principles accepted by everyone. What he denies is that these principles would also apply to people who did not accept them. For example, suppose that as a result of globalization, everyone in the world came to “accept” (roughly) the western moral code. (This is the moral code shaped by the influences of Judaism and Christianity and held by most people living in Europe and North America.) This would not imply the existence of any universal and absolute moral code for it would not imply that this code applied to others, such as future humans, who did not endorse this way of ethical thinking. So the relativist would argue that a moral code could be universally accepted, without being universally valid, and hence fail to be absolute.

Moral absolutism presupposes [objectivism](#)—the doctrine that moral principles are true, or justified, independently of anyone’s belief that they are true or justified. This is because conventional

moral codes could not have any universal validity—for they are true only insofar as they are believed to be true. Secondly, although moral absolutism is committed to their being a universally valid set of moral principles, it is not committed to saying that anyone currently knows this universal moral code. So although a moral absolutist maintains that there is one and only one proper moral code and that everyone ought to live by it, he need not maintain that the code is known. However, it presumably must be knowable, and once it is discovered all are morally obliged to live by it. The reader is cautioned, however, that absolutists often write as though they do know some of these principles, and at least one contemporary writer characterizes absolutism in terms of “knowledge” of an absolute moral code (see Cook 1999).

Many normative theories that would typically be discussed in an introductory ethics class count as species of absolutism in our first sense. For example, [utilitarianism](#) presents a theory of morality according to which actions are right just in case they produce more overall welfare than available alternatives. This is an absolute account of morality, for it implies that there is, in all circumstances, one correct answer as to what it is right to do. This applies to everyone, even to those who did not know about or accept the utilitarian principle. Similarly, [Kant](#)’s theory is also a species of absolutism for it holds that moral right and wrong are all ultimately determined by a basic principle of practical reason—the [categorical imperative](#)—and hence applicable to all rational agents. Utilitarianism and Kantianism are both forms of monism, the view that there is ultimately only one absolute and basic moral principle. However, not all forms of absolutism make this assumption. [W.D. Ross](#)’s theory, for example, endorses a plurality of absolute moral principles, none of which are any more basic than any other (see intuitionism). This is still an absolutist account of morality in our first sense, that is the sense opposed to relativism, because it claims universal applicability. W. D. Ross’s prima facie duties prescribe, for example, that it is always prima facie wrong to break a promise. (See also [ethics](#), [normative ethics](#))

Moral absolutism

“Absolutism” (or ‘moral absolutism’) refers also to a particular type of ethical theory, that is, a normative theory according to which some actions (action-types) are absolutely forbidden. Absolutism in this sense says, for example, that it is always wrong to kill, or always wrong to lie, or always wrong to torture another. It is important to notice, however, that absolutism is not a theory of “which” actions are absolutely prohibited or required but only a theory that there “are” some actions absolutely outlawed in this way. Absolutism upholds only the formal requirement that some moral principles admit of no exceptions—that there are some moral principles it is always wrong to break. This implies that it is possible to be an absolutist about any action-type whatsoever, although most absolutists argue for their position by means of torture, killing of the innocent, and so on.

Moral absolutism in this second sense is often held as opposed to [consequentialism](#). Consequentialism is a theory according to which actions are right just in case they promote overall value in comparison with other alternatives. The upshot of this account is that no particular action (or action-type) could be absolutely wrong. For example, torturing a small child may produce more value (or less disvalue) than the killing of an entire nation. Therefore, for a consequentialist, torturing a small child in order to save a country is permissible, if indeed not positively required. By contrast, moral absolutism holds that some actions are absolutely wrong; they could never be right no matter what consequences of failing to do them might be. So, an absolutist would say that it is morally wrong to torture a child in order to save an entire nation. Absolutism says that some actions are wrong whatever the consequences. Or again, moral absolutism about lying would say that the lying is always wrong, whatever the consequences. Consequentialism is sometimes construed as one type of absolutist moral theory: for instance, it

is absolutely wrong not to act in such a way that promotes overall value.

Which actions or types of action are traditionally regarded as absolutely wrong? Historically, philosophers have been absolutists with regard to many types of actions such as lying, adultery, and sodomy. However, in a contemporary setting, torture and executing the innocent are two of the actions most commonly held to be absolute prohibitions. And these are also the most plausible sort of cases. In fact, the [United Nations](#) Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (1987) upholds an absolutism of this form. “No exceptional circumstances whatsoever, whether a state of war or a threat of war, internal political instability or any other public emergency, may be invoked as a justification of torture” (Article 2). This resolution says that no matter what the expected consequences of torture may be—for example, preventing New York City from being bombed by terrorists—torture is impermissible. It would be morally wrong to torture a terrorist in order to find out where a bomb was being hidden, even if the consequences of not doing so would be quite catastrophic.

Given its emphasis on moral principles, and opposition to consequentialism, it may seem unclear how absolutism differs from deontology. The answer is that absolutism is a species of [deontology](#). Absolutism endorses two claims: (1) some actions are intrinsically right or wrong; (2) the consequences of an action of this sort (e.g., lying) can never override its intrinsic rightness or wrongness. By contrast, a deontological ethical theory is committed to (1) but not to (2). All absolutist theories are therefore deontological, but not all deontological theories are absolutist.

Although deontological ethical theories are not necessarily absolutist, some important deontologists have been. Kant’s infamous discussion of the inquiring murderer suggests that he held that the deontological constraint on lying is absolute. In his infamous essay, ‘On a Supposed Right to Lie from [Altruistic](#) Motives’, [Kant](#) argues against the permissibility of

lying even to a man whom one knows to be in the process of attempting a murder, going about looking for his victim. Kant says that ‘to be truthful (honest) in all deliberations ... is a sacred and absolutely commanding decree of reason, limited by no expediency.’ Kant is therefore an absolutist, for he would argue against lying under any conditions. This is what makes him an absolutist: lying is forbidden in every situation; it is never permissible to lie.

Similarly, an important contemporary deontologist, Charles Fried, endorses absolutism in the following passage: “Ordinary moral understanding, as well as many major traditions of Western moral theory, recognize that there are some things which a moral man will not do, no matter what...It is part of the idea that lying or murder are wrong, not just bad, that these are things you must not do—no matter what. They are not mere negatives that enter into a calculus to be outweighed by the good you might do or the greater harm you might avoid. Thus the norms which express deontological judgments—for example, Do not commit murder—may be said to be absolute. They do not say: ‘Avoid lying, other things being equal’, but ‘Do not lie, period.’” (Fried 1978) (See also [Elizabeth Anscombe](#).)

Non-absolutist deontologists, such as [W.D. Ross](#) hold that one may in exceptional circumstances break deontological constraints. Ross distinguishes between prima facie duties and what he calls duties proper. The concept of a prima facie duty is the concept of a duty, which though it is a significant reason for not doing something, is not absolute, but must be weighed up against other duties. A duty proper refers to the action that must be done when all the prima facie duties have been considered and weighed. To illustrate, Ross thinks that we have duties to keep our promises, and duties of benevolence: these are, then, prima facie duties. Insofar as these prima facie duties come into conflict (and one cannot keep a promise and act with benevolence), one must decide on the basis of contextual details, which of these duties is most pressing. The action which is judged to be, all things considered, the right thing to do, is the duty proper. Ross’s theory is an example of a moderate deontology, that is, deontology without absolutism.

Political Absolutism

In its political sense, 'absolutism' is a theory of legislative authority. It holds that the ruler, usually the king, has exclusive legal authority, and consequently that the laws of state are nothing other than expressions of his will (see voluntarism). Only divine and natural laws limit the king's power, which in its practical implication, amounts to almost no limitation at all. In the terminology of Roman law, the king is *legibus solutus* ('unfettered legislator'). The European monarchies, especially those of [France](#), [Spain](#), and [Russia](#), between the fifteenth and eighteenth centuries provide clear examples of absolutist states, although many others, such as the dynasties of China and [Japan](#), also qualify. It was not until the end of the eighteenth century that the prevalence of absolute rule in Europe began to wane.

In its most extreme form, absolutism interprets the power of the king, and his right to rule, as derived directly from God. This is known as the Divine Right of Kings (see Jacques-Bénigne Bossuet). On this view, the monarch derives his authority as ruler directly from God, and not from the will of his subjects, the nobility, or any other human authority. According to a second form of absolutism, royal legislative authority derives from a contract between ruler and subjects, in which the people irreversibly transfer power to him (see [Thomas Hobbes](#)). Once power has been transferred in this way, the people are no longer entitled to replace their ruler, although they might legitimately resist him in certain extreme circumstances. Probably the most moderate form of absolutism originates in the writings of the Jesuit jurist and theologian [Francisco Suárez](#), who argued that the authority of the ruler derives from the people's delegating power to him. This differs from the second form of absolutism since the transfer of power is not irreversible: the people could legitimately, in some circumstances, reclaim the authority they had delegated. (See also Social Contract theory)

63. Louis XIV



Je m'en vais, mais l'État demeurera toujours. (I am leaving, but the State will remain forever.)

The longest-reigning [King of France](#) (5 September 1638–1 September 1715)—and indeed the [longest-reigning monarch](#) of any European Great Power^{note}—known as Louis the Great or the [Sun King](#). He was the most influential monarch of the 17th century. His most visible legacy is his ludicrously grand palace at Versailles.

Louis' impact on French history require a bit of context: namely, the fact that feudalism is decentralized. In theory, in a feudal government, when the king says, “Go do this,” everyone has to obey, but in practice the other knights, barons, viscounts, counts, barons, dukes and princes have some leeway to hem, haw and etc. Plus there was the fact that there were innumerable customs, traditions, and laws that, while the king *could* try to override them, any attempt to

change them would generally provoke concerted opposition from the lords if he tried doing that. And because feudal lords' status in the system was built on their access to resources and therefore raise armies, the monarch could only do so much to impose his will by force or fiat. Even when the king's army was biggest, strongest, and best in the country (and it often wasn't), it was rarely so strong that it could be trusted to win every fight, and even when it could, not every political dispute was worth turning into a civil war. A feudal monarch thus relied on his own charisma and influence, rather than the power or resources of his office, at least partially... And Louis's father, the [thirteenth of his name](#), was a bit limp in this area, despite having [The Three Musketeers](#) working for him.

Louis XIV fixed this by doing his best to turn himself into an "absolute monarch." He did this by using his charisma—in which he was not lacking—combined with some bending and reviving of old traditions to get the nobles to wait on him hand and foot. Seriously, they treated him like they were teen girls and he was a [Teen Idol](#). You see, one power the king always had was the power to invite lords to come to him and join his court—not because he could really "force" anyone to come, mind you, but because refusing such an invitation was seen as the height of ingratitude and therefore declining the king's invitation was not a decision taken lightly. Once at court, he could hand out official roles and duties in the court to the various nobles, which he did with abandon; by the end of his reign, it took 200 noble lords to help him get up and get dressed in the morning (officially, anyway—unofficially, he woke up two hours earlier to handle the royal paperwork). With the lords all at Versailles, Louis could keep track of who was fawning over him, reward them appropriately, and essentially keep them prisoner, able to stay only on his sufferance and not able to go home to their own fiefs and interfere with his rule. This was a genius political move, but it allowed Louis free rein ([or free reign](#)) as a—still limited by fundamental laws of the kingdom—autocrat, which he exploited without compunction.

This being said, the problem with a [Cult of Personality](#) is that

you need a successor of equal ability and charisma, or else the whole thing will collapse when you die. Louis XIV's successor, [Louis XV](#) (actually his great-grandson) was nowhere near as effective, and his successor, [Louis XVI](#) (his grandson), despite being a lot more able than he generally got credit for, was severely lacking in charisma and thus could not prevent the crisis of absolutist France devolving into [the Revolution of 1789](#). Later historians feel that the Revolution was largely a consequence of Louis XIV's impossible-to-sustain absolute monarchy. They note that Louis XIV was inspired to take power as a result of the [English Civil War](#) and the rise of Cromwell ([Charles II](#)—the elder son of Louis' aunt Henriette Marie^{note}—was an exile in France much of this time^{note}). The changes in England as a result of the Civil War and regicide, which led to greater power in the hands of Parliament (consolidated subsequently in the Glorious Revolution) did not create a parallel movement in France in the same period. This meant that civil institutions did not develop in France in the same way to erode state power, rather Louis XIV reformed and centralized power from the top. This reactionary approach meant that changes came belatedly in France and in a necessarily drastic form. Indeed, the political commentator Alexis de Tocqueville noted that Britain's extension of more autonomy to its localities and its overseas colonies allowed them to become more innovative and dynamic than a France that controlled everything from the top down. This in turn ultimately allowed Britain to become more powerful than France during the 18th century. However, Tocqueville also noted that the signal achievement of the Jacobins during the Revolution was to forge a unified centralized French state, a process that Louis XIV had begun, which they had completed and which Napoleon permanently consolidated with his Civil Code. Interestingly, the anti-Bourbon Napoleon himself had some respect for his predecessor, describing Louis XIV as “the only King of France worthy of the name”.

64. Primary Source: John Locke

Excerpts from: John Locke Second Treatise of Civil Government (1690) Public Domain

Sect. 87. Man being born, as has been proved, with a title to perfect freedom, and an uncontrouled enjoyment of all the rights and privileges of the law of nature, equally with any other man, or number of men in the world, hath by nature a power, not only to preserve his property, that is, his life, liberty and estate, against the injuries and attempts of other men; but to judge of, and punish the breaches of that law in others, as he is persuaded the offence deserves, even with death itself, in crimes where the heinousness of the fact, in his opinion, requires it. But because no political society can be, nor subsist, without having in itself the power to preserve the property, and in order thereunto, punish the offences of all those of that society; there, and there only is political society, where every one of the members hath quitted this natural power, resigned it up into the hands of the community in all cases that exclude him not from appealing for protection to the law established by it. And thus all private judgment of every particular member being excluded, the community comes to be umpire, by settled standing rules, indifferent, and the same to all parties; and by men having authority from the community, for the execution of those rules, decides all the differences that may happen between any members of that society concerning any matter of right; and punishes those offences which any member hath committed against the society, with such penalties as the law has established: whereby it is easy to discern, who are, and who are not, in political society together. Those who are united into one body, and have a common established law and judicature to appeal to, with authority to decide controversies between them, and punish offenders, are in civil

society one with another: but those who have no such common appeal, I mean on earth, are still in the state of nature, each being, where there is no other, judge for himself, and executioner; which is, as I have before shewed it, the perfect state of nature.

Sect. 88. And thus the commonwealth comes by a power to set down what punishment shall belong to the several transgressions which they think worthy of it, committed amongst the members of that society, (which is the power of making laws) as well as it has the power to punish any injury done unto any of its members, by any one that is not of it, (which is the power of war and peace;) and all this for the preservation of the property of all the members of that society, as far as is possible. But though every man who has entered into civil society, and is become a member of any commonwealth, has thereby quitted his power to punish offences, against the law of nature, in prosecution of his own private judgment, yet with the judgment of offences, which he has given up to the legislative in all cases, where he can appeal to the magistrate, he has given a right to the commonwealth to employ his force, for the execution of the judgments of the commonwealth, whenever he shall be called to it; which indeed are his own judgments, they being made by himself, or his representative. And herein we have the original of the legislative and executive power of civil society, which is to judge by standing laws, how far offences are to be punished, when committed within the commonwealth; and also to determine, by occasional judgments founded on the present circumstances of the fact, how far injuries from without are to be vindicated; and in both these to employ all the force of all the members, when there shall be need.

Sect. 89. Where-ever therefore any number of men are so united into one society, as to quit every one his executive power of the law of nature, and to resign it to the public, there and there only is a political, or civil society. And this is done, where-ever any number of men, in the state of nature, enter into society to make one people, one body politic, under one supreme government; or else when any one joins himself to, and incorporates with any government already made: for hereby he authorizes the society, or which is all one, the

legislative thereof, to make laws for him, as the public good of the society shall require; to the execution whereof, his own assistance (as

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to his own decrees) is due. And this puts men out of a state of nature into that of a commonwealth, by setting up a judge on earth, with authority to determine all the controversies, and redress the injuries that may happen to any member of the commonwealth; which judge is the legislative, or magistrates appointed by it. And where-ever there are any number of men, however associated, that have no such decisive power to appeal to, there they are still in the state of nature.

Sect. 90. Hence it is evident, that absolute monarchy, which by some men is counted the only government in the world, is indeed inconsistent with civil society, and so can be no form of civil-government at all: for the end of civil society, being to avoid, and remedy those inconveniencies of the state of nature, which necessarily follow from every man's being judge in his own case, by setting up a known authority, to which every one of that society may appeal upon any injury received, or controversy that may arise, and which every one of the society ought to obey;* where- ever any persons are, who have not such an authority to appeal to, for the decision of any difference between them, there those persons are still in the state of nature; and so is every absolute prince, in respect of those who are under his dominion.

Sect. 91. For he being supposed to have all, both legislative and executive power in himself alone, there is no judge to be found, no appeal lies open to any one, who may fairly, and indifferently, and with authority decide, and from whose decision relief and redress may be expected of any injury or inconviency, that may be suffered from the prince, or by his order: so that such a man, however intitled, Czar, or Grand Seignior, or how you please, is as much in the state of nature, with all under his dominion, as he is with therest

of mankind: for where-ever any two men are, who have no standing rule, and common judge to appeal to on earth, for the determination of controversies of right betwixt them, there they are still in the state of* nature, and under all the inconveniencies of it, with only this woful difference to the subject, or rather slave of an absolute prince: that whereas, in the ordinary state of nature, he has a liberty to judge of his right, and according to the best of his power, to maintain it; now, whenever his property is invaded by the will and order of his monarch, he has not only no appeal, as those in society ought to have, but as if he were degraded from the common state of rational creatures, is denied a liberty to judge of, or to defend his right; and so is exposed to all the misery and inconveniencies, that a man can fear from one, who being in the unrestrained state of nature, is yet corrupted with flattery, and armed with power.

Sect. 92. For he that thinks absolute power purifies men's blood, and corrects the baseness of human nature, need read but the history of this, or any other age, to be convinced of the contrary. He that would have been insolent and injurious in the woods of America, would not probably be much better in a throne; where perhaps learning and religion shall be found out to justify all that he shall do to his subjects, and the sword presently silence all those that dare question it: for what the protection of absolute monarchy is, what kind of fathers of their countries it makes princes to be and to what a degree of happiness and security it carries civil society, where this sort of government is grown to perfection, he that will look into the late relation of Ceylon, may easily see.

Sect. 93. In absolute monarchies indeed, as well as other governments of the world, the subjects have an appeal to the law, and judges to decide any controversies, and restrain any violence that may happen betwixt the subjects themselves, one amongst another. This every one thinks necessary, and believes he deserves to be thought a declared enemy to society and mankind, who should go about to take it away. But whether this be from a true love of mankind and society, and such a charity as we owe all one to another, there is reason to doubt: for this is no more than what

every man, who loves his own power, profit, or greatness, may and naturally must do, keep those animals from hurting, or destroying one another, who labour and drudge only for his pleasure and advantage; and so are taken care of, not out of any love the master has for

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them, but love of himself, and the profit they bring him: for if it be asked, what security, what fence is there, in such a state, against the violence and oppression of this absolute ruler? the very question can scarce be borne. They are ready to tell you, that it deserves death only to ask after safety. Betwixt subject and subject, they will grant, there must be measures, laws and judges, for their mutual peace and security: but as for the ruler, he ought to be absolute, and is above all such circumstances; because he has power to do more hurt and wrong, it is right when he does it. To ask how you may be guarded from harm, or injury, on that side where the strongest hand is to do it, is presently the voice of faction and rebellion: as if when men quitting the state of nature entered into society, they agreed that all of them but one, should be under the restraint of laws, but that he should still retain all the liberty of the state of nature, increased with power, and made licentious by impunity. This is to think, that men are so foolish, that they take care to avoid what mischiefs may be done them by pole-cats, or foxes; but are content, nay, think it safety, to be devoured by lions.

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65. Primary Source Analysis

Module 6: Primary Source Analysis Questions

Using the excerpts provided of John Locke's Second Treatise of Civil Government : Answer the

following questions and complete and coherent sentences. Answer each part of the questions asked.

- 1) What does Locke believe about the rights of man?
- 2) What does he say infringes upon these rights?
- 3) Look at Section 89 in the excerpts- What is Locke saying here? Summarize this paragraph in your own words.
- 4) What is Locke's opinion on absolutism?
- 5) Based on these excerpts, what system of government does Locke prefer?

66. Primary Source: Revocation of the Edict of Nantes, October 22, 1685

Louis, by the grace of God king of France and Navarre, to all present and to come, greeting:

King Henry the Great, our grandfather of glorious memory, being desirous that the peace which he had procured for his subjects after the grievous losses they had sustained in the course of domestic and foreign wars, should not be troubled on account of the R.P.R., as had happened in the reigns of the kings, his predecessors, by his edict, granted at Nantes in the month of April, 1598, regulated the procedure to be adopted with regard to those of the said religion, and the places in which they might meet for public worship, established extraordinary judges to administer justice to them, and, in fine, provided in particular articles for whatever could be thought necessary for maintaining the tranquillity of his kingdom and for diminishing mutual aversion between the members of the two religions, so as to put himself in a better position to labor, as he had resolved to do, for the reunion to the Church of those who had so lightly withdrawn from it.

As the intention of the king, our grandfather, was frustrated by his sudden death, and as the execution of the said edict was interrupted during the minority of the late king, our most honored lord and father of glorious memory, by new encroachments on the part of the adherents of the said R.P.R., which gave occasion for their being deprived of divers advantages accorded to them by the said edict; nevertheless the king, our late lord and father, in the exercise of his usual clemency, granted them yet another edict at Nimes, in July, 1629, by means of which, tranquillity being established anew, the said late king, animated by the same spirit and the same zeal

for religion as the king, our said grandfather, had resolved to take advantage of this repose to attempt to put his said pious design into execution. But foreign wars having supervened soon after, so that the kingdom was seldom tranquil from 1635 to the truce concluded in 1684 with the powers of Europe, nothing more could be done for the advantage of religion beyond diminishing the number of places for the public exercise of the R.P.R., interdicting such places as were found established to the prejudice of the dispositions made by the edicts, and suppressing of the bi-partisan courts, these having been appointed provisionally only.

God having at last permitted that our people should enjoy perfect peace, we, no longer absorbed in protecting them from our enemies, are able to profit by this truce (which we have ourselves facilitated), and devote our whole attention to the means of accomplishing the designs of our said grandfather and father, which we have consistently kept before us since our succession to the crown.

And now we perceive, with thankful acknowledgment of God's aid, that our endeavors have attained their proposed end, inasmuch as the better and the greater part of our subjects of the said R.P.R. have embraced the Catholic faith. And since by this fact the execution of the Edict of Nantes and of all that has ever been ordained in favor of the said R.P.R. has been rendered nugatory, we have determined that we can do nothing better, in order wholly to obliterate the memory of the troubles, the confusion, and the evils which the progress of this false religion has caused in this kingdom, and which furnished occasion for the said edict and for so many previous and subsequent edicts and declarations, than entirely to revoke the said Edict of Nantes, with the special articles granted as a sequel to it, as well as all that has since been done in favor of the said religion.

I. Be it known that for these causes and others us hereunto moving, and of our certain knowledge, full power, and royal authority, we have, by this present perpetual and irrevocable edict, suppressed and revoked, and do suppress and revoke, the edict of our said grandfather, given at Nantes in April, 1598, in its whole

extent, together with the particular articles agreed upon in the month of May following, and the letters patent issued upon the same date; and also the edict given at Nimes in July, 1629; we declare them null and void, together with all concessions, of whatever nature they may be, made by them as well as by other edicts, declarations, and orders, in favor of the said persons of the R.P.R., the which shall remain in like manner as if they had never been granted; and in consequence we desire, and it is our pleasure, that all the temples of those of the said R.P.R. situate in our kingdom, countries, territories, and the lordships under our crown, shall be demolished without delay.

II. We forbid our subjects of the R.P.R. to meet any more for the exercise of the said religion in any place or private house, under any pretext whatever, . . .

III. We likewise forbid all noblemen, of what condition soever, to hold such religious exercises in their houses or fiefs, under penalty to be inflicted upon all our said subjects who shall engage in the said exercises, of imprisonment and confiscation.

IV. We enjoin all ministers of the said R.P.R., who do not choose to become converts and to embrace the Catholic, apostolic, and Roman religion, to leave our kingdom and the territories subject to us within a fortnight of the publication of our present edict, without leave to reside therein beyond that period, or, during the said fortnight, to engage in any preaching, exhortation, or any other function, on pain of being sent to the galleys. . . .

VII. We forbid private schools for the instruction of children of the said R.P.R., and in general all things what ever which can be regarded as a concession of any kind in favor of the said religion.

VIII. As for children who may be born of persons of the said R.P.R., we desire that from henceforth they be baptized by the parish priests. We enjoin parents to send them to the churches for that purpose, under penalty of five hundred livres fine, to be increased as circumstances may demand; and thereafter the children shall be brought up in the Catholic, apostolic, and Roman religion, which we expressly enjoin the local magistrates to see done.

IX. And in the exercise of our clemency towards our subjects of the said R.P.R. who have emigrated from our kingdom, lands, and territories subject to us, previous to the publication of our present edict, it is our will and pleasure that in case of their returning within the period of four months from the day of the said publication, they may, and it shall be lawful for them to, again take possession of their property, and to enjoy the same as if they had all along remained there: on the contrary, the property abandoned by those who, during the specified period of four months, shall not have returned into our kingdom, lands, and territories subject to us, shall remain and be confiscated in consequence of our declaration of the 20th of August last.

X. We repeat our most express prohibition to all our subjects of the said R.P.R., together with their wives and children, against leaving our kingdom, lands, and territories subject to us, or transporting their goods and effects therefrom under penalty, as respects the men, of being sent to the galleys, and as respects the women, of imprisonment and confiscation.

XI. It is our will and intention that the declarations rendered against the relapsed shall be executed according to their form and tenor.

XII. As for the rest, liberty is granted to the said persons of the R.P.R., pending the time when it shall please God to enlighten them as well as others, to remain in the cities and places of our kingdom, lands, and territories subject to us, and there to continue their commerce, and to enjoy their possessions, without being subjected to molestation or hindrance on account of the said R.P.R., on condition of not engaging in the exercise of the said religion, or of meeting under pretext of prayers or religious services, of whatever nature these may be, under the penalties above mentioned of imprisonment and confiscation.¹ This do we give in charge to our trusty and well-beloved counselors, etc.

Given at Fontainebleau in the month of October, in the year of grace 1685, and of our reign the forty-third.

67. Primary Source: The Bill of Rights, 1689

Whereas the said late King James II having abdicated the government, and the throne being thereby vacant, his Highness the prince of Orange (whom it hath pleased Almighty God to make the glorious instrument of delivering this kingdom from popery and arbitrary power) did (by the advice of the lords spiritual and temporal, and diverse principal persons of the Commons) cause letters to be written to the lords spiritual and temporal, being Protestants, and other letters to the several counties, cities, universities, boroughs, and Cinque Ports, for the choosing of such persons to represent them, as were of right to be sent to parliament, to meet and sit at Westminster upon the two and twentieth day of January, in this year 1689, in order to such an establishment as that their religion, laws, and liberties might not again be in danger of being subverted; upon which letters elections have been accordingly made.

And thereupon the said lords spiritual and temporal and Commons, pursuant to their respective letters and elections, being new assembled in a full and free representation of this nation, taking into their most serious consideration the best means for attaining the ends aforesaid, do in the first place (as their ancestors in like case have usually done), for the vindication and assertion of their ancient rights and liberties, declare:

- 1. That the pretended power of suspending laws, or the execution of laws, by regal authority, without consent of parliament is illegal.
- 2. That the pretended power of dispensing with the laws, or the execution of law by regal authority, as it hath been assumed and exercised of late, is illegal.

- 3. That the commission for erecting the late court of commissioners for ecclesiastical causes, and all other commissions and courts of like nature, are illegal and pernicious.
- 4. That levying money for or to the use of the crown by pretense of prerogative, without grant of parliament, for longer time or in other manner than the same is or shall be granted, is illegal.
- 5. That it is the right of the subjects to petition the king, and all commitments and prosecutions for such petitioning are illegal.
- 6. That the raising or keeping a standing army within the kingdom in time of peace, unless it be with consent of parliament, is against law.
- 7. That the subjects which are Protestants may have arms for their defense suitable to their conditions, and as allowed by law.
- 8. That election of members of parliament ought to be free.
- 9. That the freedom of speech, and debates or proceedings in parliament, ought not to be impeached or questioned in any court or place out of parliament.
- 10. That excessive bail ought not to be required, nor excessive fines imposed, nor cruel and unusual punishments inflicted.
- 11. That jurors ought to be duly impaneled and returned, and jurors which pass upon men in trials for high treason ought to be freeholders.
- 12. That all grants and promises of fines and forfeitures of particular persons before conviction are illegal and void.
- 13. And that for redress of all grievances, and for the amending, strengthening, and preserving of the laws, parliament ought to be held frequently.

And they do claim, demand, and insist upon all and singular the premises, as their undoubted rights and liberties....

Having therefore an entire confidence that his said Highness the prince of Orange will perfect the deliverance so far advanced by

him, and will still preserve them from the violation of their rights, which they have here asserted, and from all other attempt upon their religion, rights, and liberties:

The said lords spiritual and temporal, and commons, assembled at Westminster, do resolve that William and Mary, prince and princess of Orange, be, and be declared, king and queen of England, France, and Ireland....

Upon which their said Majesties did accept the crown and royal dignity of the kingdoms of England, France, and Ireland, and the dominions thereunto belonging, according to the resolution and desire of the said lords and commons contained in the said declaration.

From *The Statutes: Revised Edition* (London: Eyre and Spottiswoode, 1871), Vol. 2, pp. 10-12.

68. Climate Change, Chaos, and the Little Ice Age: Crash Course World History 206



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69. Mini Bio: Louis XIV



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PART VIII

7: SCIENTIFIC REVOLUTION AND ENLIGHTENMENT

70. Scientific Revolution and Enlightenment

Introduction

The Age of Science of the 1600s and the Enlightenment of the 1700s, also dubbed the Age of Enlightenment, introduced countless new concepts to European society. These ideas continue to permeate modern society. Many modern institutions have much of their foundations in the ideals of these times.

An Era of Enlightened Despotism

A new form of government began to replace absolutism across the continent. Whilst monarchs were reluctant to give up their powers, many also recognized that their states could potentially benefit from the spread of Enlightenment ideas. The most prominent of these rulers were Frederick II the Great Hohenzollern of Prussia, Joseph II Hapsburg of Austria, and Catherine II the Great Romanov of Russia.

In order to understand the actions of the European monarchs of this period, it is important to understand their key beliefs. Enlightened despots rejected the concept of absolutism and the divine right to rule. They justified their position based on their usefulness to the state. These despots based their decisions upon their reason, and they stressed religious toleration and the importance of education. They enacted codified, uniform laws, repressed local authority, nobles, and the church, and often acted impulsively and instilled change at an incredibly fast rate.

Catherine the Great 1762-1796

Catherine the Great came to power because Peter III failed to bear a male heir to the throne and was killed. Her enlightened reforms include:

- Restrictions on torture
- Religious toleration
- Education for girls
- 1767 Legislative Commission, which reported to her on the state of the Russian people

- Trained and educated her grandson Alexander I so that he could progress in society because of his merit rather than his blood line

She was friends with Diderot, Rousseau, Voltaire. However, Catherine also took a number of decidedly unenlightened actions. In 1773 she violently suppressed Pugachev's Rebellion, a massive peasant rebellion against the degradation of the serfs. She conceded more power to the nobles and eliminated state service. Also, serfdom became equivalent to slavery under her.

Foreign Policy

Catherine combated the Ottoman Empire. In 1774, Russia gained a warm water port on the Black Sea.

Frederick II the Great 1740-1786

Frederick II Hohenzollern of Prussia declared himself "The First Servant of the State," believing that it was his duty to serve the state and do well for his nation. He extended education to all classes, and established a professional bureaucracy and civil servants. He created a uniform judicial system and abolished torture. During his

tenure, Prussia innovated agriculture by using potatoes and turnips to replenish the soil. Also, Frederick established religious freedom in Prussia.

Joseph II Habsburg 1765-1790

Joseph II Habsburg (also spelled as Hapsburg) of Austria could be considered perhaps the greatest enlightened despot, and he was purely enlightened, working solely for the good of his country. He was anti-feudalism, anti-church, and anti-nobility. He famously stated, “The state should provide the greatest good for the greatest number.” He created equal punishment and taxation regardless of class, complete freedom of the press, toleration of all religions, and civil rights for Jews. Under Joseph II a uniform law code was established, and in 1781 he abolished serfdom and in 1789 ordered the General School Ordinance, which required compulsory education for Austrian children. However, Joseph failed because he angered people by making changes far too swiftly, and even the serfs weren’t satisfied with their abrupt freedom.

England

As a result of the Glorious Revolution of 1688, England already had a Parliament and thus enlightened despotism did not take hold in England.

France

After Louis XIV the “Sun King,” Louis XV took control from 1715

until 1774. Like his predecessor, he was an absolute monarch who enacted mercantilism. As a result of the influence and control of absolutism in France, France also did not encounter an enlightened despot. In order to consummate an alliance between his nation and Austria, Maria Theresa of Austria married her daughter, Marie Antoinette, to Louis XV's heir, Louis XVI. Louis XV recognized that the fragile institutions of absolutism were crumbling in France, and he famously stated, "Après moi, le déluge", or "After me, the flood."

A War-Torn Europe

War of Austrian Succession

The war of Austrian Succession of 1740 to 1748 pitted Austria, England, and the Dutch against Prussia, France, and Spain. Upon Maria Theresa's acquisition of the Austrian throne, Frederick the Great of Prussia attacked Silesia, and war broke out. In 1748 peace came at the Treaty of Aix la Chapelle. The treaty preserved the balance of power and the status quo ante bellum. Austria survived but lost Silesia, which began "German Dualism" or the fight between Prussia and Austria over who would dominate and eventually unite Germany.

The Seven Years War

The peace in 1748 was recognized as temporary by all, and in 1756 Austria and France allied in what was known as the Diplomatic Revolution. The reversal of the traditional France versus Austria situation occurred as a result of both nation's fear of a rising, militant Prussia. To consummate the marriage, Louis XVI married

Marie Antionette. The Seven Years War engaged Austria, France, Russia, Spain, Sweden, and Saxony against Prussia and England. The purpose of the war was to annihilate Prussia, and took place at a number of fronts: in Europe, in America (where American citizens know it as the French and Indian War) and in India. At the Peace of Paris in 1763, the war concluded, and Prussia retained all of its territory, including Silesia. France ceded Canada to Britain and the North American interior to Spain, and removed its armies from India. It did, however, get to keep its West Indies colonies. At this point, Great Britain became the supreme naval power and it began its domination of India.

The Partitioning of Poland

Poland was first partitioned on February 19, 1772, between Russia, Austria, and Prussia, in an agreement between them to gain more land and power in Europe. Poland was able to be partitioned because it was weak and had no ability to stop the larger and more powerful nations. The balance of power was not taken into consideration by France or England because the partitioning did not upset the great powers of Europe. The second partition involved Russia and Prussia taking addition land from Poland. After the second partition, which occurred on January 21, 1792, the majority of their remaining land was lost to Prussia and Russia. The third partition of Poland took place in October of 1795, giving Russia, Prussia, and Austria the remainder of the Polish land. Russia ended up with 120,000 square kilometres, Austria 47,000 square kilometres, and Prussia 55,000 square kilometres. This took Poland off of the map.

Science and Technology

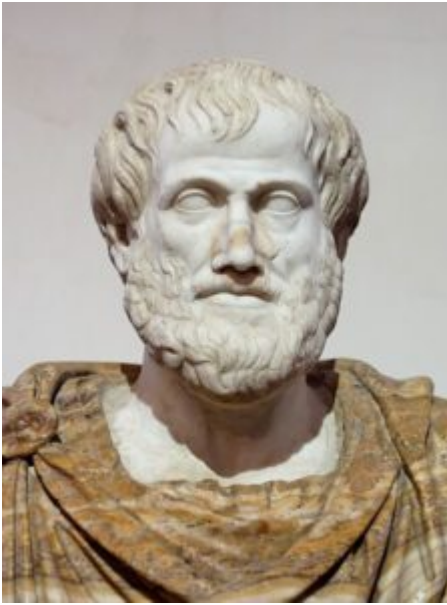
The Enlightenment was notable for its scientific revolution, which changed the manner in which the people of Europe approached both science and technology. This was the direct result of philosophic enquiry into the ways in which science should be approached. The most important figures in this change of thinking were Descartes and Bacon.

The philosopher Descartes presented the notion of deductive reasoning – that is, to start with a premise and to then discard evidence that doesn't support the premise. However, Sir Francis Bacon introduced a new method of thought. He suggested that instead of using deductive reasoning, people should use inductive reasoning – in other words, they should gather evidence and then reach a conclusion based on the evidence. This line of thought also became known as the Scientific Method.

Changes in Astronomy

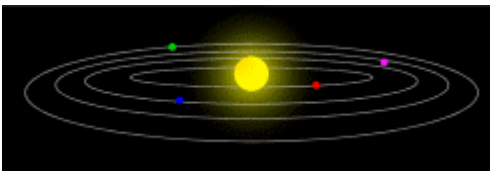
The Scientific Revolution began with discoveries in astronomy, most importantly dealing with the concept of a solar system. These discoveries generated controversy, and some were forced by church authorities to recant their theories.

Pre-Revolution: Aristotle and Ptolemy



Ancient Greek philosophers Aristotle and Ptolemy had a geocentric, or Earth-centred, view of the universe. Of the ten spheres of the heavens, Earth and heavy objects (such as sinners) were at the centre, and lighter objects (such as angels) were in the higher spheres. This view was adopted as Church doctrine.

Nicolaus Copernicus (1473-1543)



During the Renaissance, study of astronomy at universities began. Regiomontanus and Nicolas of Cusa developed new advances in

mathematics and methods of calculation. Copernicus, although a devout Christian, doubted whether the views held by Aristotle and Ptolemy were completely correct. Using mathematics and visual observations with only the naked eye, he developed the Heliocentric, or Copernican, Theory of the Universe, stating that the Earth revolves around the sun.

Tycho Brahe (1546-1601)

Tycho Brahe created a mass of scientific data on astronomy during his lifetime; although he made no major contributions to science, he laid the groundwork for Kepler's discoveries.

Johannes Kepler (1571-1630)

Kepler was a student of Brahe. He used Brahe's body of data to write Kepler's Three Laws of Planetary Motion, most significantly noting that planets' orbits are elliptical instead of circular.

Galileo Galilei (1564-1642)

Galileo is generally given credit for invention of the telescope; although the device itself is not of Galileo's design, he was the first to use it for astronomy. With this tool, he proved the Copernican Theory of the Universe. Galileo spread news of his work through letters to friends and colleagues. Although the Church forced him to recant his ideas and spend the rest of his life under house arrest, his works had already been published and could not be disregarded.

Isaac Newton (1642-1727)



Newton is often considered the greatest scientific mind in history. His *Principia Mathematica* (1687) includes Newton's Law of Gravity, an incredibly ground-breaking study. Newton's work destroyed the old notion of an Earth-centred universe. Newton also had a great influence outside of science. For example, he was to become the hero of Thomas Jefferson.

Developments in Medicine Andreas

Vesalius (1514-1564)

Vesalius studied human cadavers, a practice forbidden by church doctrine. His writing *The Structure of the Human Body* in 1543 renewed and modernized the study of the human body.

William Harvey (1678-1757)

William Harvey wrote *On the Movement of the Heart and Blood* in 1728, on the circulatory system.

Society and Culture

As a result of new learning from the Scientific Revolution, the world was less of a mystical place, as natural phenomena became increasingly explainable by science. According to Enlightened philosophers:

- The universe is a fully tangible place governed by natural rather than supernatural forces.
- Rigorous application of the scientific method can answer fundamental questions in all areas of inquiry.
- The human race can be educated to achieve nearly infinite improvement.

Perhaps most importantly, though, Enlightened philosophers stressed that people are all equal because all of us possess reason.

Precursors

There were a number of precursors to the Enlightenment. One of the most important was the Age of Science of the 1600s, which presented inductive thinking, and using evidence to reach a conclusion. The ideas of Locke and Hobbes and the notion of the social contract challenged traditional thinking and also contributed to the Enlightenment. Scepticism, which questioned traditional authority and ideas, contributed as well. Finally, the idea of moral relativism arose – assailing people for judging people who are different from themselves.

The Legacy of the Enlightenment

The Enlightenment began in France, as a result of its well-developed town and city life, as well as its large middle class that wanted to learn the ideas. The Enlightenment promoted the use of one's reason, rather than accepting tradition. It rejected the traditional attitudes of the Catholic Church. Many "philosophers," or people who thought about subjects in an enquiring, inductive manner, became prominent. Salons were hosted by upper-middle class women who wanted to discuss topics of the day, such as politics.

The Enlightenment stressed that we are products of experience and environment, and that we should have the utmost confidence in the unlimited capacity of the human mind. It stressed the unlimited progress of humans, and the ideas of atheism and deism became especially prominent. Adam Smith's concept of free market capitalism sent European economics in a new direction. Enlightened despots such as Catherine the Great and Joseph II replaced absolute monarchs and used their states as agents of progress. Education and literacy expanded vastly, and people recognized the importance of intellectual freedoms of speech, thought, and press.

Conflict with the Church

Although the ideas of the Enlightenment clashed with Church dogma, it was mostly not a movement against the Church. Most Enlightened philosophers considered themselves to be followers of deism, believing that God created an utterly flawless universe and left it alone, some describing God as the "divine clockmaker."

Thomas Hobbes (1588-1679)

- dies before the enlightenment
 - English Revolution shapes his political outlook
 - Leviathan (1651) – life is “nasty, brutish, and short” – people are naturally bad and need a strong government to control them.
 - may be considered to be the father of the enlightenment: because of all the opposition he inspired.

John Locke (1632-1704)



- specifically refuted Hobbes
 - humanity is only governed by laws of nature, man has right to life, liberty, and property
 - there is a natural social contract that binds the people and their government together; the people have a responsibility to their

government, and their government likewise has a responsibility to its people

- Two Treatises on Civil Government justified supremacy of Parliament
- Essay Concerning Human Understanding (1690) – Tabula rasa – human progress is in the hands of society

Philosophers

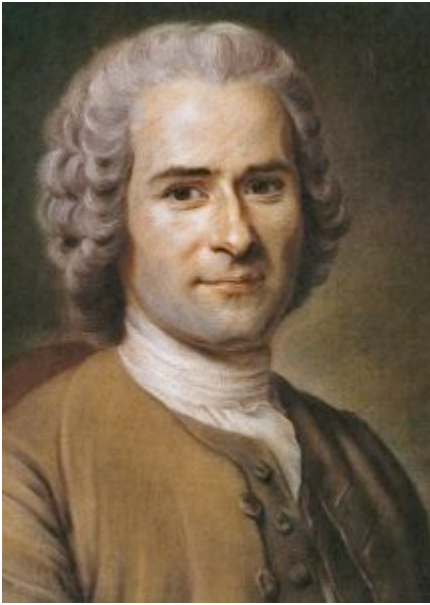
Voltaire (1694-1776)

- stressed religious tolerance

Baron de Montesquieu (1689-1755)

- Spirit of the Laws – checks and balances on government, no one group having sole power

Jean-Jacques Rousseau (1712-1778)



- social contract
- “general will” – government acts for the majority

Rococo Art



The Rococo Art movement of the 1700s emphasized elaborate, decorative, frivolous, and aristocratic art. Often depicted were playful intrigue, love, and courtship. The use of wispy brush strokes and pastels was common in Rococo Art. Rococo Art is especially associated with the reign of Louis XV Bourbon in France. The French artist Boucher painted for Madame Pompadour, the mistress of Louis XV. The most famous paintings of Boucher include *Diana Leaving her Bath* and *Pastorale*, a painting of a wealthy couple under a tree.

Article Sources and Contributors

European History/Scientific Revolution and Enlightenment

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71. Roots of the Scientific Revolution

During the 1500s and 1600s, a handful of brilliant individuals laid the foundations for science as we know it today. Some historians consider the development of modern science the most important event in the intellectual history of humankind.

A Revolution in Thinking

The series of events **Scientific_Revolution_-_Thinkers.jpg** that led to the birth of modern science is called the Scientific Revolution. It occurred between about 1540 and 1700. Why would the birth of science be called a “revolution”? The answer is that science was a radical new idea. It was a completely different way of looking at the world.

Before the Scientific Revolution, most educated people who studied the world took guidance from the explanations given by authorities like ancient Greek writers and Catholic Church officials. After the Scientific Revolution, educated people placed more importance on what they observed and less on what they were told. They gained knowledge by observing the world around them and coming up with logical explanations for what they saw.

Understanding Science

Science is a particular way of gaining knowledge about the world. In fact, the word science comes from a Latin word meaning “knowledge” or “understanding.” Science starts with observation. Scientists observe, or look at, the world. By observing the world they can identify facts about it. A famous scientist once said, “Science is built up with facts, as a house is with stones. But a collection of facts is no more a science than a pile of stones is a house.”

So scientists do more than identify facts. They use logic to explain the facts they have observed. The explanations scientists develop based on these facts are called theories. Theories are not accepted

on faith. They must be tested to see if they are true. Scientists design experiments to test their theories. If the experiments keep showing that the theory makes sense, the theory is kept. If the experiments do not support the theory, scientists try a new theory. In this way, scientists learn more about the world.

As you can see, scientific knowledge is based on observations, facts, and logical ideas, or theories, about them. Before the Scientific Revolution, this method of gaining knowledge was uncommon.

Roots of the Revolution

Some of the main ideas of science had been expressed long before the Scientific Revolution. In fact, some of the basic ideas of science are ancient.

Greek Thinkers

Many Greek thinkers expressed ideas that, today, we would call scientific. The great philosopher Aristotle, for example, wrote about astronomy, geography, and many other fields. But his greatest contribution to science was the idea that people should observe the world carefully and draw logical conclusions about what they see. The use of observation and logic, as you have just read, is important in gaining scientific knowledge.

Another Greek thinker was Ptolemy (TAHL-uh-mee), an ancient astronomer. He studied the skies, recorded his observations, and offered theories to explain what he saw. Ptolemy was also a geographer who made the best maps of his time. His maps were based on observations of the real world. Aristotle, Ptolemy, and other Greek thinkers were rationalists, people who looked at the world in a rational, or reasonable and logical, way. During the Renaissance, Europeans studied the works of Greek rationalists. As a result, they began to view the world in a rational way. They began to think like scientists.

Scientific_Revolution_-_Greeks.jpg

Preserving Ancient Knowledge

European scholars could study ancient Greek writings because of

the work of others. Muslim scholars translated Greek writings into Arabic. They studied them for centuries and added their own new ideas. Later, the Arabic versions were translated into Latin, which was read in Europe. This work preserved ancient knowledge and spread interest in science to Europe.

Other religious scholars also played a role in preserving Greek ideas. The Jewish scholar Maimonides (my-MAHN-uh-deez) studied and wrote about Aristotle, trying to unite his work with Jewish ideas. The Christian scholar Thomas Aquinas tried to unite the work of Aristotle with Christian ideas. Other Christian scholars studied Greek ideas in Europe's universities.

Developments in Europe



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The Scientific Revolution was not just the result of European scholars studying ancient Greek writings. Developments in Europe also helped bring about the Scientific Revolution. One development that helped lead to the Scientific Revolution was the growth of humanism during the Renaissance. Humanist artists and writers spent much of their time studying the natural world. This interest in the natural world carried forward into the Scientific Revolution.

Another development was a growing interest in alchemy (AL-kuh-mee). Alchemy was a forerunner of chemistry. Alchemists experimented with various natural substances. They were best known for trying to change other metals into gold. Although they failed at that, alchemists succeeded in using experiments to learn more about how nature worked.

All of these developments—the interest in ancient Greek writings,

the growth of humanism, the experiments of alchemists—came together in the early 1500s to bring about the Scientific Revolution.

02 – NEW DISCOVERIES

Scientific_Revolution_-_Columbus.jpg

During the Renaissance, European scholars eagerly read and studied the works of Greek rationalists. Aristotle, Ptolemy, and others were viewed as authorities.

Then an event took place that caused Europeans to doubt some of what the Greeks had said. In 1492, Christopher Columbus sailed west across the Atlantic Ocean in hopes of reaching Asia. As a guide, he took the map of the world that Ptolemy had created. Columbus never reached Asia because he ran into North America instead. Within a few years voyages of exploration made it clear that there was an entire continent that Europeans hadn't even known existed.

This discovery stunned Europeans. This continent was not on Ptolemy's map. Ptolemy was wrong. Observation of the real world had disproved the teachings of an ancient authority. Soon, European scholars began to question the accuracy of other Greek authorities. More and more, observations the Europeans made did not fit with what the authorities had described. Such observations helped lead to the Scientific Revolution.

03 – ASTRONOMY

In 1543 an astronomer published a book that contradicted what a

Greek authority had written. Many historians think the publication of this book marks the beginning of the Scientific Revolution.

Nicolaus Copernicus

The book thought to have marked the beginning of the Scientific Revolution was written by a Polish astronomer, Nicolaus Copernicus (kuh-PUHR-ni-kuhs). His 1543 book was called *On the Revolution of the Celestial Spheres*. Copernicus was familiar with Ptolemy's theories and writings. Ptolemy had written that the earth was the center of the universe and that the sun and other planets orbited, or circled around, the earth. For 1,400 years, people accepted this belief as fact.

As Copernicus studied the movements of the planets, however, what Ptolemy stated made less and less sense to him. If the planets were indeed orbiting the earth, they would have to be moving in very complex patterns. So Copernicus tried a different explanation for what he observed in the sky. Copernicus asked, What if the planets actually orbited the sun? Suddenly, complex patterns weren't necessary to make sense of what Copernicus observed. Instead, simple circular orbits would account for the planets' movements.

What Copernicus had done was practice science. Instead of trying to make his observations fit an old idea, he came up with a different idea—a different theory—to explain what he observed. Copernicus never proved his theory, but the Scientific Revolution had begun.

Scientific_Revolution_-_Copernicus.gif



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Brahe and Kepler

Another important astronomer of the Scientific Revolution was Tycho Brahe (TYOO-koh BRAH-huh). Brahe, who was Danish, spent most of his life observing the stars. In the late 1500s, he charted the positions of more than 750 of them.

What Brahe did, however, was less important than how he did it. Brahe emphasized the importance of careful observation and detailed, accurate records. Careful recording of information is necessary so that other scientists can use what has previously been

learned. In this way, Brahe made an important contribution to modern science.

Brahe was assisted by the German astronomer Johannes Kepler. Later, Kepler tried to map the orbits of the planets. But Kepler ran into a problem. According to his observations, the planet Mars did not move in a circle as he expected it to. Kepler knew that Copernicus had stated that the orbits of the planets were circular. But Kepler's observations showed that Copernicus was mistaken. In 1609 Kepler wrote that Mars—and all other planets—moved in elliptical, or oval, orbits instead of circular ones. Here was a new theory that fit the observed facts.

Kepler's work helped prove Copernicus's theory that the planets orbit the sun. In fact, Kepler became one of the first scientists to speak out in support of Copernicus.

Kepler continued to study the planets for the rest of his life. His basic ideas about the planets' movements are still accepted by scientists today.

Scientific_Revolution_-_Kepler.JPG

04 – GALILEO GALILEI

Galileo Galilei (gal-uh-LEE-oh gal-uh-LAY) was one of the most important scientists of the Scientific Revolution. He was the first person to study the sky with a telescope. With his telescope, Galileo discovered craters and mountains on the moon. He also discovered that moons orbit Jupiter.

Galileo was interested in more than astronomy, however. He also was interested in such things as how falling objects behave. Today, we use the term mechanics for the study of objects and motion.

Galileo's biggest contribution to the development of science was

the way he learned about mechanics. Instead of just observing things in nature, he set up experiments to test what he observed. Galileo was the first scientist to routinely use experiments to test his theories. For this, he is remembered as the father of experimental science.

Scientific_Revolution_-_Galileo.JPG



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05 – SIR ISAAC NEWTON

The high point of the Scientific Revolution was marked by the publication of a remarkable book. This book, published in 1687, was *Principia Mathematica*. Its author was the English scientist Sir Isaac Newton. Newton was one of the greatest and most influential scientists who ever lived. Newton studied and simplified the work of earlier scientists. In doing so, he:

- reviewed everything scientists had been learning,
- coupled it with his own observations and ideas, and
- identified four theories that described how the physical world worked.

Some of his theories have been proven so many times that they are no longer called theories, but laws.

One of Newton's laws is called the law of gravity. You may know that gravity is the force that attracts objects to each other. It's the force that makes a dropped apple fall to the ground and that keeps the planets in orbit around the sun.

Newton's other three laws are called the laws of motion. They describe how objects move in space. You may have heard of one

of them: “For every action there is an equal and opposite reaction.” Newton proposed that the universe was like a huge machine. Within this machine, all objects follow the laws he identified. In short, Newton explained how the physical world worked—and he was correct. Newton’s laws became the foundation of nearly all scientific study until the 1900s.

Newton also invented calculus, an advanced form of mathematics that scientists use to solve complex problems. For this, and for his laws of motion, Newton is remembered as a great scientist.

Scientific_Revolution_-_Newton.JPG



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o6 – NEW INVENTIONS

Scientific_Revolution_-_Inventions.JPG

During the Scientific Revolution, scientists invented new and better instruments. These helped them study the natural world.

Around 1590, a Dutch lens maker named Zacharias Janssen invented a simple microscope. The first person to use a microscope as a scientific instrument, though, was the Dutch scientist Antoni van Leeuwenhoek (LAY-ven-hook) in the mid-1600s. Examining a drop of pond water with his microscope, he saw tiny plants and animals not visible to the naked eye.

In 1593, Galileo invented the thermometer. Thermometers are used to measure temperature. About 50 years later an Italian doctor developed a more accurate model than Galileo's.

The telescope was probably invented by a Dutch lens maker in 1608. The next year, Galileo built a much-improved telescope that he used to make his important astronomical discoveries.

In 1643, the Italian scientist Evange-lista Torricelli invented the barometer. A barometer is a scientific instrument that measures air pressure. Barometers are used to help forecast the weather.

These instruments—the microscope, the thermometer, the

telescope, and the barometer—are very common today. In fact, you have probably used at least one of them yourself. But when they were invented, they were dramatic advances in technology. They gave scientists the tools they needed to make more accurate observations of the world and to conduct experiments. They were the tools of the Scientific Revolution.



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07 – THE SCIENTIFIC METHOD

Today scientists use a procedure called the scientific method when doing their research. The scientific method is a step-by-step method for performing experiments and other scientific research.

The scientific method combines Bacon's idea of a systematic scientific process, Descartes's insistence on proof and clear

reasoning, and the work of other scientists. Using the scientific method, scientists have learned more about the universe in the few hundred years since the Scientific Revolution than in all of the thousands of years that came before. Because of this, the basics of the scientific method—observation and experimentation—are considered the main principles of modern science.

There are six basic steps in the scientific method:

1. Stating the Scientific_Revolution_-_Scientific_Method.gif problem. The problem is often a question that begins with why. For example, Copernicus's problem today would be stated, "Why do the planets move as they do?"

2. Gathering information. This can involve reading what other scientists have written and making observations.

3. Forming a hypothesis. A hypothesis is a solution that the scientist proposes to solve the problem. A hypothesis differs from a theory in that a hypothesis has not yet been tested.

4. Testing the hypothesis by performing experiments.

5. Recording and analyzing data gathered from the experiments.

6. Drawing conclusions from the data collected.

After scientists have concluded their experiments, they typically publish their results. This sharing of ideas is very important for two reasons. First, publishing results lets other scientists try to reproduce the experiments. By reproducing experiments, scientists can determine whether the results are the same. If they are, they can be reasonably sure that the results are accurate. Second, publishing results spreads scientific knowledge. New scientific knowledge builds on previous knowledge. Sir Isaac Newton once wrote, "If I have seen further it is by standing on the shoulders of Giants."

o8 – SCIENCE, GOVERNMENT, AND SOCIETY

Some of the most important effects of the Scientific Revolution had nothing to do with science at all. When philosophers began applying scientific thought to other areas of human life, they came up with some startling new ideas.

The Power of Reason

By the end of the Scientific Revolution, one thing had become clear to many European thinkers: human reason, or logical thought, was a powerful tool. After all, scientists using reason had made many discoveries about the universe in a relatively short time. Since reason had proven itself as a way to learn some of nature's great secrets, might reason also be used to solve the problems facing people? Philosophers decided to use reason when they considered society's problems like poverty and war, or what type of government is best. This use of reason to consider the problems of society led philosophers to look at the world in a new way. They thought they could use reason to determine how to improve society.

Democratic Ideas

One way in which scientists thought they could improve society was by changing its government. Scientists' use of reason and logic during the Scientific Revolution helped pave the way for the beginnings of democratic thought in Europe. As scientists like Sir Isaac Newton studied the world, they discovered laws that governed nature. In time, some scientists began to think that there must be laws that governed human behavior as well. Once people learned what these laws were, the scientists argued, they could improve their lives and their societies. But the idea that people's lives were governed by laws had a deeper meaning as well. If all people were governed by the same laws, then it stood to reason that all people must be equal. This idea of the equality of all people was a fundamental step in the development of democratic ideas in Europe.

Scientific_Revolution_-_Democracy.jpg

09 – SCIENCE AND RELIGION

The Roman Catholic Church was a powerful force in Europe during the time of the Scientific Revolution. The birth and growth of science led to conflicts between scientists and the Church.

Reason for Conflict

There were two related parts to the conflict between science and the Church. The first was that the new science was putting forth ideas that contradicted Church teachings. For example, Copernicus's idea that the earth orbited the sun contradicted the Church teaching that the earth was at the center of the universe.

A second part of the conflict was related to the first. When people contradicted the Church's teachings, they weakened the Church. Church officials were afraid that questioning even one Church teaching might lead to more and more questions about the Church. People might even start to doubt key elements of the faith. Church officials feared this would undermine the Church's influence.

The Trial of Galileo



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The conflict between science and the Church was illustrated by a trial. Galileo published a book that supported the view that the planets orbit the sun. For this, he was put on trial by the Inquisition,

a Church court that investigated people who questioned Church authority. Catholic officials insisted that Galileo publicly reject his findings and accept Catholic teachings that the earth was the center of the universe and did not move. Under threat of torture, Galileo agreed. Still, legend has it that as Galileo left his trial, he muttered, “And yet it does move.” Although he is remembered for opposing this Church teaching, Galileo was a devout Catholic. He believed that experimentation was a search for an understanding of God’s creation.

Scientific_Revolution_-_Galileo_Trial.jpg

Knowledge and Belief

Many of the scientists you have been reading about held views similar to Galileo’s. For the scientists of the Scientific Revolution, science and traditional religious beliefs could exist at the same time. Nicolaus Copernicus served as a Church official. Sir Isaac Newton saw a close connection between science and religion. For example, Newton believed that all forces in nature were actions directed by God.

Despite the conflicts, science developed rapidly after the Scientific Revolution. Scientists made—and continue to make—countless discoveries. Scientific knowledge has changed human life dramatically and touches your life every day. Therefore, the Scientific Revolution ranks as one of the most influential events in history.

10 – AUDIO RESOURCES

II – FULL YOUTUBE VIDEOS

GALILEO – BATTLE FOR THE HEAVENS – PBS



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SIR ISAAC NEWTON – GRAVITY



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72. Enlightenment Around the World

6.3 THE ENLIGHTENMENT AND THE GREAT AWAKENING

6.3 THE ENLIGHTENMENT AND THE GREAT AWAKENING

To understand the Enlightenment and fully appreciate its significance, we must review the state of the western world before the Scientific Revolution. Today most people believe the earth is a round planet orbiting in a solar system around a star known as the sun. We tend to accept this view without question. In the 1400s, people's view of the world differed from ours. For most of that century, many Europeans believed the earth might be flat and that all the planets and stars and even the sun revolved around it. The centrality of the earth to the universe was a religious as much as a scientific concept for many, while the flat earth concept had existed since ancient times.

The ancient astronomer Ptolemy's geocentric theory, that Earth was the center of the universe, remained accepted as fact over 1,200 years after his death. Nicolaus Copernicus, whose varied interests in theology, medicine, law, language, mathematics, and especially astronomy marked him as a true Renaissance man, observed the heavens and studied Ptolemy's theories. Believing Ptolemy wrong, Copernicus took what he knew to be fact and developed a heliocentric theory where the sun and not the earth was at the center of the universe. Copernicus appears to have conceived his basic model before 1514 and spent the rest of his life developing his theory, which was published shortly before his death in 1543.

His work, *On the Revolutions*, touched off the Scientific Revolution which continued well into the seventeenth century.

Among all the great figures of the Scientific Revolution, Sir Isaac Newton most importantly distilled the theories and discoveries of the Scientific Revolution from Copernicus to himself. His greatest work, *Philosophia Naturalis Principia Mathematica*, published in 1687, presented a reasonable, understandable, and demonstrable model for the workings of the universe, which was based on science and excluded theology. Newton's concepts, such as his Law of Gravity, gave a predictable and comprehensible framework from which to view the world and beyond.

6.3.1 The Enlightenment

The ideas of the Scientific Revolution inspired people in many fields besides science. With Newton demonstrating rational explanations for the functions of the universe, philosophers were inspired to re-think humanity and its place in the universe. The Scientific Revolution, then, was at the root of the Enlightenment.

With the Enlightenment came a new spirit of thought and intellectual investigation. Old ideas and theories could be questioned and new ones proposed on virtually any subject. Acceptance of what had always been was no longer sufficient support for belief; instead, understanding with reasoned explanations and arguments were needed. Of the many great thinkers of the Enlightenment, including Rousseau, Voltaire, and Hume, the one whose works on politics and philosophy had the greatest direct impact on the revolutionary spirit in the Colonies was an Englishman, John Locke.

In 1690, two of Locke's greatest works were published. In the first, *An Essay Concerning Human Understanding*, Locke explained that humans learn only from experience. We experience things through sensation, with our senses giving us information, and through reflection, with our pondering what we have learned through sensation. Experience then leads to simple ideas which lead to complex ones. Locke discounted the commonly-held idea that humans are born with innate knowledge. His revolutionary view was

that we are born instead knowing nothing at all. For Locke, humans possessed no innate concepts, ideas, or morals. At birth, our minds are complete blanks, a *tabula rasa*, which by being completely empty can be filled with what we know to be true through experience.

His other great work of that year was *Two Treatises of Government*. In the first treatise, Locke rejected the theory of the divine right of kings; in the second, he explained his beliefs concerning government, democracy, and the rights of men. Locke believed that government should be for the benefit of the people, and if the government or the leader of the government failed in their duty to the people, then the people had the right to remove or overthrow that government. He believed that to safeguard against corruption and failure to serve the people, a government should have multiple branches with each serving to check the others. His ideas would continue to resonate long after his death in 1704 and would profoundly influence our Founding Fathers who used Locke's ideas to frame their reasons for the American Revolution and thereby justify their cause. Locke's ideas later formed the basis of the U. S. Constitution. From Locke came the concept that all people have the right to Life, Liberty, and Estate or Property.

6.3.2 The Enlightenment in America

The Enlightenment, with its ideas and ideals of human rights and the relationship of citizens and governments as expressed by such writers as Locke, formed the basis of thought of the American Revolution. Thomas Paine, Benjamin Franklin, John Adams, Thomas Jefferson, and other Founding Fathers were influenced by the Enlightenment and took those ideals, that a government has a duty to the people, and used that as a lens through which to view the relationship between the American colonies and the British government of King George III. With the concept of a duty to the people firmly in mind, the failings of the British government to respond to the needs of the colony became more than mere points of contention and instead became causes for revolution. Thomas Paine, in his critical work *Common Sense*, made the case in clear language that spoke to the average colonist that equality was a

natural condition for humans and having a king was not. Paine put forth the idea that while a king could be useful, there was no justification for a hereditary monarchy and ultimately, if the king did not see to the interest of his subjects, the subjects had no reason to have a king. The British government, according to Paine, had put its own interests ahead of the interests of the colonies, thereby failing in its duty to the colonists. Further, whereas the colonies in their infancy had needed the guidance and protection of the British, now they were able to stand on their own. Indeed, the British government had evolved from promoting the growth of the colonies to prohibiting that growth and becoming an obstacle to their economic development by inhibiting trade between the colonies and other nations around the globe. By covering the economic realities as well as the higher principles of natural rights, Paine's pamphlet appealed to both the practical-minded merchant and the principled philosopher. His writing was a hit and helped the colonists restless under British rule to understand exactly why continuing as colonies was not the solution to the situation.²²¹ [\(Links to an external site.\)Links to an external site.](#)

The Enlightenment provided a moral justification for revolution and the end of British rule in the colonies—at least in the view of the revolutionary thinkers such as Franklin and Jefferson. Humanity's natural rights could not be denied to any well-reasoned mind. The colonists had the right to determine for themselves where their loyalties lay and what form their government would take. They had the right to be heard, to have their concerns addressed in a way not possible for the British over the seas. Yet, the break was not easy. Many in the colonies, even if they felt their rights had been violated, remained loyal to England and hoped for a reconciliation. The relationship was often described in terms of a parent and child. To the leaders of the revolution, the child had grown up and was ready to have its independence, with a new government, one not seen before that would be guided by the principles of the Enlightenment.²²² [\(Links to an external site.\)Links to an external site.](#)

6.3.3 The Great Awakening

The Great Awakening was a religious revival in the American colonies triggered by a belief among Calvinists that the spiritual life of the colonists was endangered. With a focus on the material rather than the spiritual, the pursuit of wealth rather than the pursuit of a good Christian life, the lifestyle choices of the colonists alarmed and then invigorated evangelical ministers, launching the Great Awakening. Ultimately, ministers from both sides of the Atlantic would inspire each other and be involved in this spiritual revival.

The Church of England—The Anglican Church

Like much of Europe, England had been a Catholic country until the Protestant Reformation. Henry VIII had at first defended the Catholic Church from the criticisms of Martin Luther, but later broke with the Catholic Church in order to divorce Ann Boleyn and, in 1534, declared himself the head of the Church of England. Unlike other Protestant movements, in which churches were formed based on the ideas of their founders such as Luther or Calvin, the Anglican Church alternated in concept from Catholicism to Protestantism, depending on what religious views were held by the current monarch and his or her advisors, since the Church and State were then tied together. The result was a church caught in the middle, blending Catholicism and Protestantism. The Anglican Church remained Catholic in its administrative structure and in the ritualized nature of its services, with Protestantism influencing its architecture, theology, and conduct of services. Because the Anglicans retained a detailed liturgical structure, any Anglican, whether in England or in the colonies, would know what Scriptures would be read and what prayers would be said on any given Sunday, as all Anglican churches followed a common guide. For many, this formal, predictable style of worship did not meet their spiritual needs. Indeed, some felt England to be almost a spiritual desert.

The Wesley Brothers and Their Conversion

The Wesleys attended Oxford and, in 1729, Charles founded the Holy Club, a group of students who were devout in their religious practices. In fact, they were absolutely methodical in the way they

carried on their religious devotions and other activities, a practice which led to their nickname, Methodist. The name eventually served to identify the Protestant denomination they founded. The Wesleys, who practiced what they preached, believed in public service and missionary work, even going to the colonies in the 1730s as missionaries. On their return to England, John and Charles encountered Moravian passengers, Moravians being a Protestant group with German roots extending back to Jan Huss. This encounter led the brothers to associate with Moravians in England and to read the writings of Martin Luther, in particular his *Justification by Faith*. In 1738, within just a few days of each other, both brothers experienced a deep religious conversion which led them to preach of a personal, emotional relationship with God; this preaching would carry over to the colonies.

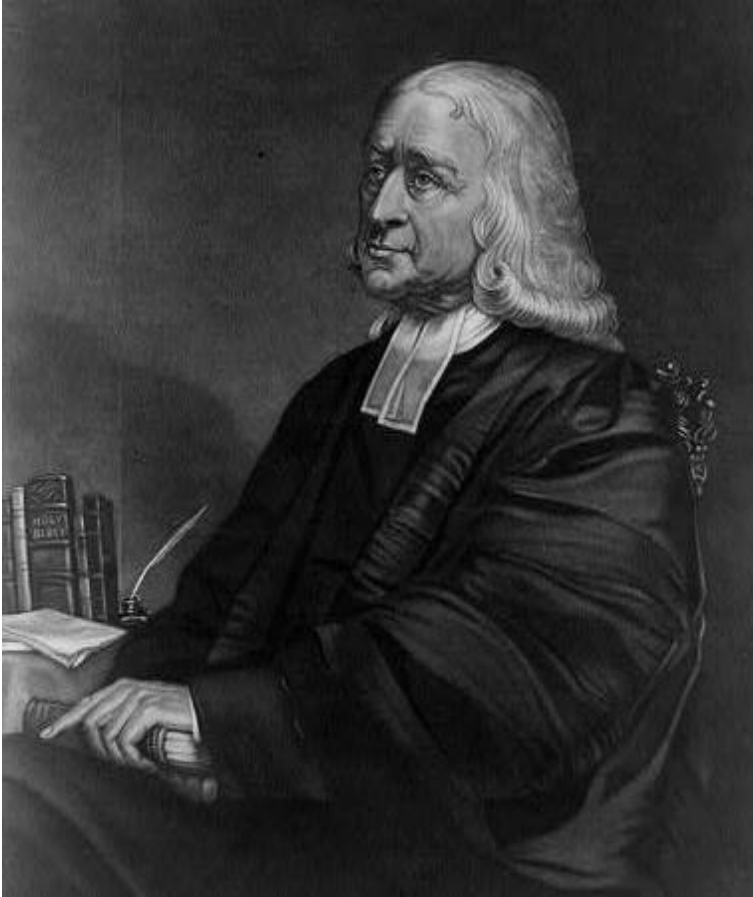


Figure 6.6 John Wesley | This portrait is of John Wesley, the founder of Methodism.

Artist: Unknown

Source: Library of Congress

George Whitefield, a Powerful Voice in New England and the Colonies

George Whitefield, who attended Oxford, also joined the Holy Club and was influenced by the Wesleys. Still, for Whitefield, not Luther but Calvin was the key to his conversion. Another great influence on Whitefield was Jonathan Edwards. Whitefield read

Edwards's A Faithful Narrative, and found it inspirational. ²²³ ([Links to an external site.](#))[Links to an external site.](#) For the Wesleys and Whitefield, the old Anglican Sunday services no longer sufficed, so they began preaching revivals and in the open air. They preached to people who did not normally attend church and to anyone who listened. They believed the Holy Spirit could be felt at work in their hearts; this very personal, emotional religious experience was also felt by those whom they converted. As one might expect, these services were not the calm, quiet services of the traditional Anglican Church but emotional services during which the congregation openly wept, especially when listening to Whitefield. Whitefield became famous on both sides of the Atlantic for his sermons, which he preferred to deliver in the open air. Whitefield's preaching was considered remarkable for several reasons: his voice carried for a tremendous distance, enabling him to be clearly heard by thousands; his style was such as to impress even those who, like Benjamin Franklin, did not agree with his theology; and he was able to stir up a storm of emotions in his audience so that they were often left weeping.

He preached daily, usually multiple times a day, for the rest of his life, inspiring many to a religious awakening, and inspired many who, if they did not become Methodists, at least experienced the Great Awakening. Unfortunately, while many welcomed this new evangelical form of worship, others did not. In the Colonies, those who preferred to stay with their old religious practices were called the Old Lights, while those who favored the new were called New Lights. The division between Old and New Lights crossed denominational boundaries, for while the Methodists were in the forefront of the Awakening, this was a spiritual matter rather than a doctrinal one. People could stay with their own church and still have the same deeply personal, internal conversion as the Wesleys. Even so, new denominations, including Methodists, Presbyterians, and Baptists, did take hold in the Colonies even where they were prohibited by law. All these denominations originated in the Old

World and flowered in the Colonies powered by the zeal of the Awakening, thus changing the face of Colonial religion.

6.3.4 The Great Awakening Begins in the Middle Colonies

In the 1730s the Great Awakening began with the Tennents, a Presbyterian family of preachers who reached out to Presbyterians in their home of Pennsylvania and on into New Jersey. The Tennents and others were so successful in their revivals that they led to the founding of Princeton and to the inspiration of Jonathan Edwards. Their revivals spread from Pennsylvania northwards into New England, striking a cord with the Congregationalists or Puritans and Baptists there, leading ministers in New England to have their own revivals by the 1740s. ²²⁴ [\(Links to an external site.\)Links to an external site.](#)

Jonathan Edwards

Jonathan Edwards, a Connecticut preacher well educated in theology and philosophy, and who read Locke and Newton, came to be one of the most important theologians of his day. Inspired by Gilbert Tennent, Edwards was preaching successful revivals by 1735, when, tragically, his uncle committed suicide due to his despair concerning salvation. This proved a temporary setback to Edwards's revivals. ²²⁵ [\(Links to an external site.\)Links to an external site.](#) As Edwards was temporarily quieted, George Whitefield arrived from England in 1739, full of revival spirit. Just as Edwards writing had inspired Whitefield, Whitefield's emotional preaching inspired Edwards. Edwards greatly admired Whitefield who, as we might expect, touched him emotionally and made him weep. Edwards's own style was far more restrained than Whitefield's. Edwards reached his listeners through reason rather than through sermons infused with overt emotion, though the effect of his sermons on his audience could be very emotional. Edwards is most famous for his sermon entitled *Sinners in the Hands of an Angry God*. When he delivered this sermon at a meeting in Enfield, Connecticut in 1741, the reaction was overwhelming, with people crying out for salvation. Weeping, shouting, and fainting all occurred at these meetings in a tide of passion never before seen in Colonial churches.

The Great Awakening in the Colonies was felt everywhere, yet New England stands out, due in no small part to Edwards. Conversions increased as church attendance exploded, with very few, if any, who did not know someone who had recently converted in this time of religious fever.

6.3.5 Before You Move On

Key Concepts

The Scientific Revolution led to the Enlightenment. In both, an emphasis on reason was key. Ideas from the Enlightenment concerning human nature and that of government put forth by philosophers such as John Locke helped to inspire the American Revolution and shape the United States. The Great Awakening, a spiritual revival felt both in Britain and the colonies, focused on an individual's personal relationship with God. The Tennents, Jonathan Edwards, and George Whitefield all were key figures in the Great Awakening in the colonies, which resulted in the spread of new evangelical Protestant denominations.

Test Yourself

1. What are the three rights of every person as listed by Locke?
2. Early Methodists were called that because they were so methodical.
 - a. True
 - b. False
3. The Wesleys began as Anglicans but were inspired to conversion by the writing of whom?
4. Unlike with the Wesleys, who was key to Whitefield's conversion?

73. The Enlightenment

<http://www.open.edu/openlearn/history-the-arts/history/history-art/the-enlightenment/content-section-0>

74. Enlightenment out of Scientific Revolution

The AGE OF REASON, as it was called, was spreading rapidly across Europe. In the late 17th century, scientists like ISAAC NEWTON and writers like JOHN LOCKE were challenging the old order. Newton's laws of gravity and motion described the world in terms of natural laws beyond any spiritual force. In the wake of political turmoil in England, Locke asserted the right of a people to change a government that did not protect natural rights of life, liberty and property. People were beginning to doubt the existence of a God who could predestine human beings to eternal damnation and empower a tyrant for a king. Europe would be forever changed by these ideas.

In America, intellectuals were reading these ideas as well. On their side of the Atlantic, Enlightened ideas of liberty and progress had a chance to flourish without the shackles of Old Europe. Religious leaders began to change their old dogmatic positions. They began to emphasize the similarities between the Anglican Church and the Puritan Congregationalists rather than the differences. Even COTTON MATHER, the Massachusetts minister who wrote and spoke so convincingly about the existence of witches advocated science to immunize citizens against smallpox. Harvard ministers became so liberal that YALE COLLEGE was founded in New Haven in 1707 in an attempt to retain old Calvinist ideas. This attempt failed and the entire faculty except one converted to the Church of England in 1722. By the end of the century, many New England ministers would become UNITARIANS, doubting even the divinity of Christ.



painting by Duplessis

Triomphe de Voltaire

New ideas shaped political attitudes as well. John Locke defended the displacement of a monarch who would not protect the lives, liberties, and property of the English people. JEAN-JACQUES ROUSSEAU stated that society should be ruled by the “general will” of the people. BARON DE MONTESQUIEU declared that power should not be concentrated in the hands of any one individual. He recommended separating power among executive, legislative, judicial branches of government. American intellectuals began to absorb these ideas. The delegates who declared independence from Britain used many of these arguments. The entire opening of the Declaration of Independence is Thomas Jefferson’s application of John Locke’s ideas. The constitutions of our first states and the UNITED STATES CONSTITUTION reflect Enlightenment principles. The writings of Benjamin Franklin made many Enlightenment ideas accessible to the general public.

The old way of life was represented by superstition, an angry God, and absolute submission to authority. The thinkers of the Age of Reason ushered in a new way of thinking. This new way championed the accomplishments of humankind. Individuals did not have to accept despair. Science and reason could bring happiness and progress. Kings did not rule by divine right. They had an obligation

to their subjects. Europeans pondered the implications for nearly a century. Americans put them into practice first.

75. The Scientific Revolution

At first glance, there may not seem to be much of a connection between the “Scientific Revolution” that took place in Western Europe starting in the 17th century CE, and the political revolutions that took place in Western Europe and its colonies beginning in the late 18th century. What could the development of calculus and the discovery of laws of physics (such as gravitation) possibly have to do with the overthrow of monarchical and colonial governments and the establishment of new democracies?

In fact, they have a lot to do with one another. In order to understand the connection, and also to understand both the scientific and the political developments better, we must look to the **philosophical ideas they share**.

There are **2 ideas that are fundamental to both the “Scientific Revolution” and the political revolutions**. These 2 ideas appear in one form or another in the basic documents of both. They are:

- **the idea that the universe and everything in it work according to “laws of nature.”** These laws are established by the Divine Being (generally the God of Judaism, Christianity, and Islam).⁽¹⁾ Thus the universe is ultimately run by a divine being, but this divine being does not do things at random or capriciously; rather, the divine being makes things work in an orderly and regular fashion. This idea is accompanied by
- **the idea that the laws of nature are discoverable by means of reason.** Reason of course needs observation (we need something to reason about, some data to work with). But the point is that **if we want to understand the way the universe works, we can do so by means of observation and reasoning**. All human beings are supposed to have the ability to reason,

although many do not use or cultivate this ability much.

Now, the idea that **we can learn true things about the universe by means of observation and reasoning** has important implications for politics, thought, and life in general. First, everyone is capable of observing things, and everyone is capable of reasoning. If we were not able to observe and reason, we could not be expected to make choices, obey laws and religious rules and moral standards, etc. Of course, some people lack the ability to observe certain things (blind people cannot observe colors, for example), but everyone can observe something.

If we all have the ability to observe and reason, then in principle we all have the ability to learn true things about the universe, according to the writers of the Scientific Revolution and the European “Enlightenment.” In other words, if we want to learn about how the universe works – from how volcanoes form to how diseases occur to how stars develop to what kinds of laws are fair to humans – we can do it by training our powers of observation and reasoning. **We can train our powers of observation and reasoning by learning mathematics (arithmetic, algebra, geometry) and logic, by carefully recording and checking our observations, and by doing experiments. All humans are capable of doing these things.** And, if we write down our findings and show our reasoning carefully, others can check our results.

Galileo (1564-1642; Italian) is an example of a writer who put forth these ideas.

In his book *The Assayer*, written in 1623, Galileo said, “Philosophy is written in this grand book of the universe, which stands continually open to our gaze. But the book cannot be understood unless one first learns to comprehend the language and to read the alphabet in which it is composed. It is written in the language of mathematics, and its characters are triangles, circles and other geometric figures, without which it is humanly impossible to understand a single word of it; without these, one wanders in a dark labyrinth.”

(By 'philosophy' Galileo means both what we would call philosophy and also natural sciences, which were in his time studied as part of philosophy. For more on the great astronomer, physicist, and mathematician Galileo, see the [excellent web site of Prof. Fowler at the University of Virginia](#).)

What Galileo is saying is that the workings of the universe are understandable, and that we need mathematics in order to understand them. This may seem to many people today to be a very obvious point: of course we need to learn mathematics in order to understand things; so many fields rely on measurements, statistics, "facts and figures." But it was not so obvious in Galileo's time, and he was tried and imprisoned for his theories that were based on this idea.

Why would anyone want to punish Galileo for this?

Galileo was punished by certain important members of the Catholic Church. Remember that in Europe in Galileo's time, there was no separation of church and state; the religious authorities ran the universities and could censor publications, and worked hand-in-hand with the governments of the various countries. Galileo lived in Italy, which was Catholic, and got into trouble with some people close to the Pope.

The basic problem that these religious authorities found was that some of Galileo's scientific discoveries appeared to contradict the official Catholic interpretation of Christian scripture, or to contradict the official Catholic interpretation of Aristotle. (Why the Catholic Church accepted the works of Aristotle is a long story; here I will say only that the 17th-century Church interpretation of Aristotle's scientific work is not necessarily what Aristotle intended.) For example, Galileo discovered more stars in the sky than are mentioned in the Bible or Aristotle, because he had a telescope and Aristotle and the ancient Hebrews did not. Galileo discovered that a heavier object falls no faster than a lighter one (the Church interpreted Aristotle as saying that heavy objects fall faster than light ones; a close examination of Aristotle's texts suggests that this is a misunderstanding or a mistranslation of Aristotle's words).

Therefore the Church authorities claimed that Galileo had contradicted sacred truths. **They believed that if human observation and reasoning seemed to say something different from holy scripture (or from their interpretation of holy scripture), then the human observation and reasoning must be wrong.** ⁽²⁾

Galileo pointed out that he was not denying God's perfection or role as a creator; that the Bible did not specify exactly how many stars there were; that some statements in the Bible are not understood literally (for example, even the Church agreed that the sun does not literally "rise").

But Galileo was unable to convince the Church authorities of this, even though Aristotle himself would have agreed with Galileo about the need for independent investigation, reasoning, and proof. What was really at stake here was **what counts as knowledge, and why; who can get new knowledge, and how.** The Church held that knowledge was revealed in Scripture that a person with a religious calling and lots of training in accepted interpretations could learn. Other people should be content to hear these trained religious people explain things. The Church was more interested in the ultimate nature of things (as revealed by God) and in how to achieve salvation than in the everyday workings of things, so a lot of areas were just not covered by Church teachings. Galileo and the Scientific Revolution argued that perhaps religious revelation was needed in order to learn the ultimate meaning of things and the way to salvation, but that observation and reasoning would tell us about *how* things work on an everyday basis; and that any human could learn these things if he or she worked hard enough.

This sets the stage for Rene Descartes (1596-1650; French).

Descartes set himself a dual task: (1) Show that Galileo was right about how to seek knowledge; and (2) Avoid getting imprisoned or executed for this.

This meant that Descartes had to show (1') that true things can be discovered by means of observation and reasoning; and (2') that this independent inquiry does not violate any religious or moral rules.

Descartes was uniquely equipped for this project in that he was a mathematical genius (he invented analytic geometry, or what became analytic geometry; the Cartesian coordinate system is named after him), a scientist (he did work in optics and physics), and a philosopher. He was educated in Catholic schools and knew their teachings well.

Descartes argued that the very essence of being human was the ability to think or reason (see for example *Discourse Part Four; Meditation Two*). The Catholic Church could not deny that this ability had been given to us by God, since only by means of this ability can we have an idea of God, understand scripture, worship, etc. Descartes continued by saying that “we should never allow ourselves to be persuaded except by the evidence of our reason”⁽³⁾ (22). The senses and imagination, Descartes felt, could be important sources of raw information, but they might give us erroneous information, so we must be careful always to examine our sensory impressions and ideas by using reason. Some of our ideas may turn out not to be true, Descartes says, but “all our ideas or notions ought to have some foundation of truth, for it would not be possible that God, who is all-perfect and all-truthful, would have put them in us without that.”⁽⁴⁾ Note that Descartes does not claim that all of our ideas are true, but rather that even the false ones have some basis in truth. Our false ideas come from our reactions to real things or to our impressions of real things, and our reactions and impressions may be confused, or we may have insufficient information to make a true judgment, etc. Through reason, he says, we can find out the truth.

How are we to find out the truth? Descartes provides a method of reasoning that is very much like today’s mathematical and scientific methods (see *Discourse Part Two*).

What truths will we find out? Descartes says in Part Five of the *Discourse* that he has “showed what the laws of nature were”: There are, he says, “certain laws that God has so established in nature and of which he has impressed in our souls such notions, that, after having reflected sufficiently on these matters, we cannot

deny that they are strictly adhered to in everything that exists or occurs in the world.”⁵ God has made the universe work according to laws, Descartes holds; and God has given us impressions of these laws. By reflection and reasoning, we can gain clear knowledge of these laws. The laws Descartes is talking about are such things as the laws of physics, the principles of respiration and circulation, and so on.

Descartes was very careful in his publishing, and got into only minimal trouble with religious authorities. Times were beginning to change politically. But Descartes had to stay out of certain countries for his own safety. He found safe havens in places with more tolerant regimes, and even served as a sort of professor to the Queen of Sweden, who was a very able philosopher and scientist in her own right. Descartes also sent his work informally to philosophers and scientists who he thought would be sympathetic to his projects, and this got the word out. In addition, he did something new and clever: he put his work out in French as well as in Latin. Latin was the language of the Catholic Church and the universities, so it was important for Descartes to use it. But many people in Europe knew only minimal Latin, and some of these people were able to be very helpful. The people who knew Latin well were Catholic (and some Protestant) clergy, and those who could study at universities. But most of the people at universities were nobility, and all were men. There was a growing number of noblewomen, and members of the merchant and artisan classes of both sexes, who had the resources and the interest to study philosophy and science. They had not had much of a chance so far. French was a language that many people knew; it was used often outside of France. So these people read Descartes with great interest, and provided him with scholarly discussion as well as in some cases political and financial support.

But what does that have to do with political revolutions?

One immediate connection can be seen in the fact that Descartes was arguing that reasoning was an ability all people have, and that this ability we all have is exactly what we need in order to learn

about the world. We don't need a special upbringing or education or religion (Descartes reached out to people of all religions that he knew). And Descartes made sure that every human who could read French would have a chance to try. In this way, he was very egalitarian. This was very much different from the way most institutions worked in his time, where only a small number of people had any political power or religious authority, and others did not have a chance to try for it.

The idea of natural equality and rule by reason was also getting an explicitly political interpretation at this time. **Thomas Hobbes (1588-1679; English)** wrote in *Leviathan* (1651), "Nature hath made men so equal, in the faculties of body and mind; as that, though there be found one man sometimes manifestly stronger in body or of quicker mind than another, yet when all is reckoned together, the difference between man and man is not so considerable, as that one man can thereupon claim to himself any benefit, to which another may not pretend as well as he....From this equality of ability, ariseth equality of hope in the attaining of our ends"⁽⁶⁾ (Chapter XIII). Given scarcity of resources, people tend to fight for survival, power, and protection; and the result, according to Hobbes, is that the "state of nature" is a state of war. But we don't have to remain always at war, because **nature itself gives us a way out, and that way out is discoverable by reason**: "The passions that incline men to peace are fear of death, desire of such things as are necessary to commodious living, and a hope by their industry to attain them. And reason suggesteth convenient articles of peace....These articles are they wich otherwise are called the Laws of Nature..." (also Chapter XIII).

According to Hobbes (Ch. XIV), a law of nature is "a precept or general rule, found out by reason, by which a man is forbidden to do what is destructive of life, or taketh away the means of preserving the same; and to omit that by which he thinketh it may be best preserved."

The first two laws of nature, according to Hobbes, are (1) "that every man ought to endeavor peace, as far as he has hope of

attaining it; and when he cannot obtain it, that he may see and use all the helps and advantages of war”; and (2) “that a man be willing, when others are so too, as far forth as for peace and defense of himself he shall think it necessary, to lay down this right to all things; and be contented with so much liberty against other men, as he would allow other men against himself” (Ch. XIV). Hobbes explicitly connects the second law with Christian scripture.

Now, it is true that Christian writers in Europe had been saying for over a millennium that all people were equal in the sight of God. What was so different here?

— First, some Christian writers had allowed for the “divine right of kings” and secondarily for the special rights of aristocrats: the kings, assisted by the aristocrats, were supposed to be those who ruled the earth according to God’s will. Kings and aristocrats had special responsibilities (which some took seriously and some did not), but also special rights and privileges. *Hobbes is saying that no one can rightly claim special status by birth; one can only be a leader by the agreement of those who are to be led. No one is to violate certain natural rights; no king is to take land from a person just because the king wants to, for example. As Hobbes says in Ch. XV, it is a law of nature that everyone must acknowledge the others as one’s equals by nature.*

— Second, Hobbes is claiming that the laws of nature are discoverable by reason. You don’t need special instruction in interpreting scripture in order to discover these laws; and they apply to everyone no matter what their religion. Hobbes thinks his laws are in keeping with Christian religious law, or with its true spirit. But he thinks that this is because Christian teachings follow the laws of nature, not the other way around.

John Locke (1632-1704; English) took these ideas even further.

John Locke was familiar with the work of Descartes and Hobbes, and was himself a source of many ideas of the French Enlightenment, the American Revolution, and the French Revolution. Here are some passages from his *Second Treatise of*

Government (1690), illustrating once again the idea of laws of nature discoverable by reason.

Like Hobbes, Locke begins from a picture of the “state of nature” or “natural state” of humans; but Locke’s picture of it is less harsh than Hobbes’ picture: The state of nature for all men, he says, “is a state of perfect freedom to order their actions and dispose of their possessions as they think fit, within the bounds of the law of nature, without asking leave, or depending on the will of any other man....A state also of equality, wherein all power and jurisdiction is reciprocal, no one having more than another...”(Chapter II). This is not necessarily a state of war, Locke thinks.

According to Locke, “The state of nature has a law of nature to govern it, which obliges everyone; and reason, which is that law, teaches all mankind who will but consult it, that, being all equal and independent, no one ought to harm another in his life, health, liberty, or possessions” (Chapter II). Locke is explicit that slavery is against the law of nature and argues that it should therefore be against civil laws too (Chapter IV).

Compare these passages from Locke and Hobbes with some articles of the Declaration of the Rights of Man and Citizen (French Revolution):

Article 1: Men are born and remain free and equal in rights....

Article 2: The purpose of all political association is the preservation of the natural and imprescriptible rights of man. These rights are liberty, property, security, and resistance to oppression.

Article 4: Liberty consists in the ability to do whatever does not harm another....

Article 12: The safeguard of the rights of man and the citizen requires public powers. These powers are therefore instituted for the advantage of all, not for the private benefit of those to whom they are entrusted.

NOTES

1. Most of the scientists, philosophers, and political activists in Western Europe and its colonies at this time were Christians of some sort (various kinds of Protestants, as well as Catholics). Some

were Jewish. (Remember that there were very few Muslims left in Western Europe at this time.) However, the descriptions of the divine being that these scientists, philosophers, and political activists used would fit the beliefs of Judaism, Christianity, AND Islam. That is, the revolutionary writings describe a divine being who is all-powerful, all-knowing, all-good, and the creator of the universe. Most do not say anything that is specific to any one monotheistic religion. An excellent example of this is found in Descartes' *Discourse on the Method for Rightly Conducting One's Reason and Seeking Truth in the Sciences*, Part Four.

2. It is important to note that some Catholic theologians saw nothing wrong with what Galileo was doing, and even supported it. However, the ones who supported Galileo were not the most powerful politically.

3. All quotations from Descartes are from *Discourse on the Method for Rightly Conducting One's Reason and Seeking Truth in the Sciences*, translated by Donald Cress. The edition used here is *Discourse on Method and Meditations on First Philosophy*, fourth edition (Hackett Publishing Co., 1998). The quotation is from Part Four of the *Discourse*. The page in that edition is 22; if you are using another edition of the same translation your page numbers may be different.

4. Also from Part Four; page 22 in the edition noted above.

5. Quotations are from pages 24 and 23, respectively, in the edition noted above.

6. Hobbes generally uses the word 'man' in a way that suggests that he refers to all humans. Great debate ensued as to whether the notion that all "men" were equal should entail that women should have the same political, social, and economic rights as men. Similarly, over the next couple of centuries, debates arose as to whether all peoples of the world should have the same rights.

Quotations from Hobbes come from the version of the text used in this class: <http://ebooks.adelaide.edu.au/h/hobbes/thomas/h68l/>

7. All quotations from Locke on this page come from the version of

the text used in this class: <http://ebooks.adelaide.edu.au/l/locke/john/l81s/>

76. Primary Source: Montesquieu: The Spirit of the Laws, 1748

Charles de Secondat, Baron de Montesquieu (1689-1755), was a nobleman, a judge in a French court, and one of the most influential political thinkers. Based on his research he developed a number of political theories presented in The Spirit of the Laws (1748).

This treatise presented numerous theories – among the most important was respect for the role of history and climate in shaping a nation's political structure.

It was for his views on the English Constitution, which he saw in an overly idealized way, that he is perhaps most renowned.

In every government there are three sorts of power; the legislative; the executive, in respect to things dependent on the law of nations; and the executive, in regard to things that depend on the civil law.

By virtue of the first, the prince or magistrate enacts temporary or perpetual laws, and amends or abrogates those that have been already enacted. By the second, he makes peace or war, sends or receives embassies; establishes the public security, and provides against invasions. By the third, he punishes criminals, or determines the disputes that arise between individuals. The latter we shall call the judiciary power, and the other simply the executive power of the state.

The political liberty of the subject is a tranquillity of mind, arising from the opinion each person has of his safety. In order to have this liberty, it is requisite the government be so constituted as one man need not be afraid of another.

When the legislative and executive powers are united in the same person, or in the same body of magistrates, there can be no liberty;

because apprehensions may arise, lest the same monarch or senate should enact tyrannical laws, to execute them in a tyrannical manner.

Again, there is no liberty, if the power of judging be not separated from the legislative and executive powers. Were it joined with the legislative, the life and liberty of the subject would be exposed to arbitrary control, for the judge would then be the legislator. Were it joined to the executive power, the judge might behave with all the violence of an oppressor.

There would be an end of every thing were the same man, or the same body, whether of the nobles or of the people to exercise those three powers that of enacting laws, that of executing the public resolutions, and that of judging the crimes or differences of individuals.

Most kingdoms in Europe enjoy a moderate government, because the prince, who is invested with the two first powers, leaves the third to his subjects. In Turkey, where these three powers are united in the sultan's person the subjects groan under the weight of a most frightful oppression.

In the republics of Italy, where these three powers are united, there is less liberty than in our monarchies. Hence their government is obliged to have recourse to as violent methods for its support, as even that of the Turks witness the state inquisitors, and the lion's mouth into which every informer may at all hours throw his written accusations.

What a situation must the poor subject be in, under those republics! The same body of magistrates are possessed, as executors of the laws, of the whole power they have given themselves in quality of legislators. They may plunder the state by their general determinations; and as they have likewise the judiciary power in their hands, every private citizen may be ruined by their particular decisions.

The whole power is here united in one body; and though there is no external pomp that indicates a despotic sway, yet the people feel the effects of it every moment.

Hence it is that many of the princes of Europe, whose aim has been levelled at arbitrary power, have constantly set out with uniting in their own persons, all the branches of magistracy, and all the great offices of state.

The executive power ought to be in the hands of a monarch; because this branch of government, which has always need of expedition, is better administered by one than by many: Whereas, whatever depends on the legislative power, is oftentimes better regulated by many than by a single person.

But if there was no monarch, and the executive power was committed to a certain number of persons selected from the legislative body, there would be an end then of liberty; by reason the two powers would be united, as the same persons would actually sometimes have, and would moreover be always able to have, a share in both.

Were the legislative body to be a considerable time without meeting, this would likewise put an end to liberty. For one of these two things would naturally follow; either that there would be no longer any legislative resolutions, and then the state would fall into anarchy; or that these resolutions would be taken by the executive power, which would render it absolute.

It would be needless for the legislative body to continue always assembled. This would be troublesome to the representatives, and moreover would cut out too much work for the executive power, so as to take off its attention from executing, and oblige it to think only of defending its own prerogatives, and the right it has to execute.

Again, were the legislative body to be always assembled, it might happen to be kept up only by filling the places of the deceased members with new representatives; and in that case, if the legislative body was once corrupted, the evil would be past all remedy. When different legislative bodies succeed one another, the people who have a bad opinion of that which is actually sitting, may reasonably entertain some hopes of the next: But were it to be always the same body, the people, upon seeing it once corrupted,

would no longer expect any good from its laws; and of course they would either become desperate, or fall into a state of indolence.

The legislative body should not assemble of itself. For a body is supposed to have no will but when it is assembled; and besides, were it not to assemble unanimously, it would be impossible to determine which was really the legislative body, the part assembled, or the other. And if it had a right to prorogue itself, it might happen never to be prorogued; which would be extremely dangerous, in case it should ever attempt to encroach on the executive power. Besides, there are seasons, some of which are more proper than others, for assembling the legislative body: It is fit therefore that the executive power should regulate the time of convening, as well as the duration of those assemblies, according to the circumstances and exigencies of state known to itself.

Were the executive power not to have a right of putting a stop to the encroachments of the legislative body, the latter would become despotic; for as it might arrogate to itself what authority it pleased, it would soon destroy all the other powers.

But it is not proper, on the other hand, that the legislative power should have a right to stop the executive. For as the execution has its natural limits, it is useless to confine it; besides, the executive power is generally employed in momentary operations. The power therefore of the Roman tribunes was faulty, as it put a stop not only to the legislation, but likewise to the execution itself; which was attended with infinite mischiefs.

But if the legislative power in a free government ought to have no right to stop the executive, it has a right, and ought to have the means of examining in what manner its laws have been executed; an advantage which this government has over that of Crete and Sparta, where the Cosmi and the Ephori gave no account of their administration.

But whatever may be the issue of that examination, the legislative body ought not to have a power of judging the person, nor of course the conduct of him who is intrusted with the executive power. His person should be sacred, because as it is necessary for the good of

the state to prevent the legislative body from rendering themselves arbitrary, the moment he is accused or tried, there is an end of liberty.

To prevent the executive power from being able to oppress, it is requisite, that the armies, with which it is intrusted, should consist of the people, and have the same spirit as the people, as was the case at Rome, till the time of Marius. To obtain this end, there are only two ways, either that the persons employed in the army, should have sufficient property to answer for their conduct to their fellow subjects, and be enlisted only for a year, as customary at Rome: Or if there should be a standing army, composed chiefly of the most despicable part of the nation, the legislative power should have a right to disband them as soon as it pleased; the soldiers should live in common with the rest of the people; and no separate camp, barracks, or fortress, should be suffered .

When once an army is established, it ought not to depend immediately on the legislative, but on the executive power, and this from the very nature of the thing; its business consisting more in action than in deliberation.

From a manner of thinking that prevails amongst mankind, they set a higher value upon courage than timorousness, on activity than prudence, on strength than counsel. Hence, the army will ever despise a senate, and respect their own officers. They will naturally slight the orders sent them by a body of men, whom they look upon as cowards, and therefore unworthy to command them. So that as soon as the army depends on the legislative body, the government becomes a military one; and if the contrary has ever happened, it has been owing to some extraordinary circumstances. It is because the army was always kept divided; it is because it was composed of several bodies, that depended each on their particular province; it is because the capital towns were strong places, defended by their natural situation, and not garrisoned with regular troops. Holland, for instance, is still safer than Venice; she might drown, or starve the revolted troops; for as they are not quartered in towns capable

of furnishing them with necessary subsistence, this subsistence is of course precarious.

Whoever shall read the admirable treatise of Tacitus on the manners of the Germans, will find that it is from them the English have borrowed the idea of their political government. This beautiful system was invented first in the woods.

As all human things have an end, the state we are speaking of will lose its liberty, it will perish. Have not Rome, Sparta, and Carthage perished? It will perish when the legislative power shall be more corrupted than the executive.

It is not my business to examine whether the English actually enjoy this liberty, or not. It is sufficient for my purpose to observe, that it is established by their laws; and I inquire no further.

Neither do I pretend by this to undervalue other governments, not to say that this extreme political liberty ought to give uneasiness to those who have only a moderate share of it. How should I have any such design, I who think that even the excess of reason is not always desirable, and that mankind generally find their account better in mediums than in extremes?

From Montesquieu, *The Spirit of the Laws*, vol. 1, trans. Thomas Nugent (London: J. Nourse, 1777), pp. 221-237, *passim*.

77. Primary Source: Jean Jacques Rousseau: The Social Contract, 1763

Jean-Jacques Rousseau stresses, like John Locke the idea of a social contract as the basis of society. Locke's version emphasised a contact between the governors and the governed: Rousseau's was in a way much more profound – the social contract was between all members of society, and essentially replaced “natural” rights as the basis for human claims.

Origin and Terms of the Social Contract

Man was born free, but everywhere he is in chains. This man believes that he is the master of others, and still he is more of a slave than they are. How did that transformation take place? I don't know. How may the restraints on man become legitimate? I do believe I can answer that question....

At a point in the state of nature when the obstacles to human preservation have become greater than each individual with his own strength can cope with . . . , an adequate combination of forces must be the result of men coming together. Still, each man's power and freedom are his main means of selfpreservation. How is he to put them under the control of others without damaging himself . . . ?

This question might be rephrased: “How is a method of associating to be found which will defend and protect-using the power of all-the person and property of each member and still enable each member of the group to obey only himself and to remain as free as before?” This is the fundamental problem; the social contract offers a solution to it.

The very scope of the action dictates the terms of this contract and renders the least modification of them inadmissible, something making them null and void. Thus, although perhaps they have never

been stated in so many words, they are the same everywhere and tacitly conceded and recognized everywhere. And so it follows that each individual immediately recovers his primitive rights and natural liberties whenever any violation of the social contract occurs and thereby loses the contractual freedom for which he renounced them.

The social contract's terms, when they are well understood, can be reduced to a single stipulation: the individual member alienates himself totally to the whole community together with all his rights. This is first because conditions will be the same for everyone when each individual gives himself totally, and secondly, because no one will be tempted to make that condition of shared equality worse for other men....

Once this multitude is united this way into a body, an offense against one of its members is an offense against the body politic. It would be even less possible to injure the body without its members feeling it. Duty and interest thus equally require the two contracting parties to aid each other mutually. The individual people should be motivated from their double roles as individuals and members of the body, to combine all the advantages which mutual aid offers them....

Individual Wills and the General Will

In reality, each individual may have one particular will as a man that is different from-or contrary to-the general will which he has as a citizen. His own particular interest may suggest other things to him than the common interest does. His separate, naturally independent existence may make him imagine that what he owes to the common cause is an incidental contribution – a contribution which will cost him more to give than their failure to receive it would harm the others. He may also regard the moral person of the State as an imaginary being since it is not a man, and wish to enjoy the rights of a citizen without performing the duties of a subject. This unjust attitude could cause the ruin of the body politic if it became widespread enough.

So that the social pact will not become meaningless words, it tacitly includes this commitment, which alone gives power to the

others: Whoever refuses to obey the general will shall be forced to obey it by the whole body politic, which means nothing else but that he will be forced to be free. This condition is indeed the one which by dedicating each citizen to the fatherland gives him a guarantee against being personally dependent on other individuals. It is the condition which all political machinery depends on and which alone makes political undertakings legitimate. Without it, political actions become absurd, tyrannical, and subject to the most outrageous abuses.

Whatever benefits he had in the state of nature but lost in the civil state, a man gains more than enough new ones to make up for them. His capabilities are put to good use and developed; his ideas are enriched, his sentiments made more noble, and his soul elevated to the extent that-if the abuses in this new condition did not often degrade him to a condition lower than the one he left behind-he would have to keep blessing this happy moment which snatched him away from his previous state and which made an intelligent being and a man out of a stupid and very limited animal....

Property Rights

In dealing with its members, the State controls all their goods under the social contract, which serves as the basis for all rights within the State, but it controls them only through the right of first holder which individuals convey to the State....

A strange aspect of this act of alienating property rights to the state is that when the community takes on the goods of its members, it does not take these goods away from them. The community does nothing but assure its members of legitimate possession of goods, changing mere claims of possession into real rights and customary use into property.... Through an act of transfer having advantages for the public but far more for themselves they have, so to speak, really acquired everything they gave up....

Indivisible, Inalienable Sovereignty

The first and most important conclusion from the principles we have established thus far is that the general will alone may direct the forces of the State to achieve the goal for which it was founded, the

common good.... Sovereignty is indivisible ... and is inalienable.... A will is general or it is not: it is that of the whole body of the people or only of one faction. In the first instance, putting the will into words and force is an act of sovereignty: the will becomes law. In the second instance, it is only a particular will or an administrative action; at the very most it is a decree.

Our political theorists, however, unable to divide the source of sovereignty, divide sovereignty into the ways it is applied. They divide it into force and will; into legislative power and executive power; into the power to tax, the judicial power, and the power to wage war; into internal administration and the power to negotiate with foreign countries. Now we see them running these powers together. Now they will proceed to separate them. They make the sovereign a being of fantasy, composed of separate pieces, which would be like putting a man together from several bodies, one having eyes, another arms, another feet-nothing more. Japanese magicians are said to cut up a child before the eyes of spectators, then throw the pieces into the air one after the other, and then cause the child to drop down reassembled and alive again. That is the sort of magic trick our political theorists perform. After having dismembered the social body with a trick worthy of a travelling show, they reassemble the pieces without anybody knowing how....

If we follow up in the same way on the other divisions mentioned, we find that we are deceived every time we believe we see sovereignty divided. We find that the jurisdictions we have thought to be exercised as parts of sovereignty in reality are subordinate to the [one] sovereign power. They presuppose supreme wills, which they merely carry out in their jurisdictions

Need for Citizen Participation, Not Representation

It follows from the above that the general will is always in the right and inclines toward the public good, but it does not follow that the deliberations of the people always have the same rectitude. People always desire what is good, but they do not always see what is good. You can never corrupt the people, but you can often fool them, and that is the only time that the people appear to will something bad....

If, assuming that the people were sufficiently informed as they made decisions and that the citizens did not communicate with each other, the general will would always be resolved from a great number of small differences, and the deliberation would always be good. But when blocs are formed, associations of parts at the expense of the whole, the will of each of these associations will be general as far as its members are concerned but particular as far as the State is concerned. Then we may say that there are no longer so many voters as there are men present but as many as there are associations. The differences will become less numerous and will yield less general results. Finally, when one of these associations becomes so strong that it dominates the others, you no longer have the sum of minor differences as a result but rather one single [unresolved] difference, with the result that there no longer is a general will, and the view that prevails is nothing but one particular view....

But we must also consider the private persons who make up the public, apart from the public personified, who each have a life and liberty independent of it. It is very necessary for us to distinguish between the respective rights of the citizens and the sovereign and between the duties which men must fulfill in their role as subjects from the natural rights they should enjoy in their role as men.

It is agreed that everything which each individual gives up of his power, his goods, and his liberty under the social contract is only that part of all those things which is of use to the community, but it is also necessary to agree that the sovereign alone is the judge of what that useful part is.

All the obligations which a citizen owes to the State he must fulfill as soon as the sovereign asks for them, but the sovereign in turn cannot impose any obligation on subjects which is not of use to the community. In fact, the sovereign cannot even wish to do so, for nothing can take place without a cause according to the laws of reason, any more than according to the laws of nature [and the sovereign community will have no cause to require anything beyond what is of communal use]....

Government . . . is wrongly confused with the sovereign, whose agent it is. What then is government? It is an intermediary body established between the subjects and the sovereign to keep them in touch with each other. It is charged with executing the laws and maintaining both civil and political liberty.... The only will dominating government ... should be the general will or the law. The government's power is only the public power vested in it. As soon as [government] attempts to let any act come from itself completely independently, it starts to lose its intermediary role. If the time should ever come when the [government] has a particular will of its own stronger than that of the sovereign and makes use of the public power which is in its hands to carry out its own particular will-when there are thus two sovereigns, one in law and one in fact-at that moment the social union will disappear and the body politic will be dissolved.

Once the public interest has ceased to be the principal concern of citizens, once they prefer to serve State with money rather than with their persons, the State will be approaching ruin. Is it necessary to march into combat? They will pay some troops and stay at home. Is it necessary to go to meetings? They will name some deputies and stay at home. Laziness and money finally leave them with soldiers to enslave their fatherland and representatives to sell it....

Sovereignty cannot be represented.... Essentially, it consists of the general will, and a will is not represented: either we have it itself, or it is something else; there is no other possibility. The deputies of the people thus are not and cannot be its representatives. They are only the people's agents and are not able to come to final decisions at all. Any law that the people have not ratified in person is void, it is not a law at all.

Sovereignty and Civil Religion

Now then, it is of importance to the State that each citizen should have a religion requiring his devotion to duty; however, the dogmas of that religion are of no interest to the State except as they relate to morality and to the duties which each believer is required to

perform for others. For the rest of it, each person may have whatever opinions he pleases....

It follows that it is up to the sovereign to establish the articles of a purely civil faith, not exactly as dogmas of religion but as sentiments of social commitment without which it would be impossible to be either a good citizen or a faithful subject.... While the State has no power to oblige anyone to believe these articles, it may banish anyone who does not believe them. This banishment is not for impiety but for lack of social commitment, that is, for being incapable of sincerely loving the laws and justice or of sacrificing his life to duty in time of need. As for the person who conducts himself as if he does not believe them after having publicly stated his belief in these same dogmas, he deserves the death penalty. He has lied in the presence of the laws.

The dogmas of civil religion should be simple, few in number, and stated in precise words without interpretations or commentaries. These are the required dogmas: the existence of a powerful, intelligent Divinity, who does good, has foreknowledge of all, and provides for all; the life to come; the happy rewards of the just; the punishment of the wicked; and the sanctity of the social contract and the laws. As for prohibited articles of faith, I limit myself to one: intolerance. Intolerance characterizes the religious persuasions we have excluded.

From JeanJacques Rousseau, *Contrat social ou Principes du droit politique* (Paris: Garnier Frères 1800), pp. 240-332, passim. Translated by Henry A. Myers.

PART IX

8: FRENCH REVOLUTION

78. Background on the French Revolution

1789 is one of the most significant dates in history – famous for the revolution in France with its cries of ‘Liberté! Egalité! Fraternité!’ that led to the removal of the French upper classes. The French Revolution didn’t just take place in 1789. It actually lasted for another six years, with far more violent and momentous events taking place in the years after 1789. However, here we examine the British reaction to the events in France during this famous year – were the British government extremely worried or did they see it as merely a few minor disturbances?

Looking at primary source material from 1789, including a London newspaper report, together with both official and personal letters sent from Paris, you will be asked to assess and investigate the reaction. The significance of 1789 is now well known, but did anybody at the time even dare to suggest how important it was?

Let’s look at the evidence to find out.

Tasks

1. Look at Source 1. This is an extract from the London Gazette from Saturday 18 July to Tuesday 21 July, 1789.

- What evidence is there that the population of Paris were worried?
- What was wrong with the official police force?

A general Consternation prevailed throughout the Town. All the Shops were shut; all public and private Employments at a Stand, and scarcely a Person to be seen in the Streets, except the armed Burghers, who acted as a temporary Police for the Protection of private Property, to replace the established one, which had no longer any Influence.

[Source 1](#)

2. Look at Source 2. This is an extract from the London Gazette from Saturday 18 July to Tuesday 21 July, 1789.

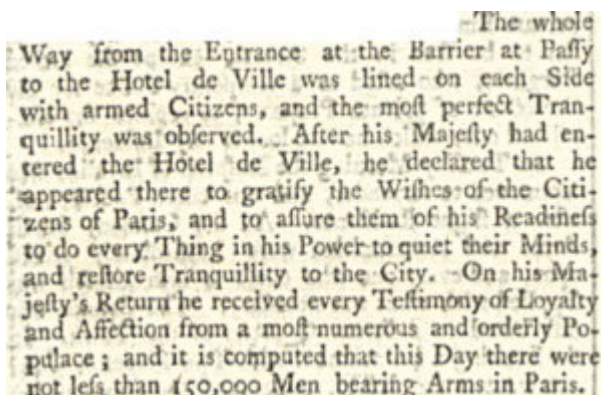
- Why were the people outside the Bastille so outraged when the Governor gave the order to fire on them?
- Some were then allowed in – on what condition?
- What happened to the 40 who went into the Bastille?
- What happened to the Governor?

In the Evening a Detachment with Two Pieces of Cannon went to the Bastille, to demand the Ammunition deposited there. A Flag of Truce had been sent before them, which was answered from within: But nevertheless, the Governor (the Marquis de Launay) ordered the Guard to fire, and several were killed. The Populace, enraged at this Proceeding, rushed forward to the Assault, when the Governor agreed to admit a certain Number, on Condition that they should not commit any Violence. A Detachment of about Forty accordingly passed the Drawbridge, which was instantly drawn up, and the whole Party massacred. This Breach of Faith, aggravated by so glaring an Instance of Inhumanity, naturally excited a Spirit of Revenge and Tumult not to be appeased. A Breach was soon made in the Gate, and the Fortrefs surrendered. The Governor, the principal Gunner, the Jailor, and Two old Invalids, who had been noticed as being more active than the Rest, were seized, and carried before the Council assembled at the Hotel de Ville, by whom the Marquis de Launay was sentenced to be beheaded, which was accordingly put in Execution at the Place de Grève, and the other Prisoners were also put to Death.

[Source 2](#)

3. Look at Source 3. This is an extract from the London Gazette from Saturday 18 July to Tuesday 21 July, 1789.

- According to the source, people lined the streets – how does the source describe their behaviour?
- How pleased were people with the King's promises? How were people behaving?
- What evidence in the source suggests further trouble could easily break out?

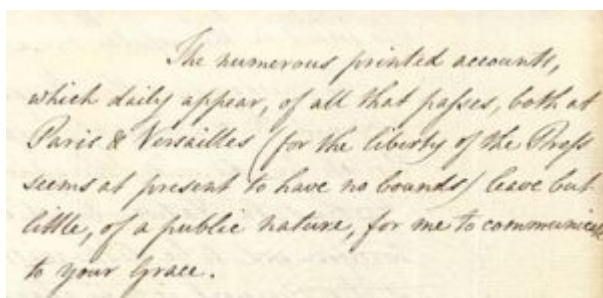


The whole Way from the Entrance at the Barrier at Passy to the Hotel de Ville was lined on each Side with armed Citizens, and the most perfect Tranquillity was observed. After his Majesty had entered the Hôtel de Ville, he declared that he appeared there to gratify the Wishes of the Citizens of Paris, and to assure them of his Readiness to do every Thing in his Power to quiet their Minds, and restore Tranquillity to the City. On his Majesty's Return he received every Testimony of Loyalty and Affection from a most numerous and orderly Populace; and it is computed that this Day there were not less than 150,000 Men bearing Arms in Paris.

[Source 3](#)

4. Look at Source 4. This is a letter from a Mr Jenkinson from Paris, dated 15 July 1789.

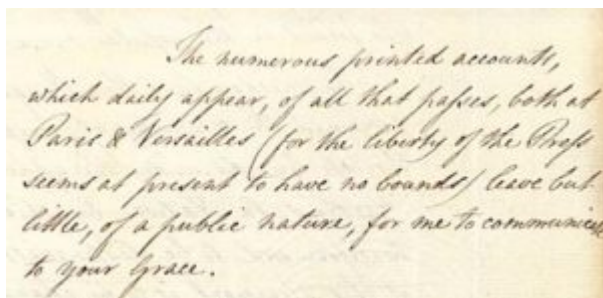
- Examine Mr. Jenkinson's description of the storming of the Bastille – is there any reason to doubt his claims? Give your reasons
- Why, according to this source, did the King 'recant all his former words' and agree to the people's demands?
- What are the strengths and weaknesses of this evidence?



[Source 4](#)

5. Look at Source 5. This is an extract from a confidential report from the British Ambassador.

- How have the recent events affected newspapers?
- Why does the ambassador have little to report?



[Source 5](#)

6. Look at Source 6. This is another extract from the report seen in Source 5.

- What is wrong with the account of the storming of the Bastille?
- What reasons does the ambassador suggest for the quick and

easy take over of the Bastille?

- What reasons are given to 'lament' the death of the Marquis de Launay?
- What does the small number of prisoners actually inside the Bastille suggest about the reign of King Louis XVI?

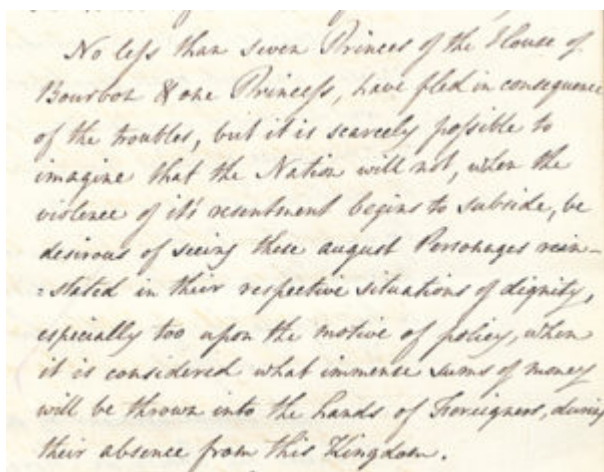
Some French prisoners, among others Launay, a friend of the father of the Bastille, which has scars to believe gives a pretty good detail of the operations against that fortress.

excepting that it greatly exaggerates the number of persons killed; not more than seven or eight having lost their lives during the attack of that affair. The plan hereunto ordered, which I am told is a very accurate, seems to illustrate the account that is given of the attack and subsequent advance, within the interval - the fortification of the Bastille, which indeed consisted of not more than eight bastions, making the capture of the Bastille a work of no great difficulty nor of long duration. The fact of the Governor M. de Launay, is generally lamented for to use an expression of great merit and always directed the fortress committed to his charge with every degree of civility & humanity; of which the nature of these relations would admit it may be observed that the conduct of the French King is strongly characterized by the small number of persons who were detained in confinement in the Bastille; but the reasons were not sufficient to check the fury of the populace, animated by the reports of the capture and treated with the spirit of vengeance.

[Source 6](#)

7. Look at Source 7. This is a further extract from the report seen in Source 5 and 6.

- How many members of the royal family have fled?
- What does the ambassador say is 'scarcely possible to imagine'?
- What main reason is suggested for wanting these people to return?

A snippet of a handwritten manuscript in cursive script, likely from the 18th century. The text is written on aged, slightly yellowed paper. The handwriting is elegant and fluid, with some ink bleed-through visible from the reverse side. The text discusses the flight of Bourbon and other princes and the potential reaction of the nation.

No less than seven Princes of the House of Bourbon & other Princes, have fled in consequence of the troubles, but it is scarcely possible to imagine that the Nation will not, when the violence of its sentiment begins to subside, be desirous of seeing these august Personages reinstated in their respective situations of dignity, especially too upon the motive of policy, when it is considered what immense sums of money will be thrown into the hands of Foreigners, during their absence from this Kingdom.

[Source 7](#)

8. Look again at Sources 1-7. Using all the available sources, decide which of these descriptions best fit each source:

- Serious revolution, leading to real danger for Britain
- A Paris-based revolt that the King was forced to agree to
- Minor disturbances, of no real consequence at all

Explain the reasons for your decisions.

9. Using all your previous work, write a detailed paragraph explaining how seriously the British took the events of July 1789.

Use your source evidence effectively and think about the following issues:

- What had been the reaction to the King's promises following

the storming of the Bastille?

- How serious and long lasting did the ambassador suggest the problems were?
-

Background

The French Revolution began in 1789 and lasted until 1794. King Louis XVI needed more money, but had failed to raise more taxes when he had called a meeting of the Estates General. This instead turned into a protest about conditions in France. On July 14 1789 the Paris mob, hungry due to a lack of food from poor harvests, upset at the conditions of their lives and annoyed with their King and Government, stormed the Bastille fortress (a prison). This turned out to be more symbolic than anything else as only four or five prisoners were found.

In October 1789, King Louis and his family were moved from Versailles (the Royal palace) to Paris. He tried to flee in 1791, but was stopped and forced to agree to a new form of government. Replacing the power of the King, a 'legislative assembly' governed from October 1791 to September 1792, and was then replaced by the 'National Convention'. The Republic of France was declared, and soon the King was put on trial. The Revolution became more and more radical and violent. King Louis XVI was executed on January 21 1793. In the six weeks that followed some 1,400 people who were considered potential enemies to the Republic were executed in Paris.

Many historians now regard the French Revolution as a turning point in the history of Europe, but also in North America where many of the same ideas influenced the Declaration of Independence and the American Revolution. The famous slogan 'Liberty, Equality and Fraternity' called for every person's right to freedom and equal treatment. Across France and the rest of Europe the consequences

of the Revolution were huge. There were many new developments including the fall of the monarchy, changes in society with the rise of the middle class, and the growth of nationalism.

79. TransAtlantic Crisis: The French Revolution



The violent uprising that was the French Revolution claimed the lives of many, including the spokesmen and leaders of all interests. Here, the head of King Louis XVI is displayed to an approving crowd.

The French Revolution brought fundamental changes to the feudal order of monarchical and aristocratic privilege. Americans widely celebrated the French Revolution in its glorious opening in 1789, as it struck at the very heart of ABSOLUTIST POWER. France seemed to be following the American republican example by creating a constitutional monarchy where traditional elites would be restrained by written law. Where the king had previously held absolute power, now he would have to act within clear legal boundaries.

The FRENCH REVOLUTION soon moved beyond this already

considerable assault on the traditional order. Largely pushed forward by a crisis brought on by a war that began in 1792 against Prussia and Austria, the French Revolution took a dramatic turn that climaxed with the beheading of KING LOUIS XVI and the abandonment of Christianity in favor of a new state religion based on reason. The French Revolution became far more radical than the American Revolution. In addition to a period of extreme public violence, which became known as the REIGN OF TERROR, the French Revolution also attempted to enhance the rights and power of poor people and women. In fact, it even went so far as to outlaw slavery in the FRENCH COLONIES of the Caribbean.

The profound changes set in motion by the French Revolution had an enormous impact in France as well as through the large scale European war it sparked from 1792 to 1815. It also helped to transform American politics starting in the mid-1790s. While the French Revolution had initially received broad support in the United States, its radicalization in 1792-1793 led to sharp disagreement in American opinion.



This cartoon, "Corsican Crocodile dissolving the Council of Frogs," depicts Napoleon's coup d'état of the French government in 1799. Five years later he proclaimed himself Emperor of France.

Domestic attitudes toward the proper future of the American republic grew even more intense as a result of the example of revolutionary France. Conservatives like Hamilton, Washington, and others who would soon organize as the Federalist political party saw the French Revolution as an example of homicidal anarchy. When

Great Britain joined European allies in the war against France in 1793, Federalists supported this action as an attempt to enforce proper order.

The opposing American view, held by men like Jefferson and others who came to organize as the Democratic-Republican political party, supported French actions as an extension of a world-wide republican struggle against corrupt monarchy and aristocratic privilege. For example, some groups among the Whiskey Rebels in western Pennsylvania demonstrated their international vision when they rallied beneath a banner that copied the radical French slogan of “LIBERTY, EQUALITY, AND FRATERNITY.”

The example of the French Revolution helped convince Americans on both sides that their political opponents were motivated by dangerous and even evil forces that threatened to destroy the young republic.

80. Fall of the Bastille



Anon, *Prise de la Bastille* (The capture of the Bastille), 1790, Etching with hand-colouring, Published by J. Choeau, rue St Jacques près la fontaine St Severin, no. 257, Paris

This print, with its key and short text outlining the history of the Bastille purports to educate its viewers about what took place on 14th July 1789 and to place the events within a historical framework. Yet we cannot read it as a dispassionate account of the Bastille's capture. Rather this print belongs to a large body of imagery that sought to glorify and give epic status to an event that, in itself, was of limited significance. The importance of the [fall of the Bastille](#) was largely symbolic, for it was easily interpreted as a sign of the French people's triumph over the forces of despotism.

The text accompanying the image heroises the achievements of the French civilians and guard by comparing their swift victory to the failure of [Le Grand Condé](#) (a celebrated seventeenth-century military leader) to capture the castle. The success of the French civilians is attributed to their collective bravery, portrayed in the

action-packed image, in which the crowd of courageous French men, armed with guns, bayonets, scythes and pikes, mount their attack on the Bastille, whose enormous form looms over them. The prominence of the cannons, billowing clouds of gun smoke and the bodies of three men in the foreground convey the violence of the episode, which claimed many lives.

The printmaker has sought to draw our attention to a drama unfolding in the midst of this chaotic scene, focusing our attention on the arrest of the [Marquis de Launay](#), the Governor of the Bastille, by [Harné, a grenadier in the French Guard, and Humbert, a watchmaker](#). All three are identified in the key, numbered 1 to 3. Harné and Humbert were often singled out from amongst their fellow [Vainqueurs de la Bastille](#) (conquerors of the Bastille), for supposedly having been the first across its drawbridge and for having arrested de Launay (who was subsequently lynched by the crowd).

The technical simplicity and crude rendering of this print (note the clumsy colouring and lack of facial delineation) suggests that it was intended for speedy production and wide dissemination at minimum cost. Yet its creator was clearly knowledgeable about the compositional conventions of high art: note, for example, the figure leaning nonchalantly on a cannon to the left of the composition. The inclusion of a figure, or a tree, placed at the edge of a scene was a widely used way of containing the viewer's attention within the picture space: such devices are called [repoussoirs](#). Without doubt this print, produced sometime after the event, would have found a ready audience. As Rolf Reichardt has noted, such images 'satisfied the need, particularly of the simple people [...] to relive, in pictorial and oral as well as written form, the act that had liberated them from an existence of fear and had given them a sense of being a patriotically unified force.' [1]

[1] Rolf Reichardt, 'Prints: Images of the Bastille', in Darnton and Roche (ed.), [Revolution in Print: The Press in France, 1775 – 1800](#), Los Angeles, London, 1989, p. 230.

8I. National Assembly: French Revolution



Tinted
etching of
Louis XVI of
France, 1792.
The caption
refers to
Louis's
capitulation
to the
National
Assembly,
and
concludes
"The same
Louis XVI
who bravely
waits until
his fellow
citizens
return to
their hearths
to plan a
secret war
and exact his
revenge."

During the French Revolution, the National Assembly (French: Assemblée nationale), which existed from June 17 to July 9, 1789, was a transitional body between the Estates-General and the National Constituent Assembly.

Background

The Estates-General had been called May 5th 1789 to deal with France's financial crisis, but promptly fell to squabbling over its own structure. Its members had been elected to represent the estates of the realm: the First Estate (the clergy), the Second Estate (the nobility) and the Third Estate (which, in theory, represented all of the commoners and, in practice, represented the bourgeoisie). The Third Estate had been granted "double representation"—that is, twice as many delegates as each of the other estates—but at the opening session on May 5, 1789 they were informed that all voting would be "by estates" not "by head", so their double representation was to be meaningless in terms of power. They refused this and proceeded to meet separately.[1] [2]

Shuttle diplomacy among the estates continued without success until May 27; on May 28, the representatives of the Third Estate began to meet on their own,[2] calling themselves the Communes ("Commons") and proceeding with their "verification of powers" independently of the other bodies; from June 13 to June 17 they were gradually joined by some of the nobles and the majority of the clergy and other people such as the peasants.

The Assembly convenes

After some preliminary debate over the name, at the opening session, June 17, this body declared itself the National Assembly: an assembly not of the Estates but composed of "the People". They invited the other orders to join them, but made it clear that they intended to conduct the nation's affairs with or without them.[2]

This newly constituted assembly immediately attached itself to the capitalists — the sources of the credit needed to fund the national debt — and to the common people. They consolidated the

public debt and declared all existing taxes to have been illegally imposed, but voted in these same taxes provisionally, only as long as the Assembly continued to sit. This restored the confidence of the capitalists and gave them a strong interest in keeping the Assembly in session. As for the common people, the Assembly established a committee of subsistence to deal with food shortages.[2]

Initially, the Assembly announced (and for the most part probably believed) itself to be operating in the interests of King Louis XVI as well as those of the people. In theory, royal authority still prevailed and new laws continued to require the king's consent.[3]

The King resists

Jacques Necker, finance minister to Louis XVI, had earlier proposed that the king hold a *Séance Royale* (Royal Session) in an attempt to reconcile the divided Estates. The king agreed; but none of the three orders were formally notified of the decision to hold a Royal Session. All debates were to be put on hold until the *séance royale* took place.

Events soon overtook Necker's complex scheme of giving in to the Communes on some points while holding firm on others. No longer interested in Necker's advice, Louis XVI, under the influence of the courtiers of his privy council, resolved to go in state to the Assembly, annul its decrees, command the separation of the orders, and dictate the reforms to be effected by the restored Estates-General. On June 19, he ordered the *Salle des États*, the hall where the National Assembly met, closed.

Perhaps if Louis had simply marched into the *Salle des États* where the National Assembly met, he might have succeeded. Instead, he remained at Marly and ordered the hall closed, expecting to prevent the Assembly from meeting for several days while he prepared.[4]

Tennis Court Oath

On the morning of June 20, the deputies were shocked to discover the doors to their chamber locked and guarded by soldiers. Immediately fearing the worst and anxious that a royal coup was imminent, the deputies congregated in the king's nearby indoor tennis court, where they took a solemn collective oath "never to separate, and to meet wherever circumstances demand, until the constitution of the kingdom is established and affirmed on solid foundations". The deputies pledged to continue to meet until a constitution had been written, despite the royal prohibition. 576 men signed the oath, with only one refusing. The oath was both a revolutionary act and an assertion that political authority derived from the people and their representatives, rather than from the monarch himself.

Confrontation and recognition

Two days later, deprived of use of the tennis court as well, the National Assembly met in the church of Saint Louis, where the majority of the representatives of the clergy joined them: efforts to restore the old order had served only to accelerate events. When, on June 23, in accord with his plan, the king finally addressed the representatives of all three estates, he encountered a stony silence. He concluded by ordering all to disperse. The nobles and clergy obeyed; the deputies of the common people remained seated in a silence finally broken by Mirabeau, whose short speech culminated, "A military force surrounds the assembly! Where are the enemies of the nation? Is Catiline at our gates? I demand, investing yourselves with your dignity, with your legislative power, you inclose yourselves within the religion of your oath. It does not permit you

to separate till you have formed a constitution.” The deputies stood firm.[2]

Necker, conspicuous by his absence from the royal party on that day, found himself in disgrace with Louis, but back in the good graces of the National Assembly. Those of the clergy who had joined the Assembly at the church of Saint Louis remained in the Assembly; forty-seven members of the nobility, including the Duke of Orléans, soon joined them; by June 27, the royal party had overtly given in, although the likelihood of a military counter-coup remained in the air. The French military began to arrive in large numbers around Paris and Versailles.

In the *séance royale* of June 23, the King granted a *Charte octroyée*, a constitution granted of the royal favour, which affirmed, subject to the traditional limitations, the right of separate deliberation for the three orders, which constitutionally formed three chambers. This move failed; soon that part of the deputies of the nobles who still stood apart joined the National Assembly at the request of the king. The Estates-General had ceased to exist, having become the National Assembly (and after July 9, 1789, the National Constituent Assembly), though these bodies consisted of the same deputies elected by the separate orders.

Reconstitution

Messages of support poured into the Assembly from Paris and other French cities. On July 9, 1789, the Assembly, reconstituting itself as the National Constituent Assembly, addressed the king in polite but firm terms, requesting the removal of the troops (which now included foreign regiments, who showed far greater obedience to the king than did his French troops), but Louis declared that he alone could judge the need for troops, and assured them that the troops had deployed strictly as a precautionary measure. Louis “offered” to move the assembly to Noyon or Soissons: that is to say,

to place it between two armies and deprive it of the support of the Parisian people.

Notes

[1] The First Revolution (<http://www.wsu.edu/~dee/REV/FIRST.HTM>), Revolution and After: Tragedies and Forces, World Civilizations: An Internet Classroom and Anthology, Washington State University. Accessed online 14 March 2007.

[2] Mignet, Chapter 1

[3] The French Revolution: The Moderate Stage, 1789–1792 (<http://www.historyguide.org/intellect/lecture12a.html>)

[4] SparkNotes: the French Revolution (1789–1799): The National Assembly: 1789–1791 (<http://www.sparknotes.com/history/european/frenchrev/section3.rhtml>)

References

- This article incorporates text from a publication now in the public domain: Chisholm, Hugh, ed (1911). “French Revolution”. Encyclopædia Britannica (Eleventh ed.). Cambridge University Press.
- This article makes use of the public domain History of the French Revolution from 1789 to 1814 (<http://www.gutenberg.org/dirs/etext06/7hfr10.txt>), by François Mignet (1824), as made available by Project Gutenberg

82. Khan Academy Lecture: French Revolution, Pts 1-4



One or more interactive elements has been excluded from this version of the text. You can view them online

here: <https://library.achievingthedream.org/tccworldciv2/?p=107#oembed-1>

Video Transcript

In this video we're going to talk about the French Revolution. And what makes this especially significant is that not only is this independence from a monarchy-controlled empire, like in the American independence, this is an actual overthrowing of a monarchy. A monarchy that controls a major world power. Depending on how you view it, the American Revolution came first and kind of put out the principles of self-governance and why do we need kings and all of that. But the French Revolution was the first time that those type of principles really took foot in Europe and really overthrew a monarchy. So just to understand kind of the environment in which this began, let's talk about what France was like in 1789. Which most people kind of view as the beginning of the Revolution. One, France was poor. Now, you wouldn't think that France was poor, if you looked at Louis XVI, who was king of France. If you looked at Louis XVI, and the clothes he wore. If you looked at Marie-Antoinette, his wife, they don't look poor. They lived in the palace of Versailles, which is ginormous. It's this

massive palace, it would compare to the greatest palaces in the world. They were living a lavish lifestyle. Just in case you want to know where this is, this is what's now almost a suburb of Paris. But at the time it was a village 20 or 30 kilometers away from Paris. So they don't seem to be poor. But the the actual government of France is poor. And when I say poor, they're in debt. They've just had two major military adventures. One was the American Revolution. They played a major part in supporting the revolutionaries. Because they wanted to stick it to their enemy, Great Britain. They wanted their empire to shrink a little bit. So France sent significant military help and resources. And you could imagine, that's not a cheap thing when you're doing it across the Atlantic Ocean. And even before the American Revolution, the Seven Years' War that ended in 1763, this really drained the amount of wealth that the French government had. And for those of you who are more American history focused, the Seven Years' War is really the same thing as the French and Indian War. The French and Indian War was the North American theater of the Seven Years' War. But the Seven Years' War is the more general term. Because there was also a conflict going on in Europe simultaneously. The French and Indian War and it was just part of that conflict. And the Seven Years' actually engulfed most of the powers of Europe at the time. So France had participated in this, ended in 1763, you had the American Revolution. Both of these really just drained the amount of funds that the government itself had. At the same time, the French people were starving. There was a generalized famine at the time. They weren't producing enough grain, people couldn't get their bread to eat. So you can imagine, when people are starving they're not happy. And to kind of add insult to injury, you would see your royals living like this. But even worse than the royals, who you don't see every day, you saw your nobility. Who is roughly a little over 1.5% of the population. But you saw the nobility really, really, living it up. And the nobility, just so you know, these are people with fancy titles who inherit land and wealth from generation to generation. They don't dress too differently from the king. And they

essentially live in smaller versions of the palace of Versailles. And if you're a peasant, you work on their fields, do all the work, you send them some of your crops and they pay no taxes. So from your point of view, and it's not hard to understand why you would think this, these are essentially kind of parasites who are completely ignoring the fact that you are starving and you're paying all of the taxes. You can imagine people weren't too happy about that. And then to top it all off, you had all of these philosophers hanging around talking about the Enlightenment. And this is kind of the whole movement where people, and authors, and poets, and philosophers, are starting to realize that, gee, maybe we don't need kings. Maybe we don't need priests to tell us what it means to be good or bad. Maybe people could essentially rule themselves all of a sudden. And obviously, the biggest proof of the Enlightenment was the American Revolution. That was kind of the first example of people rising up and saying, we don't need these kings anymore. We want to govern ourselves. For the people, by the people. So you also had kind of this philosophical movement going around. Now if you ask me my opinion of what the biggest thing was, I think the people starving, you can never underestimate what people are willing to do when they're actually hungry. And, this is kind of more from the intellectual point of view. People said, oh there's Enlightenment movement here. So this is the state of France. They had a financial crisis. So a meeting was called, kind of an emergency meeting, of the major groups of France to try to resolve some of these problems. It's a fiscal crisis, people are starving, what do you do? So they called the Convocation of the Estates-General. Let me write that down. Which was a meeting of the three estates of France. Now what are the three estates of France? You can really just view them as the three major social classes of France. The First Estate was the clergy. The Second Estate is the nobility. And then the Third Estate is everyone else. And this gives you a sense of how skewed the power structure was. Because people kind of grouped the power as OK, these are the three groups and maybe they can vote against each other. But this was only 0.5% of the population,

this is 1.5% of the population, this was 98% of the population. But these people had equal weight with these guys. But these people had the burden of most of the taxes. These are the people who are doing all the work, producing all of France's wealth, dying in the wars. But these guys, despite their small population, have more weight than everybody else. So you had the Convocation of the Estates-General, where representatives of these three estates met at the Palace of Versailles to essentially figure out what to do about this fiscal crisis. Now obviously, these people right here, the Third Estate, they were angry. They were like look, we've taken the burden on ourselves for much of the recent history of France. We're tired of you guys getting away with not paying taxes and just kind of leeching off of us. They were afraid that even more of the tax burden was going to be put on them. And the nobility, or the king, or the clergy, that they wouldn't have to make sacrifices. So they came in already angry. And so they really wanted to meet in one big room together. Because they actually had roughly 600 representatives. Which only the king at the last minute agreed to. Before, it was only going to be equal numbers of them. These guys had 300 roughly. These guys had 300 as well. These guys were able to say, hey we're 98% of the population, maybe we should have at least 600 representative. But even there, they wanted to meet in the same room. And essentially try to make it so it's one representative, one vote. But obviously these other estates, the clergy and the nobility, said no, let's each vote as estates. And at the end of the day, these guys lost. So they were essentially forced to kind of organize independently as a Third Estate. So that made them even angrier. So they met at an assembly hall and said, if these guys are going to ignore us, not only are we going to be in this room and start organizing ourselves. But we're not going to call this the Convocation of the Estates-General. We're going to declare that we are the National Assembly of France. That we represent the people. We are essentially going to become the parliamentary body of France. Instead of just being this emergency Convocation of the Estates-General. And they actually got some sympathy from some

elements of the clergy and some elements of the nobility. Now obviously, Louis XVI was not amused by this whole turn of events. Here he was, he was an absolute monarch, which means that he held pretty much all of the power to do whatever he saw was fit. And all of a sudden you had this group of upstarts taking advantage of this emergency situation where he can't continue to buy as many silk robes as he was before. They're taking advantage of the situation to declare a National Assembly of France. To declare somehow that I'm not an absolute monarch. That my power is going to be taken by this assembly. So he wasn't happy. So when they took a break, he locked the door of the assembly room. So they couldn't get in. And he said, oh I think there needs to be some repairs in that room. Maybe you all can assemble later. And that was kind of his way of saying no. If you're declaring you're the National Assembly of France, I'm not going to even let you assemble. I'm not even going to let you get in the room. So that clearly didn't do a lot to make these guys, or in particular these guys, any happier. People are hungry. These people are living lavishly. They've already been not allowed to vote in one room together. When they vote in their own room, and declare themselves as representatives of the people of France, which they really are, the king locks the room, doesn't let them go in. So they go to an indoor tennis court in Versailles. This is a picture of it right here. This is an indoor tennis court. And that gives you an idea of how lavish Versailles was, that it had an indoor tennis court in the late 1700s. And they proclaimed the Tennis Court Oath. Where they proclaimed, not are we only the National Assembly of France, but even more than that, we all pledge to not stop until we create a constitution of France. So they went from being a National Assembly to essentially morphing into a constituent assembly. We're going to create a constitution. And they had sympathy from some elements of the clergy and the nobility. So eventually Louis XVI, he kind of saw the writing on the wall. The people are angry. And every time he tries to mess with them, they only get angrier. And they only go to even more extreme measures. So just to kind of

make it seem like he's going along, he says, OK that's cool, guys. Whatever you all want to do. Yeah, maybe I'm open to it, we are in an emergency. And maybe it is unreasonable, I have been a little bit unreasonable. So he lets them be, he lets them assemble again. But while that's happening, people start to notice that troops are converging on Paris. And they're obviously being sent there by the king. And not only are they just any troops, a lot of the actual troops, even though they are French troops, there under the authority of France's military. They're actually foreign troops. So, if you think about it, these would be the ideal types of troops to put down any type of insurgency, or any type of rebellion. Or even better, to go in and dissolve the National Assembly. So people start getting a little bit paranoid, you can imagine. Now on top of that, Louis XVI's main financial adviser, Necker, Jacques Necker. He was sympathetic to the Third Estate, to the plight of the Third Estate. And he said hey, Mr. King, I think it's reasonable for you to essentially budget your expenses a little bit better. And maybe a little bit less of a lavish lifestyle. Considering the state of the government's budget. And the state of the people of France, they're starving. Why don't you do that a little bit? But Louis XVI, instead of taking his advice, he fired him. He fired the financial adviser. So taken together, troops are converging on Paris, you have this Tennis Court Oath, Louis XVI has fired his adviser, people are going hungry. They're genuinely going hungry. People in Paris said, the king is going to try to suppress us again, this is no good. And especially if he does it with troops, we have to arm ourselves. So they stormed the Bastille. This right here is a picture of the Bastille. And this is most famous, when you when you first learn about it, or maybe this is the first time you're learning about it. They put political prisoners there and they freed the political prisoners. But in reality, there were only seven prisoners in the Bastille. So it's not like thousands and thousands of political prisoners were being held there and there were freed. The real value of the Bastille to the revolutionaries, we could say, is that there were weapons there. There was a major arms cache there. And so by storming the

Bastille and getting the weapons, they all of a sudden could essentially fend off any type of threat that the troops would have. But this is also kind of the very beginning of the real chaos of the French Revolution. And as we're going to see over the next several years, the chaos only gets worse and worse. It's almost on a lot of levels a lot worse than the American Revolution. Because what actually happened in the cities and what fellow Frenchman started doing to do each other was really on many levels barbaric. And you actually saw it here for the first time, where the governor of the Bastille, the guy who was in charge of it, he had the standoff between the troops. And he eventually called for a ceasefire. Because he's like, oh there's too much bloodshed. But once the revolutionaries got to him, they stabbed them, they cut his head off, and they put it on a pike. Then they went back to the mayor of Paris, they shot him. So clearly, things were really getting out of hand. But most people associate the storming of the Bastille as kind of the landmark event of the French Revolution. Even today, people celebrate Bastille Day. And that is July 14, 1789. So just to give you a sense of how quickly all of this happened, the Convocation of the Estates-General, that was in May. The Tennis Court Oath was in June. And then in July, you have the storming of the Bastille. And then in August, just to kind of complete the idea that we are definitely in a revolutionary period. The National Assembly, that started off at the tennis courts with the Third Estate, they declared their equivalent of the Declaration of Independence. They declared their Declaration of the Rights of Man and of the Citizen. Which was essentially their version of the Declaration of Independence. And it essentially put everything into question of what is life, liberty, and the pursuit of happiness? I'm using words from the American Revolution. But this was their Declaration of Independence. It wasn't a constitution, it was just a statement of the things that they think need to govern any type of constitution or country. Or the ideas that any country should be based on. So I'm going to leave you there. We've really now started the French Revolution. And now, you're going to see that over the next several

years, it's only going to get bloodier and bloodier and even more complex. And when everything is said and done, it's actually not going to end that well in terms of giving people liberty.

[Video on YouTube](#)

83. Primary Source: Olympe de Gouge: Declaration of the Rights of Women, 1791

Olympe de Gouges, a butcher's daughter, proved to be one of the most outspoken and articulate women revolutionaries. In 1791 she wrote the following declaration, directly challenging the inferiority presumed of women by the Declaration of the Rights of Man. Her attempts to push this idea lead to her being charged with treason during the rule of the National Convention. She was quickly arrested, tried, and on November 3, 1793, executed by the guillotine.

Woman, wake up; the tocsin of reason is being heard throughout the whole universe; discover your rights. The powerful empire of nature is no longer surrounded by prejudice, fanaticism, superstition, and lies. The flame of truth has dispersed all the clouds of folly and usurpation. Enslaved man has multiplied his strength and needs recourse to yours to break his chains. Having become free, he has become unjust to his companion. Oh, women, women! When will you cease to be blind? What advantage have you received from the Revolution? A more pronounced scorn, a more marked disdain. In the centuries of corruption you ruled only over the weakness of men. The reclamation of your patrimony, based on the wise decrees of nature—what have you to dread from such a fine undertaking? The *bon mot* of the legislator of the marriage of Cana? Do you fear that our French legislators, correctors of that morality, long ensnared by political practices now out of date, will only say again to you: women, what is there in common between you and us? Everything, you will have to answer. If they persist in their weakness in putting this non sequitur in contradiction to their principles, courageously oppose the force of reason to the empty pretensions of superiority; unite yourselves beneath the standards

of philosophy; deploy all the energy of your character, and you will soon see these haughty men, not groveling at your feet as servile adorers, but proud to share with you the treasures of the Supreme Being. Regardless of what barriers confront you, it is in your power to free yourselves; you have only to want....

Marriage is the tomb of trust and love. The married woman can with impunity give bastards to her husband, and also give them the wealth which does not belong to them. The woman who is unmarried has only one feeble right; ancient and inhuman laws refuse to her for her children the right to the name and the wealth of their father; no new laws have been made in this matter. If it is considered a paradox and an impossibility on my part to try to give my sex an honorable and just consistency, I leave it to men to attain glory for dealing with this matter; but while we wait, the way can be prepared through national education, the restoration of morals, and conjugal conventions.

Form for a Social Contract Between Man and WomanWe, _____ and _____, moved by our own will, unite ourselves for the duration of our lives, and for the duration of our mutual inclinations, under the following conditions: We intend and wish to make our wealth communal, meanwhile reserving to ourselves the right to divide it in favor of our children and of those toward whom we might have a particular inclination, mutually recognizing that our property belongs directly to our children, from whatever bed they come, and that all of them without distinction have the right to bear the name of the fathers and mothers who have acknowledged them, and we are charged to subscribe to the law which punishes the renunciation of one's own blood. We likewise obligate ourselves, in case of separation, to divide our wealth and to set aside in advance the portion the law indicates for our children, and in the event of a perfect union, the one who dies will divest himself of half his property in his children's favor, and if one dies childless, the survivor will inherit by right, unless the dying person has disposed of half the common property in favor of one whom he judged deserving.

That is approximately the formula for the marriage act I propose for execution. Upon reading this strange document, I see rising up against me the hypocrites, the prudes, the clergy, and the whole infernal sequence. But how it [my proposal] offers to the wise the moral means of achieving the perfection of a happy government! . . .

Moreover, I would like a law which would assist widows and young girls deceived by the false promises of a man to whom they were attached; I would like, I say, this law to force an inconstant man to hold to his obligations or at least [to pay] an indemnity equal to his wealth. Again, I would like this law to be rigorous against women, at least those who have the effrontery to have recourse to a law which they themselves had violated by their misconduct, if proof of that were given. At the same time, as I showed in *Le Bonheur primitif de l'homme*, in 1788, that prostitutes should be placed in designated quarters. It is not prostitutes who contribute the most to the depravity of morals, it is the women of society. In regenerating the latter, the former are changed. This link of fraternal union will first bring disorder, but in consequence it will produce at the end a perfect harmony.

I offer a foolproof way to elevate the soul of women; it is to join them to all the activities of man; if man persists in finding this way impractical, let him share his fortune with woman, not at his caprice, but by the wisdom of laws. Prejudice falls, morals are purified, and nature regains all her rights. Add to this the marriage of priests and the strengthening of the king on his throne, and the French government cannot fail.

From "Olympe de Gouges, 'Declaration of the Rights of Woman and Female Citizen,'" in Darline Gay Levy, H. Applewhite, and M. Johnson, eds., *Women in Revolutionary Paris, 1785-1795* (Urbana, IL: University of Illinois Press, 1979), pp. 9296.

84. Primary Source: 1. The Declaration of the Rights of Man and the Citizen, 1789

On 4 August 1789, those given the task of drawing up the Constitution decided that it should be preceded by a Declaration of Rights.² The deputies debated this Declaration fiercely and voted on it article by article throughout the week of 20-26 August 1789. The text remains an active part of the French Constitution.

The representatives of the French people, constituted as a National Assembly, consider that ignorance, neglect or scorn for the rights of man are the sole causes of public misfortune and of the corruption of governments, and have resolved to set out, in a solemn Declaration, the natural, sacred and inalienable rights of man, so that this Declaration, constantly present to all members of the social body, may continually remind them of their rights and duties; so that the acts of the legislative power, and those of the executive power, may be compared at any moment with the objects and purposes of all public institutions and may thereby be the more respected; so that the petitions of citizens, henceforth founded upon simple and incontestable principles, may ever tend to the maintenance of the Constitution and to the happiness of all.

In consequence, the National Assembly recognizes and declares, in the presence and under the auspices of the Supreme Being, the following rights of man and of the citizen:

Article 1. Men are born and remain free and equal in their rights. Social distinctions may only be founded upon the common good.

Article 2. The aim of any political association is the preservation of the natural and imprescriptible rights of man. These rights are freedom, property, security, and resistance to oppression.

Article 3. The principle of all sovereignty resides essentially in the

nation. No body and no individual may exercise any authority which does not proceed directly from it.

Article 4. Freedom consists in being able to do anything which does not harm anyone else; thus, the exercise of the natural rights of each man has no limits except those which ensure that all other members of society enjoy the same rights. These boundaries may be determined only by the law.

Article 5. The law has the right to prohibit only those actions which are harmful to society. Anything which is not forbidden by the law cannot be prevented, and no man may be constrained to do anything which is not ordered by the law.

Article 6. The law is the expression of the general will. All citizens have the right to contribute personally, or through their representatives, to its creation. The law must be the same for all, whether in punishment or protection. All citizens being equal in its eyes, all are equally eligible for all distinctions, positions and public employments, according to their capacities, and without any discrimination other than that of their virtues and their talents.

Article 7. No man may be accused, arrested or detained other than in the cases determined by the law, and in accordance with the forms it has prescribed. Those who seek, send, execute or cause to be executed arbitrary orders must be punished; but any citizen who is called or summoned by virtue of the law must obey without delay: resistance will incriminate him.

Article 8. The law shall set only punishments which are plainly and absolutely necessary, and no man may be punished except by virtue of a law which has been established and promulgated prior to the offence, and legally applied.

Article 9. Every man being presumed innocent until he has been declared guilty, any rigour which is not deemed necessary for the securing of his person must be severely punished by the law.

Article 10. No man may be harassed for his opinions, even religious opinions, provided their expression does not disturb the public order established by the law.

Article 11. The free communication of thoughts and opinions is

one of the most precious rights of man: every citizen may therefore speak, write and publish freely, but shall be responsible for such abuses of this freedom as shall be defined by law.

Article 12. The safeguard of the rights of man and of the citizen requires public military forces: these forces are thus established for the good of all, and not for the personal advantage of those to whom they shall be entrusted.

Article 13. For the maintenance of the public force, and for administrative expenses, a common contribution is indispensable: it must be equally levied from all citizens in proportion to their means.

Article 14. All citizens have the right to determine, either personally or through their representatives, the necessary level of the public contribution, to consent to it freely, to survey its employments, and to decide its rates, basis, collection and duration.

Article 15. Society has the right to demand that every public agent account for his administration.

Article 16. Any society in which the respect of rights is not guaranteed, nor the separation of powers secured, has no constitution at all.

Article 17. Property being an inviolable and sacred right, no one may be deprived of it, except when public necessity, as attested in law, manifestly requires it, and on condition of just compensation, payable in advance.

85. The French Revolution: Crash Course World History #29



One or more interactive elements has been excluded
from this version of the text. You can view them online

here: [https://library.achievingthedream.org/
tccworldciv2/?p=110#oembed-1](https://library.achievingthedream.org/tccworldciv2/?p=110#oembed-1)

PART X

9: INDUSTRIAL REVOLUTION

86. Introduction to the Industrial Revolution

In the late 18th century, the world economy embarked on a rapid process of change. During this Industrial Revolution, new technologies greatly magnified the productivity of workers, while fossil fuels pushed manufacturing and transportation systems far beyond the natural limits of human and animal power. As these advances drove the cost of industrial production down, consumption of manufactured goods skyrocketed around the world. By the end of the 19th century, nearly every society on Earth had been affected by the arrival of new products, new means of transportation, new weapons, and new ideas. Scholars have tried to explain the causes of this great transformation since it began.

This unit will explain what industrialization is and provide a brief overview of what the Industrial Revolution was and how it revolutionized people's lives. We will then study different interpretations of economic theory that attempted to account for these dramatic changes, beginning with pre-industrial theories and culminating with current perspectives on the global economy.

87. Industrial Revolution: Britain

The Industrial Revolution and the Romantic Spirit

The Industrial Revolution refers to a series of significant shifts in traditional practices of agriculture, manufacturing, and transportation, as well as the development of new mechanical technologies that took place during the late 18th and 19th centuries in much of the Western world. During this time, the United Kingdom, as well as the rest of Europe and the United States soon after, underwent drastic socio-economic and cultural changes. During the late 18th century, the United Kingdom's economic system of manual and animal based labor shifted toward a system of machine manufacturing while more readily navigable roads, canals, and railroads for trade began to develop. Steam power as well as the sudden development of metal tools and complex machines for manufacturing purposes underpinned the dramatic increase in production capacity.

The Industrial Revolution had a profound effect upon society in the United Kingdom. It gave rise to the working and middle classes and allowed them to overcome the long-standing economic oppression that they had endured for centuries beneath the gentry and nobility. However, while employment opportunities increased for common working people throughout the country and members of the middle class were able to become business owners more easily, the conditions workers often labored under were brutal. Further, many of them were barely able to live off of the wages they earned. During this time, the industrial factory was created, which, in turn, gave rise to the modern city. Conditions within these

factories were often deplorable and, by today's standards, unethical: manufacturers frequently used children for labor purposes and laborers were required to work long hours. Conditions were often dangerous, if not deadly. A group of people in the United Kingdom known as the Luddites felt that industrialization was ultimately inhumane and took to protesting and sometimes sabotaging industrial machines and factories. While industrialization led to incredible technological developments throughout the Western world, many historians now argue that industrialization also caused severe reductions in living standards for workers both within the United Kingdom and throughout the rest of the industrialized Western world. However, the new middle and working classes that industrialism had established led to urbanization throughout industrial cultures, drastic population increases, and the introduction of a relatively new economic system known as capitalism. Industrialization seemed to exemplify humankind's ability to dominate and manipulate nature by understanding (through science) its laws. It also spurred cultural developments, as it enabled the cheaper production of books and other printed materials, gave members of the middle-class more leisure time, and made consumer goods more affordable and accessible for many.

Romanticism developed in the United Kingdom in the wake of, and in some measure as a response to, the Industrial Revolution. Many English intellectuals and artists in the early 19th century considered industrialism inhumane and unnatural and revolted – sometimes quite violently – against what they felt to be the increasingly inhumane and unnatural mechanization of modern life. Poets such as Lord Byron – particularly in his addresses to the House of Lords – and William Blake – most notably in his poem “The Chimney Sweeper” – spoke out and wrote extensively about the psychological and social affects of the newly industrial world upon the individual and felt rampant industrialization countered the human spirit and intrinsic rights of men. To a large extent, English Romantic intellectuals and artists felt that the modern industrial world was harsh and deadening to the senses and spirit. These

intellectuals called for a return, both in life and in spirit, of the emotional and natural, as well as the ideals of the pre-industrial past.

This response and its various dimensions can be seen in the readings for this subunit. Byron's speech, in response to a law outlawing the activities of the Luddites, emphasizes the economic hardships that industrialization has created among working people. He insists that the Luddites are only reacting due to "circumstances of the most unparalleled distress" (Byron 1812). Only such desperation could have pushed the perpetrators – despite the presence of military and police forces – to continue destroying the machinery. He emphasizes that the underlying problem is that while the new machinery allowed the capitalists to increase their profit it did so by "throw[ing] out of employment" large numbers of workmen who "were left in consequence to starve" (Byron 1812). Rightly according to Byron, the workers thus felt "themselves to be sacrificed to improvements in mechanism" (Byron 1812).

Blake's "The Chimney-Sweeper" similarly reflects on the conditions of workers displaced by the new industrialization and concomitant urbanization. The child who speaks begins by commenting on his mother's death, but the central image of the poem is the contrast between Tom's vision of all the sweepers in a heaven where they run "down a green plain, leaping, laughing" (15) and the reality of their lives where "in soot" they sleep also figured through the image of them "locked up in coffins of black" (12). The poem also suggests that this religious vision helps to maintain the system, as the last line states that "If all do their duty" (24) and if they continue to work long hours in dirty conditions, then they will receive their reward in heaven. This idea is reiterated in Blake's "London," when he comments on "How the Chimney-sweeper's cry / Every blackning Church appalls" (9-10) setting up the contrast between the sweepers and the church, even as it suggests their interconnection. "London" also begins to develop another key point of the Romantic reaction to industrialization and urbanization, their sense that these processes are not only economically unfair but also

are dehumanizing and unnatural. The images Blake begins with, i.e., the repeated “charter’d” and “marks” of the opening stanza, suggest how humankind has transformed the Thames into yet another human-dominated thoroughfare (the Thames is “charter’d” just like the street) and links that denaturalization to the transformation and disempowerment of individuals who now show “Marks of weakness, marks of woe” (4). The problem, as the famous last line of the second stanza indicates, is one of consciousness and material practices, as it is “mind-forg’d manacles” (8) that he hears in every voice. Human minds have created these handcuffs, have chained themselves with the very processes – intellectual and material – that supposedly were to set people free.

The two Wordsworth poems from this subunit begin to move us towards the related question of the role of nature in Romanticism (see subunit 3.3.1) and further develop Blake’s emphasis on the unnaturalness of London and his identification of the problem as being one of consciousness. In the sonnet “The World Is Too Much with Us,” Wordsworth emphasizes the modern disconnection from nature: “Little we see in Nature that is ours” (3), averring that he’d “rather be / A pagan suckled in a creed outworn; / So might I, standing on this pleasant lea, / Have glimpses that would make me less forlorn” (9–12). Wordsworth implies that we have lost a sense of the mystery of nature and of its mythic and powerful element as epitomized in classical myths; note the reference to Proteus and Triton. While he does not diagnose exactly why, he stresses that “we are out of tune” (8) with nature, because “The world is too much with us” (1) and we “waste our power” with “Getting and spending” (2). Rather than having a spiritual connection with nature, we treat the world as an instrument, as a route to economic end. While the poem does not directly address industrialization, it epitomizes a Romantic critique of the economic materialism and instrumental rationality that defined industrialization.

The other sonnet by Wordsworth, “Composed upon Westminster Bridge, September 3, 1802,” also from the first years of the 19th century, provides a slightly different view of London, emphasizing

the possibility of renewal and reconnection with something divine in nature, even in the midst of the city. That possibility, however, is only attainable at this moment in the morning, when the city seems more at one with nature: its “Ships, towers, domes, theatres, and temples lie / Open unto the fields, and to the sky” (6–7) For this moment, everything is “bright and glittering in the smokeless air” (8). The contrast with the way the city normally is intensifies the experience, as Wordsworth repeatedly comments that nothing, even in the more wild regions he is more associated with, can compare: “Earth has not anything to show more fair” (1); “Never did sun more beautifully steep / in his first splendour, valley, rock, or hill” (10); “Ne’er saw I, never felt, a clam so deep!” (11). Unlike the Thames in Blake’s “London,” which is “charter’d,” rendered little different from the streets, here, “The river glideth at his own sweet will” (12). “Composed upon Westminster Bridge” illustrates the possibility of recovering a connection to nature even in the midst of the center of the new industrial capitalist nation. Doing so, it also embodies the Romantic emphasis on consciousness and on perspective. While the material conditions of morning – e.g., the city still being “asleep” – enable Wordsworth’s speaker to have this experience, it also seems to derive from his own ability to unconsciously open himself to the world, as the city itself does at this moment, and to allow himself merely to exist within the bounty of the sun, the air, and the morning. This sonnet suggests the ways that Romanticism, even in reacting against industrialization and urbanization, did not simply call for a return to older modes of living but stressed the importance of reconfiguring our relationship to the world – a relationship that, for many Romantics, industrialization has thrown out of balance.

Summary

- The Industrial Revolution refers to the massive economic,

technological, and social changes that transformed Western Europe and the United States through the mechanization of production and the reorganization of labor into factory systems during the beginning of the late-18th century in the United Kingdom.

- While the Industrial Revolution produced incredible wealth, enabled the middleclasses to become dominant, and allowed some in the working-class lives of more stability, it also drove many into horrific working conditions, destroyed the livelihoods of others, and had devastating consequences for the natural environment.

- British Romantic poets and thinkers reacted against the Industrial Revolution on a number of fronts, as illustrated in poems by Blake and Wordsworth, attacking the economic devastation to working people including children, its confining human consciousness to an instrumental view of nature and other people, and its demystification of nature.

88. 1833 Factory Act

In 1833 the Government passed a Factory Act to improve conditions for children working in factories. Young children were working very long hours in workplaces where conditions were often terrible. The basic act was as follows:

- no child workers under nine years of age
- employers must have an age certificate for their child workers
- children of 9-13 years to work no more than nine hours a day
- children of 13-18 years to work no more than 12 hours a day
- children are not to work at night
- two hours schooling each day for children
- four factory inspectors appointed to enforce the law

However, the passing of this act did not mean that the mistreatment of children stopped overnight. Using these sources, investigate how far the act had solved the problems of child labour.

Tasks

1. *This is an extract from a Factory Inspectors Report (1836).*

- Who gave the evidence to the factory inspector?
- Work out how many hours (not including breaks), the boys are reported to have worked without stopping
- Which parts of the new Factory Act have been broken?
- What does the tone of the letter tell us about what the factory inspectors thought about the firm Taylor, Ibbotson & Co?

- Having studied this source, would you be right to conclude that the 1833 Factory Act did nothing to solve the problems of child workers? Explain your answer

My Lord, in the case of Taylor, Ibbotson & Co. I took the evidence from the mouths of the boys themselves. They stated to me that they commenced working on Friday morning, the 27th of May last, at six A.M., and that, with the exception of meal hours and one hour at midnight extra, they did not cease working till four o'clock on Saturday evening, having been two days and a night thus engaged. Believing the case scarcely possible, I asked every boy the same questions, and from each received the same answers. I then went into the house to look at the time book, and, in the presence of one of the masters, referred to the cruelty of the case, and stated that I should certainly punish it with all the severity in my power. Mr. Rayner, the certificating surgeon of Bastile, was with me at the time.

Source 1

2. This is a piece of a document detailing which companies broke the law.

- What is the most common offence recorded?
- Work out how much is fined for the different offences
- By looking at the fines, which offence is regarded as the most serious?
- How effective was the 1833 Factory Act? Explain your answer. (Hint: is the number of convictions a good or bad sign?)

List of Prosecutions—continued.

Date.	Name and Address of Persons concerned.	Names of the Magistrates who tried the Case, and Place of Hearing.	Details of the Offence.	Amount of Penalty.	Amount of Costs.	Remarks.
1845.						
Sept. 25.	Wm. Bates, Greenfield, near Bolton, Lancashire.	Wm. and George Knapp, Esqrs. Magistrates, Bolton.	Aggravations held by Mr. Justice. Employing three young persons after 8 p.m.	1 0 0	1 0 0	Two cases withdrawn on payment of costs.
" 26.	John James, West Park, near Bolton, Lancashire.	Wm. and George Knapp, Esqrs. Magistrates, Bolton.	Employing three young persons and one female child after 8 p.m.	1 0 0	1 0 0	Three cases withdrawn on payment of costs.
" 29.	William Thwaites, Leek and Park, Leek, Cheshire.	Wm. and George Knapp, Esqrs. Magistrates, Bolton.	Employing three young persons and two children after 8 p.m.	1 0 0	0 0 0	Four cases withdrawn on payment of costs.
Oct. 1.	John James, West Park, near Bolton, Lancashire.	Wm. and George Knapp, Esqrs. Magistrates, Bolton.	Employing three young persons after 8 p.m. on Saturday.	1 0 0	0 0 0	Three cases withdrawn on payment of costs.
" 2.	Thomas J. Smith, Esq. (Prosecutor), near Bolton, Lancashire.	The Hon. Mr. J. B. Smith, Esq. Magistrate, Bolton.	Employing two young persons and two children after 8 p.m. on Saturday.	-	1 0 0	Withdrawn on payment of costs.
July 12.	William Kirk, Sharkey.	Thomas Knapp, Esq. Magistrate, Bolton.	Aggravations held by Mr. Mag. Employing two young persons without required certificates.	0 0 0	1 0 0	One case withdrawn on payment of costs, as no certificate.

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Reports of Inspectors of Factories.
[21st Oct.]

Source 2

3. *This is a photograph of workers in a factory in 1903.*

- What kind of factory is the boy working in?
- How old do you think he is?
- Write a list of all the dangers you can see in the factory and what you think could be done to improve them
- This photograph is from 1903, 70 years after the first Factory Act. Explain whether you think work in the factory had improved for child workers by this time
- Is the illustration at the top of this page and this photograph reliable evidence of working conditions in a factory? Give reasons for your answer



[Source 3](#)

4. *You are one of the four factory inspectors in 1836 trying to enforce the Factory Act. You have seen the evidence of abuse of*

*the the law and you are unhappy with the present system.
Write a letter to the Home Secretary suggesting ways to
improve the law and better methods of enforcing it.*

Background

As the Industrial Revolution gathered pace thousands of factories sprang up all over the country. There were no laws relating to the running of factories as there had been no need for them before. As a result, dangerous machinery was used that could, and frequently did, cause serious injuries to workers. To add to these dangers, people were required to work incredibly long hours – often through the night. Perhaps one of the worst features of this new industrial age was the use of child labour. Very young children worked extremely long hours and could be severely punished for any mistakes. Arriving late for work could lead to a large fine and possibly a beating. Dozing at a machine could result in the accidental loss of a limb.

People began to realise how bad these conditions were in many factories and started to campaign for improvements. There was a lot of resistance from factory owners who felt it would slow down the running of their factories and make their products more expensive. Many people also did not like the government interfering in their lives. Some parents, for instance, needed their children to go out to work from a young age, as they needed the money to help feed the family.

Not all factory owners kept their workers in bad conditions however. Robert Owen, who owned a cotton mill in Lanark, Scotland, built the village of New Lanark for his workers. Here they had access to schools, doctors and there was a house for each family who worked in his mills.

By 1833, the Government passed what was to be the first of many acts dealing with working conditions and hours. At first, there was limited power to enforce these acts but as the century progressed the rules were enforced more strictly. Nonetheless, the hours and working conditions were still very tough by today's standards, and no rules were in place to protect adult male workers.

Listed below are details of the legislation (laws) that was introduced to improve working conditions in factories.

Date	Industry	Details of law
		No child workers under nine years
1833	Textiles	Reduced hours for children 9-13 years Two hours schooling each day for children Four factory inspectors appointed
1844	Textiles	Children 8-13 years could work six half-hours a day Reduced hours for women (12) and no night work
1847	Textiles	Women and children under 18 years of age could not work more than ten hours a day
1867	All Industries	Previous rules applied to workhouses if more than five workers employed
1901	All Industries	Minimum age raised to 12 years

89. OpenYale Lecture: Industrial Revolution Pts 1-5

Overview

The Industrial Revolution was for a long time treated as a decisive break in which some countries, specifically England, innovated and progressed rapidly while others were left behind. This type of analysis leads many historians to overlook the more gradual process of industrialization in countries like France, and the persistence of older methods of artisanal production alongside new forms of mechanization. To understand the Industrial Revolution it is also necessary to take into account the Agricultural Revolution; the consequences of these twin developments include urban expansion and the “proletarianization” of rural laborers. Among the consequences of industrialization for workers are the imposition of industrial discipline and the emergence of schemes such as Taylorism dedicated to more efficiently exploiting industrial labor.

Video:

<http://oyc.yale.edu/history/hist-202/lecture-8>

90. Primary Source: The Life of the Industrial Worker in Nineteenth-Century England — Evidence Given Before the Sadler Committee (1831-1832)

“In 1832 Michael Sadler secured a Parliamentary investigation of conditions in the textile factories and he sat as chairman on the committee. The evidence printed here is taken from the large body published in the committee’s report and is representative rather than exceptional. It will be observed that the questions are frequently leading; this reflects Sadler’s knowledge of the sort of information that the committee were to hear and his purpose of bringing it out. This report stands out as one of three great reports on the life of the industrial class — the two others being that of the Ashley Commission on the mines and report on sanitary problems. The immediate effect of the investigation and the report was the passage of the Act of 1833 limiting hours of [employment](#) for women and [children](#) in textile work.” — Scott and Baltzly

Contents

- [Evidence Given Before the Sadler Committee](#)
- [Mr. Cobbett’s Discovery](#)
- [The Physical Deterioration of the Textile Workers](#)

- [A Cotton Manufacturer on Hours of Labor](#)
- [Opposition to the Chimney Sweepers' Regulation Bill](#)
- [The Benefit of the Factory Legislation](#)
- [Testimony Gathered by Ashley's Mines Commission](#)
- [Chadwick's Report on Sanitary Conditions](#)

Joshua Drake, called in; and Examined.

You say you would prefer moderate labour and lower wages; are you pretty comfortable upon your present wages? – I have no wages, but two days a week at present; but when I am working at some jobs we can make a little, and at others we do very poorly. When a child gets 3s. a week, does that go much towards its subsistence? – No, it will not keep it as it should do.

When they got 6s. or 7s. when they were pieceners, if they reduced the hours of labor, would they not get less? – They would get a halfpenny a day less, but I would rather have less wages and less work.

Do you receive any parish assistance? – No.

Why do you allow your children to go to work at those places where they are ill-treated or over-worked? – Necessity compels a man that has children to let them work.

Then you would not allow your children to go to those factories under the present system, if it was not from necessity? – No.

Supposing there was a law passed to limit the hours of labour to eight hours a day, or something of that sort, of course you are aware that a manufacturer could not afford to pay them the same wages? – No, I do not suppose that they would, but at the same time I would rather have it, and I believe that it would bring me into employ; and if I lost 5d. a day from my children's work, and I got half-a-crown myself, it would be better.

How would it get you into employ? – By finding more

employment at the machines, and work being more regularly spread abroad, and divided amongst the people at large. One man is now regularly turned off into the street, whilst another man is running day and night.

You mean to say, that if the manufacturers were to limit the hours of labour, they would employ more people? — Yes. [Parliamentary Papers, 1831-1832, XV, 44.]

Mr. Matthew Crabtree, called in; and
Examined.

What age are you? — Twenty-two. What is your occupation? — A blanket manufacturer.

Have you ever been employed in a factory? — Yes.

At what age did you first go to work in one? — Eight.

How long did you continue in that occupation? — Four years.

Will you state the hours of labour at the period when you first went to the factory, in ordinary times? — From 6 in the morning to 8 at night.

Fourteen hours? — Yes.

With what intervals for refreshment and rest? — An hour at noon.

When trade was brisk what were your hours? — From 5 in the morning to 9 in the evening.

Sixteen hours? — Yes.

With what intervals at dinner? — An hour.

How far did you live from the mill? — About two miles.

Was there any time allowed for you to get your breakfast in the mill? — No.

Did you take it before you left your home? — Generally.

During those long hours of labour could you be punctual; how did you awake? — I seldom did awake spontaneously; I was most

generally awoke or lifted out of bed, sometimes asleep, by my parents.

Were you always in time? — No.

What was the consequence if you had been too late? — I was most commonly beaten.

Severely? — Very severely, I thought.

In those mills is chastisement towards the latter part of the day going on perpetually? — Perpetually.

So that you can hardly be in a mill without hearing constant crying? — Never an hour, I believe.

Do you think that if the overlooker were naturally a humane person it would still be found necessary for him to beat the children, in order to keep up their attention and vigilance at the termination of those extraordinary days of labour? — Yes; the machine turns off a regular quantity of cardings, and of course, they must keep as regularly to their work the whole of the day; they must keep with the machine, and therefore however humane the slubber may be, as he must keep up with the machine or be found fault with, he spurs the children to keep up also by various means but that which he commonly resorts to is to strap them when they become drowsy.

At the time when you were beaten for not keeping up with your work, were you anxious to have done it if you possibly could? — Yes; the dread of being beaten if we could not keep up with our work was a sufficient impulse to keep us to it if we could.

When you got home at night after this labour, did you feel much fatigued? — Very much so.

Had you any time to be with your parents, and to receive instruction from them? — No.

What did you do? — All that we did when we got home was to get the little bit of supper that was provided for us and go to bed immediately. If the supper had not been ready directly, we should have gone to sleep while it was preparing.

Did you not, as a child, feel it a very grievous hardship to be roused so soon in the morning? — I did.

Were the rest of the children similarly circumstanced? — Yes, all of them; but they were not all of them so far from their work as I was.

And if you had been too late you were under the apprehension of being cruelly beaten? — I generally was beaten when I happened to be too late; and when I got up in the morning the apprehension of that was so great, that I used to run, and cry all the way as I went to the mill. [Parliamentary Papers, 1831-1832, XV, 95-97.]

Mr. John Hall, called in; and Examined.

Will you describe to the Committee the position in which the children stand to piece in a worsted mill, as it may serve to explain the number and severity of those cases of distortion which occur? — At the top to the spindle there is a fly goes across, and the child takes hold of the fly by the ball of his left hand, and he throws the left shoulder up and the right knee inward; he has the thread to get with the right hand, and he has to stoop his head down to see what he is doing; they throw the right knee inward in that way, and all the children I have seen, that bend in the right knee. I knew a family, the whole of whom were bent outwards as a family complaint, and one of those boys was sent to a worsted-mill, and first he became straight in his right knee, and then he became crooked in it the other way. [Parliamentary Papers, 1831-1832, XV, 115].

Elizabeth Bentley, called in; and Examined.

What age are you? — Twenty-three. Where do you live? — At Leeds.

What time did you begin to work at a factory? — When I was six years old.

At whose factory did you work? — Mr. Busk's.

What kind of mill is it? — Flax-mill.

What was your business in that mill? — I was a little doffer.

What were your hours of labour in that mill? — From 5 in the morning till 9 at night, when they were thronged.

For how long a time together have you worked that excessive length of time? — For about half a year.

What were your usual hours when you were not so thronged? — From 6 in the morning till 7 at night.

What time was allowed for your meals? — Forty minutes at noon.

Had you any time to get your breakfast or drinking? — No, we got it as we could.

And when your work was bad, you had hardly any time to eat it at all? — No; we were obliged to leave it or take it home, and when we did not take it, the overlooker took it, and gave it to his pigs.

Do you consider doffing a laborious employment? — Yes.

Explain what it is you had to do? — When the frames are full, they have to stop the frames, and take the flyers off, and take the full bobbins off, and carry them to the roller; and then put empty ones on, and set the frame going again.

Does that keep you constantly on your feet? — Yes, there are so many frames, and they run so quick.

Your labour is very excessive? — Yes; you have not time for any thing.

Suppose you flagged a little, or were too late, what would they do? — Strap us.

Are they in the habit of strapping those who are last in doffing? — Yes.

Constantly? — Yes.

Girls as well as boys? — Yes.

Have you ever been strapped? — Yes.

Severely? — Yes.

Could you eat your food well in that factory? — No, indeed I had not much to eat, and the little I had I could not eat it, my appetite was so poor, and being covered with dust; and it was no use to take it home, I could not eat it, and the overlooker took it, and gave it to the pigs.

You are speaking of the breakfast? — Yes.

How far had you to go for dinner? — We could not go home to dinner.

Where did you dine? — In the mill.

Did you live far from the mill? — Yes, two miles.

Had you a clock? — No, we had not.

Supposing you had not been in time enough in the morning at these mills, what would have been the consequence? — We should have been quartered.

What do you mean by that? — If we were a quarter of an hour too late, they would take off half an hour; we only got a penny an hour, and they would take a halfpenny more.

The fine was much more considerable than the loss of time? — Yes.

Were you also beaten for being too late? — No, I was never beaten myself, I have seen the boys beaten for being too late.

Were you generally there in time? — Yes; my mother had been up at 4 o'clock in the morning, and at 2 o'clock in the morning; the colliers used to go to their work about 3 or 4 o'clock, and when she heard them stirring she has got up out of her warm bed, and gone out and asked them the time; and I have sometimes been at Hunslet Car at 2 o'clock in the morning, when it was streaming down with rain, and we have had to stay

until the mill was opened. [Parliamentary Papers, 1831-1832, XV, 195.]

Peter Smart, called in; and Examined.

You say you were locked up night and day? — Yes.

Do the children ever attempt to run away? — Very often.

Were they pusued and brought back again? — Yes, the overseer pursued them, and brought them back.

Did you ever attempt to run away? — Yes, I ran away twice.

And you were brought back? — Yes; and I was sent up to the master's loft, and thrashed with a whip for running away.

Were you bound to this man? — Yes, for six years.

By whom were you bound? — My mother got 15s. for the six years.

Do you know whether the children were, in point of fact, compelled to stop during the whole time for which they were engaged? — Yes, they were.

By law? — I cannot say by law; but they were compelled by the master; I never saw any law used there but the law of their own hands.

To what mill did you next go? — To Mr. Webster's, at Battus Den, within eleven miles of [Dundee](#).

In what situation did you act there? — I acted as overseer.

At 17 years of age? — Yes.

Did you inflict the same punishment that you yourself had experienced? — I went as an overseer; not as a slave, but as a slave-driver.

What were the hours of labour in that mill? — My master told me that I had to produce a certain quantity of yarn; the hours were at that time fourteen; I said that I was not able to produce the quantity of yarn that was required; I told him if he took the

timepiece out of the mill I would produce that quantity, and after that time I found no difficulty in producing the quantity.

How long have you worked per day in order to produce the quantity your master required? — I have wrought nineteen hours.

Was this a water-mill? — Yes, water and steam both.

To what time have you worked? — I have seen the mill going till it was past 12 o'clock on the Saturday night.

So that the mill was still working on the Sabbath morning? — Yes.

Were the workmen paid by the piece, or by the day? — No, all had stated wages.

Did not that almost compel you to use great severity to the hands then under you? — Yes; I was compelled often to beat them, in order to get them to attend to their work, from their being over-wrought.

Were not the children exceedingly fatigued at that time? — Yes, exceedingly fatigued.

Were the children bound in the same way in that mill? — No; they were bound from one year's end to another, for twelve months.

Did you keep the hands locked up in the same way in that mill? — Yes, we locked up the mill; but we did not lock the bothy.

Did you find that the children were unable to pursue their labour properly to that extent? — Yes; they have been brought to that condition, that I have gone and fetched up the doctor to them, to see what was the matter with them, and to know whether they were able to rise or not able to rise; they were not at all able to rise; we have had great difficulty in getting them up.

When that was the case, how long have they been in bed, generally speaking? — Perhaps not above four or five hours in their beds. [Parliamentary Papers, 1831-1832, XV, 197.]

91. Primary Source Analysis

Module 9: Primary Source Analysis Questions

Using the excerpts provided from the Sadler Reports : Answer the following questions and

complete and coherent sentences. Answer each part of the questions asked.

- 1) What do these testimonies reveal about child labor? Provide an example.
- 2) Are there any differences based on gender in these testimonies?
- 3) What effect did the labor have on the children? Provide an example.
- 4) What steps were taken keep the children on task? Provide an example.
- 5) From the point of view of the parents, why was it important to have your children in the factory? For the factory owners, what was the benefit of child workers?

92. Coal, Steam, and the Industrial Revolution: Crash Course World History #32



One or more interactive elements has been excluded from this version of the text. You can view them online

here: <https://library.achievingthedream.org/tccworldciv2/?p=118#oembed-1>

PART XI

10: "-ISMS" AND MORE REVOLUTIONS

93. Review of Revolutions of 1848

1848 was the turning point at which modern history failed to turn.

— G. M. Trevelyan.



A series of European revolutions which, funnily enough, took place in 1848. They failed.

First, rewind to 1815. The end of [The Napoleonic Wars](#) was essentially a victory for reactionary forces. They blamed [Napoleon Bonaparte](#) on the radicalism of [The French Revolution](#), which ironically, Napoleon wanted to end. Thus, as the allies met in Vienna to decide the fate of post-war Europe, their aim was to prevent anything like the French Revolution from happening again. The traditional European order, divine-rights monarchs and suchlike, was to be restored as much as possible. The crowned heads of Europe agreed that when one of them was threatened by the next

would-be French Revolution, they would act together to put it down.

Fastforward to 1848. A wave of revolutions swept across Europe as the people of various countries rebelled against the post-Napoleonic conservative order. Who were these people that rebelled? Generally, they were a mix of liberal republicans, radical socialists, and various kinds of nationalists – in other words, people who had little in common other than [their shared opposition to the current order in Europe](#). These differences allowed reactionary forces to use a [Divide and Conquer](#) strategy, combined with their superior military force, to regain control of the situation. By the early part of 1849, the revolutions had been crushed, but they had begun to change many Europeans' way of thinking about society.

Quite a lot of stuff happened during and as a result of the Revolutions of 1848:

- In France, King Louis Philippe was overthrown and the Second French Republic was proclaimed. An election was held, which was won by Louis-Napoleon Bonaparte, the nephew of the [Napoleon Bonaparte](#). France managed to stay a republic until 1851, when Louis-Napoleon noticed that his term was starting to run out. He decided the solution was to follow in his uncle's footsteps and become emperor. As Napoleon III, he ruled France until his defeat in the [Franco-Prussian War](#) of 1870.
- Nationalist revolts threatened to tear apart the multiethnic Austrian Empire. Austria's dominant ethnic minority, the Hungarians, rebelled in the hopes of forming their own separate country. Weirdly foreshadowing 1956, the Russians invaded to put down the Hungarian Revolution. With Habsburg rule over Hungary restored, the Austrian Empire had been saved from fracturing... [for now](#).
- At the same time, the Austrian Empire was also threatened by Italian nationalists. Hoping to begin the process of creating a united Italy and taking advantage of Austria being destabilized

by revolution, the Kingdom of Sardinia invaded Austria's Italian possessions, beginning the [First Italian War of Independence](#). [The Papal States](#) initially supported the Sardinians, but later [The Pope](#) decided that Catholic countries going to war with each other was a no-no. Outraged, the nationalists ousted the Pope and proclaimed a new Roman Republic. In the end, the Austrians regained control of their Italian possessions and the Papal States were restored.

- [All the Little Germanies](#) attempted to unite into one country through liberal reform. This so-called “liberal nationalism” failed, paving the way for [Otto von Bismarck](#)'s more warlike approach. Incidentally, this revolution is the first time that a black, red, and gold tricolor was used as the German flag.
- Not every European country had a revolution in 1848. Great Britain, Russia, Portugal, Spain, and the Ottoman Empire were among the most notable European countries to be left out of the party. The Netherlands also didn't have a revolution, but constitutional reforms were made there as a means of avoiding unrest.
- Although the Revolutions of 1848 are regarded as a European phenomenon, related revolutions took place as far afield as Brazil.
- Speaking of the Americas, the United States was indirectly affected — not so much by the revolutions themselves as by their aftermath. After the revolutions failed, many European radicals fled to the U.S., where a number of them became involved in the American anti-slavery movement. Also, the influx of immigrants fueled the rise of the nativist “Know Nothing” party.
- It's a coincidence that [Karl Marx](#) and Friedrich Engels wrote *The Communist Manifesto* in 1848. Unsurprisingly taking the side of the socialists, Marx and Engels argued that the *bourgeoisie*, i.e. the liberal republicans, would eventually have to be overthrown by the *proletariat*, i.e. the working classes.

- And finally, liberal constitutional regimes actually were established in Denmark and Switzerland without violence, only protests.

The actual consequences of 1848 and Europe as a whole has been debated by historians. The consensus is that the Revolutions failed but were widespread enough to force governments on a path of reform, and directed many reactionaries in favor of social reforms that they would formerly have regarded as an outrage but now considered [Necessarily Evil](#). The suppression of the revolutions also showed the greater power and authoritarianism of European and Central European nations. The biggest impact of these events in the eyes of historians is the “lessons” various participants and observers learned from it. Bismarck believed that the liberal regimes and reformers should revolutionize from above and, in effect, bribe the lower classes via [The Moral Substitute](#). Marx and his later interpreters felt that the events failed because of a lack of cohesiveness and organization, and that later revolutions would need to be organized and coordinated. So at once it was a sign of its times and couched in the rhetoric of 19th Century republicanism, but it was a sign of things to come as well.

[The Arab Spring](#) of 2011 has often been compared to the Revolutions of 1848.

94. Revolutions of 1848

Course Syllabus for “HIST303: The Age of Revolutions in the Atlantic World, 1776–1848”

Please note: this [legacy course](#) does not offer a certificate and may contain broken links and outdated information. Although archived, it is open for learning without registration or enrollment. Please consider contributing updates to [this course on GitHub](#)(you can also adopt, adapt, and distribute this course under the terms of the [Creative Commons Attribution 3.0 license](#)). **To find fully-supported, current courses, [visit our Learn site](#).**

This course will introduce you to the history of the Age of Revolutions in the Atlantic World from 1776 to 1848. You will learn about the revolutionary upheavals that took place in the Americas and Europe during this period. Each unit will include representative primary-source documents that illustrate important overarching political, economic, and social themes, such as the secession of the American colonies from the British Empire, the outbreak of the French Revolution, the dissolution of the Spanish and Portuguese Empires in the Americas, and the spread of revolutionary ideals throughout the Atlantic World. Running alongside and extending beyond these political revolutions is the First Industrial Revolution. By the end of the course, you will understand how an Atlantic World, dominated by European empires in 1776, was transformed through revolution into a series of independent states by 1848 and of the profound changes that Europe would experience, and continue to experience, through the development and consolidation of capitalism.

Learning Outcomes

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

- think analytically about the history of the revolutionary age between 1776 and 1848;
- define what a *revolution* means, and describe what made 1776–1848 an “age of revolution”;
- define the concept of the Atlantic world, and describe its importance in world history;
- explain the basic intellectual and technical movements associated with the enlightenment and their relations to the revolutionary movements that follow;
- identify and describe the causes of the American Revolution;
- identify and describe the many stages of the French Revolution: the end of absolutist monarchy, the implementation of constitutional monarchy, and the rise of the Jacobin Republic;
- compare and contrast the declaration of the rights of man and other major statements of the revolutionary period and enlightenment thinking;
- identify and describe the impact of the first successful slave rebellion in world history—the Haitian Revolution;
- compare and contrast the debate between Edmund Burke and Thomas Paine; and
- analyze and interpret primary source documents that elucidate the causes and effects of the age of revolutions.

Course Requirements

In order to take this course, you must:

- ✓ have access to a computer;

- ✓ have continuous broadband Internet access;
- ✓ have the ability/permission to install plug-ins or software (e.g. Adobe Reader or Flash);
- ✓ have the ability to download and save files and documents to a computer;
- ✓ have the ability to open Microsoft files and documents (.doc, .ppt, .xls, etc.);
- ✓ have competency in the English language;
- ✓ have read the [Saylor Student Handbook](#); and
- ✓ have completed all of the courses listed in “[The Core Program](#)” of the History discipline: [HIST101](#), [HIST102](#), [HIST103](#), and [HIST104](#).

Course Information

Welcome to HIST303. General information about the course and its requirements can be found below.

Course Designer: Mark Hoolihan and Concepcion Saenz-Cambra, PhD

Primary Resources: The study material for this course includes a range of free online content. However, the course makes primary use of the following resource:

– YouTube: Yale University: Professor Joanne B. Freeman’s [The American Revolution Lecture Series](#)

Requirements for Completion: In order to successfully complete this course, you will need to work through each unit and its assigned resources in order. You will also need to complete:

- Unit 1 Assessment
- Unit 2 Assessment
- Unit 3 Assessment
- Unit 4 Assessment
- Unit 5 Assessment

- The Final Exam

Note that you will only receive an official grade on your final exam. However, in order to prepare for this exam, you will need to work through all course materials, including the assessments listed above.

In order to pass the course, you will have to attain a minimum of 70% on the Final Exam. Your score on the final exam will be tabulated as soon as you complete it. You will have the opportunity to retake the exam if you do not pass it.

Time Commitment: This course should take you approximately **66 hours**. A time advisory is presented under each subunit to guide you on the amount of time that you are expected to spend in going through the lectures. Please do not rush through the material to adhere to the time advisory. You can look at the time suggested in order to plan out your week for study and make your schedule accordingly. For example, Unit 1 should take approximately 18 hours to complete. Perhaps you can sit down with your calendar and decide to complete subunit 1.1.1 (a total of 5 hours) on Monday and Tuesday nights; subunits 1.1.2 through 1.1.5 (a total of 6.5 hours) on Wednesday and Thursday nights; etc.

Revolutions of 1848

The **European Revolutions of 1848**, known in some countries as the **Spring of Nations**, **Springtime of the Peoples**^[3] or the **Year of Revolution**, were a series of [political upheavals](#) throughout Europe in 1848. It was the only Europe-wide collapse of traditional authority to date, but within a year, [reactionary](#) forces had won out, and the revolutions collapsed.

This [revolutionary wave](#) began in [France in February](#) and immediately spread to most of Europe and parts of Latin America. Over 50 countries were affected, but there was no coordination

or cooperation among the revolutionaries in different countries. Five factors were involved: the widespread dissatisfaction with the political leadership; the demand for more participation and democracy; the demands of the working classes; the upsurge of nationalism; and finally, the regrouping of the reactionary forces based in the royalty, the aristocracy, the army, and the peasants.^[4]

The uprisings were led by shaky ad-hoc coalitions of reformers, the middle classes and workers, but it could not hold together for long. Tens of thousands of people were killed, and many more forced into exile. The only significant lasting reforms were the abolition of [serfdom](#) in Austria and Hungary, the end of [absolute monarchy](#) in Denmark, as well as the definitive end of the [Capetian monarchy](#) in France. The revolutions were most important in France, Germany, Poland, Italy, and the Austrian Empire, and did not reach Russia, Great Britain, Spain, Sweden, Portugal, or the Ottoman Empire.^[5]

Origins

These revolutions arose from such a wide variety of causes that it is difficult to view them as resulting from a coherent movement or social phenomenon. Numerous changes had been taking place in European society throughout the first half of the 19th century. Both [liberal](#) reformers and [radical politicians](#) were reshaping national governments.

Technological change was revolutionizing the life of the working classes. A popular press extended political awareness, and new values and ideas such as [popular liberalism](#), [nationalism](#) and [socialism](#) began to emerge. Some historians emphasize the serious crop failures, particularly those of 1846, that produced hardship among peasants and the working urban poor.



[Galician slaughter](#) (Polish: Rzeź galicyjska) by [Jan Lewicki](#) (1795–1871), depicting the massacre of Polish nobles by Polish peasants in [Galicia](#) in 1846.

Large swathes of the [nobility](#) were discontented with [royal absolutism](#) or near-absolutism. In 1846 there had been an [uprising](#) of [Polish](#) nobility in Austrian [Galicia](#), which was only countered when peasants, in turn, rose up against the nobles.^[6] Additionally, an [uprising](#) by democratic forces against [Prussia](#) occurred in [Greater Poland](#).

Next the [middle classes](#) began to agitate. Working class objectives tended to fall in line with those of the middle class. Although [Karl Marx](#) and [Friedrich Engels](#) had written at the request of the [Communist League](#) in London (an organization consisting principally of German workers) [The Communist Manifesto](#) (published in German in London on February 21, 1848), once they began agitating in Germany following the March insurrection in Berlin, their demands were considerably reduced. They issued their “Demands of the Communist Party in Germany”^[7] from Paris in March; the pamphlet only urged unification of Germany, universal suffrage, abolition of feudal duties, and similar middle class goals.

The middle and working classes thus shared a desire for reform, and agreed on many of the specific aims. Their participations in the revolutions, however, differed. While much of the impetus came

from the middle classes, much of the cannon fodder came from the lower.^[citation needed] The revolts first erupted in the cities.

Urban workers

The population in French rural areas had [rapidly risen](#), causing many peasants to seek a living in the cities. Many in the [bourgeoisie](#) feared and distanced themselves from the [working poor](#). Many unskilled laborers toiled from 12 to 15 hours per day when they had work, living in squalid, disease-ridden slums. Traditional artisans felt the pressure of industrialization, having lost their [guilds](#). Revolutionaries such as Marx built up a following.^[8]

The situation in the German states was similar. Parts of [Prussia](#) were beginning to industrialize. During the decade of the 1840s, mechanized production in the textile industry brought about inexpensive clothing that undercut the handmade products of German tailors.^[9] Reforms ameliorated the most unpopular features of rural [feudalism](#), while industrial workers remained dissatisfied with these and pressed for greater change.



Map of Europe, showing the major events of 1848 and 1849

Urban workers had no choice but to spend half of their income on food, which consisted of bread and potatoes. As a result of harvest failures, food prices soared^[quantify] and the demand for

manufactured goods decreased,^[quantify] causing an increase in unemployment.^[quantify] During the revolution, to address the problem of unemployment, workshops were organized for men interested in construction work. Officials also set up workshops for women when they felt they were excluded. Artisans and unemployed workers destroyed industrialized machines when their social demands were neglected.^[10]

Rural areas

Rural population growth had led to food shortages, [land](#) pressure, and migration, both within Europe and out from Europe, especially to North America. In the years 1845 and 1846, a [potato blight](#) caused a [subsistence crisis in Northern Europe](#). The effects of the blight were most severely manifested in the [Great Irish Famine](#),^[11] but also caused famine-like conditions in the [Scottish Highlands](#) and throughout [Continental Europe](#).

[Aristocratic](#) wealth (and corresponding power) was synonymous with the ownership of farm lands and effective control over the [peasants](#). Peasant grievances exploded during the revolutionary year of 1848.

Role of ideas

Despite forceful and often violent efforts of established and reactionary powers to keep them down, disruptive ideas gained popularity: [democracy](#), [liberalism](#), [nationalism](#), and [socialism](#).^[12]

In the language of the 1840s, *democracy* meant universal male [suffrage](#). *Liberalism* fundamentally meant consent of the governed and the restriction of church and [state](#) power, [republican government](#), [freedom of the press](#) and the

individual. *Nationalism* believed in uniting people bound by (some mix of) common [languages](#), [culture](#), [religion](#), shared [history](#), and of course immediate [geography](#); there were also [irredentist](#) movements. At this time, what are now [Germany](#) and [Italy](#) were collections of small states. *Socialism* in the 1840s was a term without a consensus definition, meaning different things to different people, but was typically used within a context of more power for workers in a system based on [worker ownership](#) of the [means of production](#).

Events



la [Barricade de la rue Soufflot](#), Paris, Feb 1848, by [Horace Vernet](#).

Italian states

Main articles: [Sicilian revolution of independence of 1848](#) and [Revolutions of 1848 in the Italian states](#)

Although little noticed at the time, the first major outbreak came

in Sicily, starting in January 1848. There had been several previous revolts against Bourbon rule; this one produced an independent state that lasted only 16 months before the Bourbons came back. During those months the constitution was quite advanced for its time in liberal democratic terms, as was the proposal of an Italian confederation of states. The failed revolt was reversed a dozen years later as the Bourbon kingdom of the Two Sicilies collapsed in 1860–61 with the [Risorgimento](#).

France

Main article: [French Revolution of 1848](#)

The “February Revolution” in France was sparked by the suppression of the [campagne des banquets](#). This revolution was driven by nationalist and republican ideals among the French general public, who believed that the people should rule themselves. It ended the [constitutional monarchy](#) of [Louis-Philippe](#), and led to the creation of the [French Second Republic](#). This government was headed by Louis-Napoleon, who, after only four years, returned France to a monarchy with the establishment of the Second French Empire in 1852.

[Alexis de Tocqueville](#) remarked in his Recollections of the period that “society was cut in two: those who had nothing united in common envy, and those who had anything united in common terror.”^[13]

German states

Main article: [Revolutions of 1848 in the German states](#)

Cheering revolutionaries after fighting in March 1848

The “March Revolution” in the German states took place in the south and the west of Germany, with large popular assemblies and mass demonstrations. Led by well educated students and intellectuals,^[14] they demanded [German national unity](#), [freedom of the press](#), and [freedom of assembly](#). The uprisings were not well coordinated but had in common a rejection of traditional, autocratic political structures in the thirty-nine independent states of the [German Confederation](#). The middle class and working class components of the Revolution split, and in the end the conservative aristocracy defeated it, forcing many liberals into exile.^[15]

Denmark

Main article: [History of Denmark § Nationalism and liberalism](#)

Denmark had been governed by a system of absolute monarchy since the seventeenth century. King [Christian VIII](#), a moderate reformer but still an absolutist, died in January 1848 during a period of rising opposition from farmers and liberals. The demands for constitutional monarchy, led by the [National Liberals](#), ended with a popular march to [Christiansborg](#) on March 21. The new king, [Frederick VII](#), met the liberals' demands and installed a new Cabinet that included prominent leaders of the [National Liberal Party](#). The national-liberal movement wanted to abolish absolutism but retain a strongly centralized state. The king accepted [a new constitution](#) agreeing to share power with a bicameral parliament called the [Rigsdag](#). Although army officers were dissatisfied, they accepted the new arrangement which, in contrast to the rest of Europe, was not overturned by reactionaries.^[16] The liberal constitution did not extend to Schleswig, leaving the [Schleswig-Holstein Question](#) unanswered.

Danish soldiers return victorious

Schleswig

Main article: [First Schleswig War](#)

[Schleswig](#), a region containing both Danes and Germans, was a part of the Danish monarchy but remained a duchy separate from the Kingdom of Denmark. Spurred by [pan-German](#) sentiment, Germans of Schleswig took up arms to protest a new policy announced by Denmark's [National Liberal](#) government, which would have fully integrated the duchy into Denmark. The German population in Schleswig and Holstein revolted, inspired by the Protestant clergy. The German states sent in an army but Danish victories in 1849 led to the Treaty of Berlin (1850) and the London Protocols (1852). They reaffirmed the sovereignty of the King of Denmark, while prohibiting union with Denmark. The violation of the latter provision led to renewed warfare in 1863 and the Prussian victory in 1864.

Habsburg Empire

Main article: [Revolutions of 1848 in the Habsburg areas](#)



Proclamation of [Serbian Vojvodina](#) in [Sremski Karlovci](#).

From March 1848 through July 1849, the Habsburg Austrian Empire was threatened by revolutionary movements, which often had a nationalist character. The empire, ruled from Vienna, included Austrian Germans, Hungarians, Slovenes, Poles, Czechs, Croats, Slovaks, Ukrainians/[Ruthenians](#), Romanians, [Serbs](#) and Italians, all of whom attempted in the course of the revolution to either achieve autonomy, independence, or even hegemony over other nationalities. The nationalist picture was further complicated by the simultaneous events in the German states, which moved toward greater German national unity.

Hungary

Main article: [Hungarian Revolution of 1848](#)



[Battle of Buda](#), May 1849, by [Mór Than](#)



Hungarian [hussars](#) in battle during the Hungarian Revolution.

The Hungarian revolution of 1848 started on the 15 March 1848, when [Hungarian](#) patriots organized mass demonstrations in [Pest](#) and [Buda](#) (today Budapest) which forced the Imperial governor to accept their [twelve points of demands](#). This resulted in [Klemens von Metternich](#), the Austrian prince and foreign minister, resigning. In turn, Emperor Ferdinand promised Hungary a constitution, an elected parliament, and the end of censorship. The revolution grew into a war for independence from the Austrian Empire when [Josip Jelačić](#), Ban of Croatia, crossed the border, in order to restore Habsburg control. The new government, led by [Lajos Kossuth](#), was initially successful against the Habsburg

forces, but eventually, after one and a half years of fighting, the revolution was crushed when Russian Tsar [Nicholas I](#) marched into Hungary with over 300,000 troops. Hungary was thus placed under brutal martial law, with the Austrian government restored.^[17] On the long run, the passive resistance following the revolution led to the [Austro-Hungarian Compromise](#) (1867), which event marked the birth of the [Austro-Hungarian Empire](#).

Switzerland

Main article: [Sonderbund war](#)

Switzerland, already an alliance of republics, also saw major internal struggle. The creation of the [Sonderbund](#) led to a short [Swiss civil war](#) in November 1847. In 1848, a new constitution ended the almost-complete independence of the cantons and transformed Switzerland into a federal state.

Western Ukraine

The center of the Ukrainian national movement was in [Eastern Galicia](#). On April 19, 1848, a group of representatives lead by the Greek Catholic clergy launched a petition to the Austrian Emperor. It expressed wishes that in those regions of Galicia where Ruthenian (Ukrainian) population represented majority the [Ukrainian language](#) should be taught at schools and used to announce official decrees for the peasantry; local officials were expected to understand it and Ruthenian clergy was to be equalized in their rights with the clergy of all other denominations.^[18]

On May 2, 1848 the [Supreme Ruthenian \(Ukrainian\) Council](#) was established. The Council (1848-1851) was headed by the Greek-Catholic Bishop Gregory Yakhimovich and consisted of 30

permanent members. Its main goal was the administrative division of Galicia into Western (Polish) and Eastern (Ruthenian/Ukrainian) parts within the borders of the Habsburg Empire, and formation of a separate region with a political self-governance.^[19]

Greater Poland

Main article: [Greater Poland Uprising \(1848\)](#)

Polish people mounted a military insurrection in the [Grand Duchy of Poznań](#) (or the [Greater Poland](#) region) against the occupying [Prussian](#) forces.

Danubian Principalities

Main article: [Wallachian Revolution of 1848](#)



People in [Bucharest](#) during the 1848 events, carrying the [Romanian tricolor](#)

A [Romanian liberal](#) and [Romantic nationalist](#) uprising began in June in the principality of [Wallachia](#). Closely connected with the 1848 unsuccessful [revolt in Moldavia](#), it sought to overturn the administration imposed by [Imperial Russian](#) authorities under the [Regulamentul Organic](#) regime, and, through many of its leaders, demanded the abolition of [boyar](#) privilege. Led by a group of young intellectuals and officers in the Wallachian military forces, the movement succeeded in toppling the ruling [Prince Gheorghe Bibescu](#), whom it replaced with a Provisional Government and a [Regency](#), and in passing a series of major liberal reforms, first announced in the [Proclamation of Islaz](#).

Belgium

In [Belgium](#), the uprisings were local and concentrated in the industrial basins of the Provinces of Liège and Hainaut. A more or less greater threat was coming from France, where among the seasonal workers Communism was spread by the small Communist clique of Belgium, basically the people were brought into a Belgian Legion, with the promise of a free ride home and money. The Belgian Legion would 'invade' Belgium by train and travel to Brussels where the government and monarchy had to be overthrown. Several smaller groups managed to infiltrate Belgium, but the reinforced Belgian bordertroops was successful in splitting up the larger groups of the Legion, and the invasion eventually came to nothing.^[20]

Ireland

The [Young Irelander Rebellion of 1848](#) was a small, failed rebellion which broke out in [Ballingarry, Co. Tipperary](#). It was led by the [Young Ireland](#) movement, inspired by [famine conditions in Ireland](#) and the 1848 rebellions throughout Europe.

Other English-speaking lands



[Chartist](#) meeting on [Kennington Common](#) 10 April 1848.

Elsewhere in [Britain](#), the middle classes had been pacified by general enfranchisement in the [Reform Act 1832](#); the consequent agitations, violence, and petitions of the [Chartist movement](#) came to a head with [their peaceful petition to Parliament](#) of 1848. The repeal in 1846 of the protectionist agricultural tariffs – called the “[Corn Laws](#)” – had defused some proletarian fervour.^[21]

The Revolutions had little impact in British colonies, aside from a modest influx of immigration from German-speaking lands. In the United States, the main impact of Revolutions and their failure was [substantially increased immigration](#), especially from Germany. This in turn fuelled the [nativist](#) “[Know Nothing](#)” movement in the

years preceding the [American Civil War](#). The “Know Nothings” were opposed to immigration, especially immigration of German and Irish Catholics and held the [Pope, Pius IX](#) responsible for the Revolutions’ failure.

New Grenada

In Spanish Latin America, the Revolution of 1848 appeared in [New Grenada](#), where Colombian students, liberals and intellectuals demanded the election of General [José Hilario López](#). He took power in 1849 and launched major reforms, abolishing slavery and the death penalty, and providing freedom of the press and of religion. The resulting turmoil in [Colombia](#) lasted four decades; from 1851 to 1885 the country was ravaged by four general civil wars and fifty local revolutions.^[22]

Brazil

Main article: [Praieira revolt](#)

In [Brazil](#), the “Praieira revolt” was a movement in [Pernambuco](#) that lasted from November 1848 to 1852. Unresolved conflicts left over from the period of the Regency and local resistance to the consolidation of the [Brazilian Empire](#) that had been proclaimed in 1822 helped to plant the seeds of the revolution.

Legacy and memory

. . . We have been beaten and humiliated . . . scattered,

imprisoned, disarmed and gagged. The fate of European democracy has slipped from our hands.

– [PIERRE-JOSEPH PROUDHON](#), ^[23]



Caricature by Ferdinand Schröder on the defeat of the revolutions of 1848/49 in Europe (published in *Düsseldorfer Monatshefte*, August 1849).

There were multiple memories of the Revolution. Democrats looked to 1848 as a democratic revolution, which in the long run insured liberty, equality, and fraternity. Marxists denounced 1848 as a betrayal of working-class ideals by a bourgeoisie that was indifferent to the legitimate demands of the proletariat. For nationalists, 1848 was the springtime of hope when newly emerging nationalities rejected the old multinational empires. They were all bitterly disappointed in the short run. 1848, at best, was a glimmer of future hope, and at worst it was a deadweight that strengthened the reactionaries and delayed further progress. ^[24]

In the post-revolutionary decade after 1848, little had visibly changed and most historians considered the revolutions a failure, given the seeming lack of permanent structural changes.

Nevertheless, there were a few immediate successes for some revolutionary movements, notably in the Habsburg lands. [Austria](#) and [Prussia](#) eliminated feudalism by 1850, improving

the lot of the peasants. European middle classes made political and economic gains over the next twenty years; France retained universal male suffrage. Russia would later [free the serfs on February 19, 1861](#). The Habsburgs finally had to give the Hungarians more [self-determination](#) in the [Ausgleich](#) of 1867. The revolutions inspired lasting reform in [Denmark](#) as well as the [Netherlands](#).

Exceptions

[Great Britain](#), the [Netherlands](#), the [Russian Empire](#) (including [Congress Poland](#)), and the [Ottoman Empire](#) were the only major European states to go without a national revolution over this period. [Sweden](#) and [Norway](#) were little affected. [Serbia](#), though formally unaffected by the revolt as it was a part of the Ottoman state, actively supported the [Serbian revolution in the Habsburg Empire](#).^[25]

Russia's relative stability was attributed to the revolutionary groups' inability to communicate with each other.^[citation needed] In the [Kingdom of Poland](#) and the [Grand Duchy of Lithuania](#), uprisings took place in 1830–31 (the [November Uprising](#)) and 1846 (the [Kraków Uprising](#)). A final revolt took place in 1863–65 (the [January Uprising](#)), but none occurred in 1848.

[Switzerland](#) and [Portugal](#) were also spared in 1848, though both had gone through civil wars in the preceding years (the [Sonderbund war](#) in Switzerland and the [Liberal Wars](#) in Portugal). The introduction of the [Swiss Federal Constitution](#) in 1848 was a revolution of sorts, laying the foundation of Swiss society as it is today. In the [Netherlands](#) no major unrests appeared because the king [Willem II](#) decided to alter the constitution to reform elections and effectively reduce the power of the monarchy. While there were no major political upheavals in the Ottoman Empire as such, political unrest did occur in some of its [vassal states](#). In

Serbia, [feudalism](#) was finally abolished in 1838 and power of the Serbian prince was reduced with the [Turkish constitution](#).

95. Imperialism of European Ideas and Values

Imposition of European Ideas and Values

As European countries established empires in Asia and Africa in the nineteenth century, they marked their presence in a number of ways. One of the most lasting was their attempt to imprint their culture onto their colonial subjects, or their cultural imperialism. As a result of their conquest of much of the world, Europeans believed that they were not merely militarily superior but culturally superior as well. It was necessary, Europeans believed, to replace these inferior cultures with their own and, thus, “civilize” the peoples of the rest of the world. Interestingly, this process of cultural assimilation and homogenization also took place in Europe, both in the colonizing countries themselves as well as in the Eastern European borderlands where Germany and Russia were independently embarking upon imperialist projects.

Rather than a thematic presentation, this reading will examine various cases of cultural assimilation and imperialism. Some of the examples are basic to the study of cultural contact and assimilation: the British in India, the French in Algeria, and the Americans and Canadians on the western frontier. While these are the customary examples of European (or Western) cultural dominance over non-European societies, the last three sections will widen your understanding of imperial contact. First, a section on Eastern Europe shows that cultural imperialism was not limited to extra-European territories; the people of Eastern Europe also experienced attempts at cultural assimilation under the Russian and German empires. Second, the example of Italian colonization in Ethiopia is an example of a mostly unsuccessful attempt at an imperialist

takeover and cultural imperialism. Finally, while European imperialists attempted to impose cultural uniformity upon their imperial possessions, they were shaped by those cultures in return.

British India

Cultural imperialism in British India had two major characteristics: first, it exemplified the British desire to remake Indians into more civilized people and second, it was a means of control. The British could not raise an army of enough size to control their Indian subjects by force, so they relied partly on their culture of empire, into which they co-opted not only their representatives in India but also segments of the Indian population itself.

The development of the English language in India was an important marker of cultural imperialism, as the British used their native tongue to set the social standard. In India, as in England, being able to speak “The Queen’s English” became a mark of great distinction, one that was more difficult to attain for Indians with little prior knowledge of the language. The British colonizers, in essence, controlled access to the language; and since mastery of English was desirable for any Indians who wanted to succeed under the colonial administration, they needed to go to the British. The impact of British language policy on India was long-lasting, as English remains one of India’s official languages.

Another area in which the British introduced aspects of their culture into Indian culture was through sport. The British used sports as a more informal means to solidify Saylor URL: www.saylor.org/HIST103 Subunit 5.2.3 The Saylor Foundation Saylor.org Page 2 of 8 their control over Indians. In late nineteenth-century Britain, sports like cricket, rugby, and golf had become extremely popular. This explosion in popularity came in part because sports were seen as socially good; sports were believed to pass on values that created better citizens. Such values included

teamwork, respect for authority (for example, the coach), and respect for the rules. The British believed that when these kinds of values were extended into everyday society, they could create a more docile society that would not challenge authority but rather seek to obey and even to work with it. For this reason, sports were particularly stressed at British schools in this and later periods. These sports, especially cricket, quickly became important to Indians in the same way mastery of the English language became important to them. Sport was, therefore, another means that the British used to maintain control in India; but crucially, it was a more delicate method than the use of force. Interestingly, like English is still one of India's official languages, today cricket is more of a mania in India than it is in Britain.

A third area in which British dominance was asserted culturally was through social clubs. Exclusive social clubs had long been a tradition among the British elite, and their establishment in India created a space where the colonial elite could mix apart from the rest of society. Clubs often became known for their rousing atmospheres and interesting events. Merely by being exclusive and interesting, social clubs attracted the attention of many Indians in the elite or professional classes who strove to show their own value in society. Very gradually, a few British social clubs admitted the occasional Indian. Strikingly, however, Indians began to imitate British culture by creating their own clubs. Again, as in the case of language and sports, the Indian adoption of clubs exemplifies a wider phenomenon in which Indians co-opted British culture, in essence accepting its desirability.

In short, language, sport, and social clubs reinforced British dominance over Indians by asserting British primacy in areas of culture. These were ways in which the British both implicitly and explicitly made known to Indians that British culture was superior and the correct way for civilized people to act. As the British defined the culture, it put them in a position of power over Indians who were interested in becoming more British or finding the favor of the imperial regime.

French Algeria

The British method of colonialism in India and around the world was relatively hands-off. In comparison, the French took a much more active role in their colonies. More French people settled there, there was a stronger military presence, and the French colonists made a much more overt attempt to entrench their colonial superiority. As the first colony of France's Second Empire, Algeria became the testing ground for ideas that the French then used as they acquired more colonies in Africa and Asia later in the nineteenth century.

A large influx of French settlers into Algeria formed the backbone of the imperializing effort. The population was large enough that three Algerian territories were organized as départements, or mainland French regions, and these regions eventually had representatives in the French National Assembly. Much of the colony was organized along French administrative lines and run by Frenchmen; this contrasted sharply with the British method of rule in which they relied heavily on local leaders.

French efforts to make the Algerians French were the most direct of all the colonial powers. Algerian Muslims could become citizens of France, but only if they accepted the full French legal code, which contained clauses regarding marriage and inheritance that contradicted Muslim law. They could, however, serve in the French army or the colonial bureaucracy without becoming citizens of France. In either case, the implication was clear that French culture, values, and administration were superior.

While the French did attempt to make the Algerians French, sometimes they furthered the gulf between the colonizers and the colonized. To a certain extent, the French attempted to create a colony for their settlers that existed separate from the already established Algerian communities. Many of the French and European colonists were poor – most came from peasant backgrounds – but they considered themselves better than any Algerians. Because of these feelings of superiority, in the main cities

the French chose to live in physically separate areas from the Algerians. The most striking example of this separateness, however, was the city of Bône. Before the French occupied Bône in 1832, the city had about 4,000 citizens. Quickly, however, the locals left and were replaced almost entirely by French, Italian, and Maltese colonists who established their own Europeanized city.

This kind of imperialist superiority complex was epitomized in Edward Said's foundational work, *Orientalism*, in which Said proposed that Europeans viewed "the Orient," or the non-European East, through stereotypes that diminished and exoticized the peoples of those lands. Such orientalism, Said argued, was part of an overall European attempt to belittle non-European cultures and replace them with European ideals. Said's work particularly criticizes French scholars, travellers, and novelists who depicted Eastern cultures, especially the Algerian people, in a derogatory fashion. These writers depicted "Orientals" as sensuous, violent people who needed the French occupation so that they could learn proper, "civilized" conduct. Other historians have subsequently shown that such derogatory views provided a further motivation for French imperialists to assimilate the Algerians into their own culture. The French believed that their culture was more advanced and more civilized; it made sense to them, therefore, to propose that the Algerians adopt French culture so that they, too, could eventually make themselves more civilized as well.

Native Americans

Ever since Europeans had first come to North America, they had assumed that their culture was superior to that of the continent's original inhabitants. However, during the early modern period, while the European empires claimed most of the continent's territory, they did not settle it. As first Americans and later Canadians began to settle further west, however, they began to

consider how to deal with the Native Americans. In both countries, the solution was cultural assimilation.

American and Canadian policies regarding the Native Americans are examples of the most naked assimilationist imperialism of the nineteenth century. As the populations of both countries moved westward, they steadily dispossessed Native Saylor URL: www.saylor.org/HIST103 Subunit 5.2.3 The Saylor Foundation Saylor.org Page 4 of 8 Americans in a number of terrible ways. In both countries, Native American tribes were coerced into signing treaties to move them off land that settlers wanted. Sometimes, because of the nature of Native American understandings of property, they did not realize that they were signing away their land. Eventually, Native Americans throughout North America were moved to the land that the settlers did not want; these areas of land, most of which still exist, are called reservations. In some cases in the United States, the Native Americans rose up violently against the settlers, and they were invariably massacred.

Americans assumed that part of the reason Native Americans were uncivilized, or at least backwards, was because they had no concept of land ownership. The Dawes Act of 1887 attempted to rectify this backwardness. The act provided a land grant for any Native American who wanted to become a U.S. citizen and would abandon the tribal government. The idea of a land grant for individuals was itself a method of cultural assimilation, as it attempted to persuade Native American tribes to put aside the idea that land was held in common and instead see it as private property.

In Canada, authorities pursued cultural assimilation through the residential school system. Put simply, young Native American children were taken from their homes on the reservations and put into a boarding school where they learned European culture and became “civilized.” All aspects of their own culture were banned; they were not permitted to wear traditional dress, speak their own language, or practice their religion. Instead, they learned English; and, as almost all of the schools were run by Protestant or Catholic missionaries, they converted to Christianity. In some cases,

students were sterilized to make sure that they did not reproduce such a “backwards” race. The program of assimilation was similar in the United States. Many Native Americans were forced to attend boarding schools where they would be “civilized” by learning English and the precepts of Christianity. Traditional religious ceremonies were outlawed throughout the country.

Even a mere description of the residential schools gives credence to recent claims that they exemplify cultural genocide. The schools were rife with abuses that have left massive wounds in today’s population of Native Americans. The schools were overcrowded and had poor sanitation, so disease was widespread. Sexual abuse and molestation was common, as was physical abuse. While some aspects of the residential schools, such as mandatory attendance, had been dissolved by the mid-twentieth century, the last school did not close until 1996.

American and Canadian attempts to assimilate Native Americans represent the starkest example of European (or, in this case, Western) cultural imperialism. It is also notable that while in the other cases considered in this reading cultural assimilation was haphazardly imposed and the subject people usually recovered, in North America the dominant culture was much more uniformly imposed, with drastic consequences.

Assimilation in Eastern Europe

Most historians of nineteenth-century European imperialism overlook the Russian and German empires in Eastern Europe. Nonetheless, the impulses behind Russian and German imperial expansion were much the same as those behind British, French, and American expansion; each country wanted more territory and the ability to expand their economies. Germany established a small overseas empire in the late nineteenth century, but in general it was a latecomer to imperialism. Russian imperialism was concentrated

on its borders; throughout the eighteenth and nineteenth centuries, Russia expanded its borders east, south, and west and conquered numerous peoples of different languages and races. In the nineteenth century, the Russian and German empires embarked upon large-scale programs of cultural assimilation and standardization, both in the territories they had conquered and at home.

The German program of cultural standardization, called the *Kulturkampf* or “culture struggle,” reflects European cultural imperialism as well as an attempt in all the major European empires to standardize their own cultures in the nineteenth century, in line with the emergence of nationalism. The *Kulturkampf* has a very specific beginning and end; it began in earnest in 1870, after the completion of German unification, and fizzled out after some success by the end of the century.

The *Kulturkampf* was begun under Chancellor Otto von Bismarck, who had overseen a series of wars from 1866–70 that “united” Germany with territory from Austria, Denmark, and France. Before this, however, the German state had been cobbled together since the early nineteenth century out of the ashes of the Holy Roman Empire. Bismarck thus tried to give this coalition of independent states a common “German” identity; this project was in keeping with the beliefs of nationalists at the time that every country should have a national culture. In basic terms, the German culture that Bismarck attempted to impose included the German language and the particular religion of Lutheranism.

The *Kulturkampf* is considered something of a hybrid, however, because its program of nationalization also extended to a large Polish minority who lived in territories Prussia had conquered in the late eighteenth century. The German attempt to assimilate the Poles was part of the *Kulturkampf*, but historians also refer to this program as “Prussification” or “Germanization.” The new German laws took aim at Catholicism, which was the religion of most Polish people, and banned the Polish language. It was an effort to enshrine the superiority of the German culture to go along with Germany’s

political dominance over the Polish people. The Poles resisted Prussification fiercely; as part of the wider European nationalism in the nineteenth century, the Poles had developed a strong national culture that they defended against the Germans. In the end, while Bismarck's *Kulturkampf* did standardize German culture in much of the newly united country, it mostly failed in Poland.

A similar program had already been attempted in Russia, where Emperor Nicholas I (r. 1825-55) began an attempt to standardize the culture in his vast territories shortly after the beginning of his reign. Historians call the program "Russification," and it continued in various forms for the rest of the century. Throughout his realm, Nicholas attempted to cement religious orthodoxy, commitment to the monarch's autocracy, and a program of nationality called Official Nationality (which conveniently defined the ideal Russian as calm and obedient to the monarch).

Like other nationalizing projects in Europe and like cultural imperialism in the European overseas empires, Official Nationality attempted to bind citizens and subjects to an identity based on a common language, religion, and culture. It was also based on a feeling among Russian intellectuals that their nationality was superior to that of the peoples they had conquered. The attempt to Russify the subjects of the vast empire was accompanied by an effort to centralize government; the loss of regional autonomy was viewed as one way to assure the eventual victory of Russian culture.

The program was only partly successful and became less so the further one moved from the capital at St. Petersburg. The Polish provinces of Russia, for instance, where the Polish people had established their own national identity, were minimally affected. The people of modern-day Belarus and Ukraine, who lived closer to St. Petersburg, were more affected. Part of what stymied Nicholas' Russification was the fact that, like his other programs, this initiative depended on his orders being carried out by an unwieldy bureaucracy. Nonetheless, the desire to assimilate foreign cultures and replace them with the culture of the dominant nationality shows that the Russification programs of the nineteenth century fit

neatly into the wider pattern of European empires that attempted to do the same overseas.

The Italian Imperial Experiment in Ethiopia

Imperialism was a matter of national pride as well as a means of economic exploitation, and this first reason helps to explain Italian imperialism. Italy was reunified in 1860 and wanted to show that it was the equal of the other European powers. Since Britain and France had obtained large empires and Germany was beginning to do the same, at the end of the nineteenth century Italy began to seek an empire of its own in Ethiopia.

Ethiopia was a special case in many ways, however. Much like ancient Egypt (and, to some extent, ancient Greece) has been de-Africanized in European literature, Ethiopia held a similar place. There are several reasons for this. First, Ethiopia had a long-standing Christian civilization. Second, the country had maintained ties with European countries in the late medieval and early modern periods. Third, Ethiopia's perceived isolation from the rest of Africa – the country is surrounded by the Red Sea, the Indian Ocean, and deserts and mountains – freed it from association with the rest of the African cultures, which Europeans considered inferior. (Ethiopia was not actually isolated; the leaders of its church were always Coptic Christians from Egypt, and for centuries Arab slavers had decimated the population.) Partly for these reasons, Ethiopia had not been a target of European imperialism in the nineteenth century until Italy began to create its overseas empire.

Another major reason why Ethiopia is different is because when the Italians first attempted to take the country by force in the late 1890s, they failed. At the critical Battle of Adwa in 1896, Ethiopian forces routed the Italians, who had attempted to launch a surprise morning attack but did not realize that the Ethiopians had already awoken for church services. This defeat dashed the Italians' imperial

hopes, and Ethiopia became the first African country to resist European imperialism. This was a major embarrassment for the Italians but a source of pride for Ethiopia.

In the twentieth century, Ethiopia accepted a status on the world stage that other African and Asian countries did not have. Ethiopia was the only African country accepted to the League of Nations; ironically, the League played an important part in Ethiopia's downfall. Italy, under Mussolini, attempted to retake Ethiopia in 1935; the Italians were eventually successful in 1936. The conflict is best known as one example of the weakness of the League of Nations; Italy and Ethiopia were both members, but the League took no action to stop the war or save Ethiopia. The Italian imperial experiment in Ethiopia is notable because it does not accord with the general trend in which European powers overwhelmed and then exploited Asian and African subject peoples.

Imperialism and Culture

Thus far, this reading has discussed how cultures at the “center” of empires have imposed, or attempted to impose, their values on the “periphery.” Historians have recently exposed examples of how the relationship also worked the other way. The experience of interacting with non-Europeans changed European culture, and exposure to non-European values changed European values as well. This exposure occurred both in the colonies and at home, as European subjects were often permitted to immigrate to the “metropolis,” or the center of the empire.

As Said's *Orientalism* shows, empire was a pervasive theme in nineteenth and twentieth century European culture. While everyday concerns of the average British or French person may not have been affected by empire, the availability of certain products, such as tea for the wealthy, was a sign of their country's influence. Moreover, an empire was a source of national pride; in an era of

strong nationalism in all European countries, this cannot be discounted. In Britain, for instance, the possession of an overseas empire was one of few things that could reliably unite the English, Scottish, Welsh, and Irish who lived under the British flag.

Stories of imperial adventure interested those back home. Romantic paintings of the death of General Wolfe at the Battle of Quebec in 1759, or of the life of explorer Captain Cook, were popular items in the decades following. So too were stories of explorers like David Livingstone, the British man who travelled much of the interior of Africa.

Popular novels, plays, and songs also drew heavily on the imperial experience. Empire, and particularly “the Orient,” occupied an important place in the popular imagination as a place of exotic people where the norms of European culture did not apply. This allowed the Orient to serve as a setting for many types of adventure stories or as a way to introduce an imaginative plot. One of Sir Arthur Conan Doyle’s most fanciful Sherlock Holmes stories, *The Sign of the Four*, creates suspense by introducing an exotic Indian treasure that British colonists had stolen.

Not only did contemporary literature work in favour of imperialistic agendas, it also became a means through which authors criticized European imperialism. Joseph Conrad’s 1898 *Heart of Darkness*, for instance, is written as an indictment of the worst imperial exploitations. Much later, in 1960, renowned Algerian-born French author Albert Camus died while working on an autobiographical novel that he hoped would depict the negative aspects of French imperialism in Algeria.

At home, therefore, empire was also an important part of life for Europeans. The ways in which Europeans viewed the “East” were rarely politically correct and were too often based on entertaining caricatures rather than reality, and accounts of life in the colonies too often focused on the exploits of rapacious adventurers instead of the fate of the subject people. Though the European empires have disintegrated, their legacy remains in the home culture in various ways, from the prevalence of African and Asian immigrants

in European capitals to the popularity of Indian cuisine in British restaurants.

Summary

- The British maintained control of their colonial possessions in India thanks in part to an effective projection of their cultural superiority through language, sports, and social clubs; British culture was seen as desirable to many Indians.

- French colonial authorities in Algeria imposed their culture directly on the new society rather than co-opting local leaders as the British had done. In particular, the colony's administration was directly based on the French model and run by French settlers. The settlers set up their own communities and tried to keep separate from the local population.

- Both the American and Canadian governments enacted harsh measures to “civilize” Native Americans. First, the governments chased Native Americans off their traditional land and persuaded them to live on reservations. Next, their children were enrolled in boarding schools, and their culture was banned.

- Cultural imperialism also took place within Europe. The German government attempted to “Germanize” or “Prussify” the Slavic people of Eastern Europe, and the Russian government attempted to “Russify” Eastern Europeans.

- Italy's attempts at empire show that Europe did not wholly dominate the rest of the world. Except for a brief period before the Second World War, Ethiopia maintained its independence from Italy and established its cultural equality with the countries of Europe.

- The experience of imperialism also affected metropolitan cultures. The existence of empire was evident in many media as well as in a wider arrangement of exotic products that were more easily and more cheaply available.

96. OpenYale Lecture: Why no Revolution in 1848 in Britain Pts 1 & 3

Overview

Revolutions occur when a critical mass of people come together to make specific demands upon their government. They invariably involve an increase in popular involvement in the political process. One of the central questions concerning 1848, a year in which almost every major European nation faced a revolutionary upsurge, is why England did not have its own revolution despite the existence of social tensions. Two principal reasons account for this fact: first, the success of reformist political measures, and the existence of a non-violent Chartist movement; second, the elaboration of a British self-identity founded upon a notion of respectability. This latter process took place in opposition to Britain's cultural Other, Ireland, and its aftereffects can be seen in Anglo-Irish relations well into the twentieth century.

Video:

<http://oyc.yale.edu/history/hist-202/lecture-11>

PART XII

II: FIRST WORLD WAR

97. World War I

Europe

US History/World War I Europe In 1815, the powers of Europe united to defeat French Emperor Napoleon. For a century since that time, there had been no major war in Europe, but countries organized themselves in a complex system of alliances.

After Napoleon's defeat, the European powers – the United Kingdom, France, Prussia, Russia, and Austria – met in Vienna. The nations decided that if power in Europe was balanced, then no nation would become so powerful as to pose a threat to the others. The most important of these was the German Confederation. In 1871, after defeating France and Prussia, several small German nations merged into the German Empire upsetting the traditional balance of power.

German Chancellor Otto von Bismarck began to construct a complex web of alliances to protect German dominance. Germany and the United Kingdom were on good terms since Germany did not rival British sea power by building up a navy. In 1873, Russia, the w:Austro-Hungarian Empire, and Germany entered the Three Emperors' League. [1] Nine years later, Austria-Hungary, w:Italy, and Germany formed the Triple Alliance. In 1887, the Reinsurance Treaty [2] ensured that Russia would not interfere in a war between France and Germany.

In 1890, Bismarck was fired by Kaiser Wilhelm II, who then began to undo almost all of Bismarck's policies. He decided to build up a German navy, leading to animosity with the United Kingdom. He did not renew German agreements with Russia. This, in 1894, led Russia to form a new alliance with Germany's rival France.

In 1904, France and the United Kingdom decided to bury the hatchet. They ended centuries of bitter enmity and signed the

Entente Cordiale. Three years later, those two nations and Russia entered the Triple Entente. Imperial Russia began to build up its army, as did Germany and Austria-Hungary.

War Breaks Out

War was triggered by the assassination of the heir to the Austro-Hungarian throne.

Austria-Hungary was a patchwork of several nations ruled by the Habsburg family. Several ethnic groups resented rule by the Habsburgs. In June, 1914, the heir to the throne, Archduke Franz Ferdinand, traveled to Sarajevo in Bosnia and Herzegovina. A Serb nationalist named Gavrilo Princip, who had a profound distaste for rule by the Habsburgs, assassinated the Archduke and his wife.



The Axis Powers

The Austro-Hungarian government decided to use the opportunity to crush Serbian nationalism. They threatened the Serbian government with war. But Russia came to the aid of the Serbs, leading Austria-Hungary to call on Germany for aid. The same was agreed to by Emperor Wilhelm II; Germany handed Austria-Hungary a "blank check," that is, it agreed to give Austria-Hungary whatever

it needed to win the war. Many of these countries had secret treaties with one another that other countries did not know about. The outcome is having a lot of countries backing each other up, making for countries to join the war.

In July, 1914, Austria-Hungary declared war on Serbia. Austria-Hungary, Russia, and Germany began to mobilize their troops. Russia would eventually back out of the war due to a revolution that was taking place at the time. The conflict in Austria-Hungary quickly began to spread over Europe. In August, Germany declared war on France. The Germans demanded that Belgium allow German troops to pass through the neutral nation. When King Albert of US History/World War I 2 Belgium refused, Germany violated Belgian neutrality and invaded. Belgium appealed to the United Kingdom for aid; the British House of Commons threatened that the UK would wage war against Germany unless it withdrew from Belgium. The Germans refused, and the UK joined the battle. In 1915 the German navy sunk the Lusitania, a passenger ship that killed around 1200 people including 120 Americans. American citizens put pressure on the government to join the war. By 1917 Germany had warned any ships that approach the UK would be sunk instantly. Woodrow Wilson would then enter the war to resolve it with a peaceful ending[3] . The decision to join the war was a tough decision for president Wilson. He had planned at the beginning of the war to stay neutral, but that didn't work out as well as he had planned. Many ethnic groups in the United States had begun to take sides. Economic links with the Allies also made neutrality very difficult. The British were flooding America with new orders. Many of the orders were for things such as arms. These sales were really helping America get out of its recession. Although this was good for the economic health of the United States, Germany saw this as America becoming the Allied arsenal and bank.[4] The Central Powers, Germany and Austria-Hungary, were pitted against the Allies, the United Kingdom, Russia, and France.

The Early Stages

German troops entered Belgium on August 4. By August 16, they had begun to enter France. The French Army met the Germans near the French border with Belgium. France lost tens of thousands of men in less than a week, causing the French Army to retreat to Paris. The Germans penetrated deep into France, attempting to win a quick victory. On August 5, the United States formally declared their neutrality in the war. They also offered to mediate the growing conflict. In the United States, the opinions were divided. Some felt we should aid England, France, and Belgium because they were depicted as victims of barbarous German aggression and atrocities. Others felt we should avoid taking sides.[5]

The Allies won a key battle at Marne, repelling the German offensive. The Germans lost especially due to a disorganized supply line and a weak communications network. The French Army, however, had not completely defeated the Germans. Both sides continually fought each other, to no avail. On the Western Front, Germany and France would continue to fight for more than three years without any decisive victories for either side.

Meanwhile, on the Eastern Front, Germany faced Russia. In the third week of August, Russian troops entered the eastern part of Germany. Germany was at a severe disadvantage because it had to fight on two different fronts, splitting its troops. However, despite Germany's disadvantage, no decisive action occurred for three years.

The United Kingdom used its powerful Royal Navy in the war against Germany. British ships set up naval blockades. The Germans, however, countered with submarines called U-boats. U-boats sank several ships, but could not, during the early stages of the war, seriously challenge the mighty Royal Navy.

The war spread to Asia when Japan declared war on Germany in August, 1914. The Japanese sought control of German colonies in

the Pacific. Germany already faced a two-front war, and could not afford to defend its Pacific possessions.

In October, 1914, the Ottoman Empire entered, allying itself with the Central Powers. The entry of the Ottoman Empire was disastrous to the Allies. The Ottoman Empire controlled the Dardanelles strait, which provided a route between Russia and the Mediterranean. The Ottoman sultan declared holy war- jihad- against the Allies. Muslims in the British Empire and French Empire were thus encouraged to rebel against their Christian rulers. However, the Allies' concerns were premature. Few Muslims accepted the sultan's proclamation. In fact, some Muslims in the Ottoman Empire supported the Allies so that the Ottoman Empire could be broken up, and the nations they ruled could gain independence.

The Middle Stages

Between 1914 and 1917, the war was characterized by millions of deaths leading nowhere. Neither side could gain a decisive advantage on either front.

In 1915, the Germans began to realize the full potential of Submarines. German Submarines engaged in official unrestricted warfare, engaging and sinking any ship found within the war zone regardless of the flag flown. Germany's justification for this use of force was that there was no certain method to ascertain the ultimate destination of the passengers and cargo carried by the ships in the war zone, and thus they were all taken as attempts at maintaining the anti-German blockade.

The final straw in this unrestricted warfare for the United States of America was the sinking of the Cunard Line passenger ship RMS Lusitania [6], which operated under the flag of Great Britain. The ship was sunk on May 7, 1915. Of the 1,959 passengers aboard the ship, nearly 1,200 of them died. The ship carried over one hundred

Americans, and the incident strained relations between the US and Germany although the Americans on board had disregarded the the warnings published by Germany in the American newspapers.[7]

In May, 1915, Italy broke the Triple Alliance by becoming an Allied Power. In October, Bulgaria joined the Central Powers. Each side had induced their new partners to join by offering territorial concessions. Italy prevented Austria-Hungary from concentrating its efforts on Russia, while Bulgaria prevented Russia from having connections with other Allied Powers.

In May, 1916, one of the most significant naval battles in World War I occurred. The Royal Navy faced a German fleet during the Battle of Jutland. The Battle proved that the Allied naval force was still superior to that possessed by the Central Powers. The Germans grew even more dependent on U-boats in naval battle.

In August, 1916, Romania joined the Allies. Romania invaded Transylvania, a province of the Austro-Hungarian Empire. But when the Central Powers struck back, they took control of important Romanian wheat fields.

The United States Declares War

Until 1917, the United States had stayed neutral. They adopted the policy of isolationism because they felt that the events in Europe had no impact on North America. American opinions began to change after the sinking of the Lusitania, An Irish ship carrying primarily civilians. However, the US was calmed by the Germans, who agreed to limit submarine warfare. In 1917, the Germans reinstated unrestricted submarine warfare in order to cripple the British economy by destroying merchant ships, and break the sea blockade of Britain. President Woodrow Wilson responded to the German threat by asking Congress to declare war. Congress complied on April 6, 1917. On the evening of April 4, 1917 at 8:30 President Wilson appeared before a joint session of congress. Asking

for the declaration of war to make the world “safe for democracy” On April 4, 1917 congress granted Wilson’s request and the United states were at war with Germany. The American ambassador received a telegram in London from the British. It was from the German foreign Secretary, Arthur Zimmerman. Then to the ambassador in Mexico. Zimmerman proposed that the event of the war with the United States. Germany and Mexico would join in alliance. Germany would fund Mexico’s conflict with the US; with victory achieved. Mexico would then be able to gain there lost territories with Arizona.

The US had to mobilize its military before it could aid the Allies by sending troops. The cadre of the U.S. Army had experience in mobilizing and moving troops from its Mexican expedition, but the Army needed to expand to over one million men, most of which were untrained. In the same way, the Navy could send a battleship division to assist the British Grand Fleet, but needed to expand. Logistics (see the chapter on the Civil War for a definition) also US History/World War I 4 compelled the U.S. to set up its supply lines in France south of the British and French lines, which meant the U.S. would take over the southern part of the Western Front battle line. However, the US could and did help the Allies with monetary assistance. Increased taxes and the sale of bonds allowed the US to raise enormous sums of money.

The U.S. commander, General John J. “Black Jack” Pershing, faced immense pressure from the British and French governments to use American forces in small units to reinforce depleted British and French units. This was impossible politically. Pershing insisted to General Foch, the Generalissimo of the Allied armies, that the U.S. Army would fight as a single Army. Pershing did not want to give his men to other Allied commanders, many of whom’s strategies he disagreed with. The Allies were involved in a trench warfare, especially in France. Pershing saw this as a useless technique and believed it only achieved stalemates and needless deaths. The trenches themselves were dug, lined with barbed wire and mines, and were festering places for disease. Outside of the trenches,

between to battle lines, rested a virtual “no man’s land” where soldiers were cast into certain death by machine gun or gas. Pershing’s views turned out to be correct. Trench warfare often ended with little accomplished and many deceased. At the Battle of the Somme in 1916, for example, Allied troops suffered 600,000 dead and wounded to earn only 125 square miles.

Trench Warfare

The United States troops were shipped out to France to do their fighting under the American command. General John J. Pershing, head of the American Expeditionary Forces (AEF), insisted that his “sturdy rookies” remain a separate independent army. He was not about to turn over his “doughboys” to Allied commanders, who had become wedded to unimaginative and deadly trench warfare, producing a military stalemate and ghastly casualties on the western home front. Since the fall of 1914, zigzag trenches fronted by barbed wire and mines stretched across France. Between the muddy, stinking trenches lay “no man’s land,” denuded by artillery fire. When ordered out, soldiers would charge enemy trenches. If machine gun fire did not greet them, poison gas might.

First used by the Germans in April 1915, chlorine gas stimulated overproduction of fluid in the lungs, leading to death by drowning. One British officer tended to troops who had been gassed reported that, “quite 200 men passed through my hands....Some died with me, others on the way down....I had to argue with many of them as to whether they were dead or not.” Gas in variety of forms (mustard and phosgene, in addition chlorine) would continue in use throughout the war, sometimes blistering, sometimes incapacitating, and often killing.

The extent of dying in the trench warfare is hard to comprehend. At the Battle of the Somme in 1916, the British and French suffered 600,000 dead or wounded to earn only 125 square miles; the

Germans lost 400,000 men. At Verdun that same year, 336,000 Germans perished and at Passchendaele in 1917 more than 370,000 British men died to gain about 40 miles of mud and barbed wire. Ambassador Page grew sickened by what Europe had become “A bankrupt slaughter-house inhabited by unmated women.”

Revolution in Russia

The underlying causes of the Russian Revolution are rooted deep in Russia's history. For centuries, autocratic and repressive czarist regimes ruled the country and most of the population lived under severe economic and social conditions. During the 19th century and early 20th century various movements aimed at overthrowing the oppressive government were staged at different times by students, workers, peasants, and members of the nobility. Two of these unsuccessful movements were the 1825 revolt against Nicholas I and the revolution of 1905, both of which were attempts to establish a constitutional monarchy. Russia's badly organized and unsuccessful involvement in World War I (1914-1918) added to popular discontent with the government's corruption and inefficiency. In 1917, these events resulted in the fall of the czarist government and the establishment of the Bolshevik Party, a radical offshoot of the Russian Social Democratic Labor Party, as the ruling power.

Series of events in imperial Russia that culminated in 1917 with the establishment of the Soviet state that became known as the Union of Soviet Socialist Republics (USSR). The two successful revolutions of 1917 are referred to collectively as the Russian Revolution.

The first revolution overthrew the autocratic imperial monarchy. It began with a revolt on February 23 to 27, 1917, according to the Julian, or Old Style, calendar then in use in Russia. On January 31, 1918, the Soviet government adopted the Gregorian, or New Style, calendar, which moved dates by thirteen days; therefore, in the New Style calendar the dates for the first revolution would be March 8 to

12. Events discussed in this article that occurred before January 31, 1918, are given according to the Julian calendar.

The second revolution, which opened with the armed insurrection of October 24 and 25, organized by the Bolshevik Party against the Provisional Government, effected a change in all economic, political, and social relationships in Russian society; it is often designated the Bolshevik, or October, Revolution.

There were two factions of the Communist Party, and there was much bloodshed. . At first the current Russian monarchy was overthrown by the people. The rebellion lasted for only three years. Once the revolution had ended, Russia made its way to the industrial age. This led to better technology and larger cities for Russia. Education was increasing and illiteracy was at a very low rate[8] . Eventually Lenin won, and he was made head of the country, which came to be called the Union of the Soviets or the Soviet Union. Lenin was Head of Party, the biggest figure in Russia, and Leon Trotsky was named Commissar of War. Lenin's representatives signed the Treaty of Brest-Litovsk with the Central Powers in the spring of 1918. Russia ended its participation in the war. It also lost Ukraine, Poland, and the Baltic States to Germany. The Germans were then free to concentrate their troops on the Western Front. Lenin tried later to make other rebellions but was unsuccessful. He said that he fought to “pull the Bearded Man (God) out of the Sky.” Lenin's slogans were “Brotherhood and Freedom” and “Rebellion to Authority.” The later is popularly called NIN and in the United States is a common gang sign.

Permanent Revolution

Leon Trotsky (1879–1940), whose original name was Lev Davidovich Bronstein, was one of the chief figures in the Russian Revolution of 1917. After years spent in exile agitating in favor of Russian communism, he put his ideas into practice as one of the leaders

of the Bolshevik Revolution. After falling out with Stalin, he was expelled from the Russian Communist Party in 1927 and forced into exile once again. There he wrote prolifically about the meaning of the Russian, and French Revolutions. Trotsky is known for his policy of permanent revolution and for being assassinated in Mexico in 1940 by Stalinists as part of the Great Purge. Permanent Revolution is a term within Marxist theory, which was first used by Karl Marx and Friedrich Engels between 1845 and 1850, but has since become most closely associated with Leon Trotsky. The use of the term by different theorists is not identical. Marx used it to describe the strategy of a revolutionary class to continue to pursue its class interests independently and without compromise, despite overtures for political alliances, and despite the political dominance of opposing sections of society.

Trotsky put forward his conception of 'permanent revolution' as an explanation of how socialist revolutions could occur in societies that had not achieved advanced capitalism. Part of his theory is the impossibility of 'socialism in one country' – a view also held by Marx, but not integrated into his conception of permanent revolution. Trotsky's theory also argues, first, that the bourgeoisie in late-developing capitalist countries are incapable of developing the productive forces in such a manner as to achieve the sort of advanced capitalism which will fully develop an industrial proletariat. Second, that the proletariat can and must, therefore, seize social, economic and political power, leading an alliance with the peasantry.

The End of the War

Despite the fact that the Germans could concentrate their efforts in one area, the Central Powers faced grim prospects in 1918. Encouraged by the United States joining the war, several nations joined the Allied Powers. The four Central Powers of Germany, the

Austro-Hungarian Empire, the Ottoman Empire, and Bulgaria faced the combined might of the Allied Powers of the United Kingdom and the British Empire, Australia, New Zealand, Canada, South Africa, France, Belgium, Japan, Serbia, Montenegro, San Marino, Italy, Portugal, Romania, the United States, Cuba, Panama, Guatemala, Nicaragua, Honduras, Haiti, Costa Rica, Brazil, Liberia, Siam (Thailand) and China (some of the above nations did not support the war with troops, but did contribute monetarily.) The Germans launched a final, desperate attack on France, but it failed miserably. Due to Allied counterattacks, the Central Powers slowly began to capitulate.

Bulgaria was the first to collapse. A combined force of Italians, Serbs, Greeks, Britons, and Frenchmen attacked Bulgaria through Albania in September, 1918. By the end of September, Bulgaria surrendered, withdrawing its troops from Serbia and Greece, and even allowing the Allies to use Bulgaria in military operations.

British forces, led by T. E. Lawrence (Lawrence of Arabia), together with nationalist Arabs, were successful in the Ottoman Empire. About a month after Bulgaria's surrender, the Ottoman Empire surrendered, permitting Allies to use the Ottoman territory, including the Dardanelles Strait, in military operations.

The Austro-Hungarian Empire also decided to surrender in October. The royal family, the Habsburgs, and the Austro-Hungarian government desperately sought to keep the Empire of diverse nationalities united. Though Austria-Hungary surrendered, it failed to unite its peoples. The once-powerful Austro-Hungarian Empire was destroyed by the end of October, splitting into Austria, Hungary, Czechoslovakia, and Yugoslavia.

Germany, remaining all alone, also decided to surrender. President Wilson required that Germany accede to the terms of the Fourteen Points, which, among other things, required Germany to return territory acquired by the Treaty of Brest-Litovsk to Russia and the provinces of Alsace and Lorraine to France. Germany found the terms too harsh, while the Allies found them too lenient. But when German Emperor Wilhelm II abdicated the throne, the new

German government quickly agreed to Wilson's demands. On November 11, 1918, World War I had come to an end.

Treaty of Versailles

The Treaty of Versailles was the peace settlement signed after World War One had ended in 1918 and in the shadow of the Russian Revolution and other events in Russia. The treaty was signed at the vast Versailles Palace near Paris – hence its title – between Germany and the Allies. The three most important politicians there were David Lloyd George, Georges Clemenceau and Woodrow Wilson. The Versailles Palace was considered the most appropriate venue simply because of its size – many hundreds of people were involved in the process and the final signing ceremony in the Hall of Mirrors could accommodate hundreds of dignitaries. Many wanted Germany, now led by Friedrich Ebert, smashed – others, like Lloyd George, and were privately more cautious. On June 28th 1919, the chief Allied Powers of the United Kingdom, the United States, France, Italy, and Japan met with the Central Powers in France to discuss a peace settlement. There were men, David Lloyd George of Britain, Woodrow Wilson of America, and Clemenceau of France, who were known as the big three. Each of the Allied Powers had distinct interests during the talks. The UK wanted to keep the Royal Navy supreme by dismantling the German Navy, and also wished to end Germany's colonial empire, which might have proved to be a threat to the vast British Empire. David of Britain wanted to be hard on the Germans because if he looked soft people would not vote for him in the future[9] . Italy wanted the Allies to fulfill the promise of territory given to them at the beginning of the war. Clemenceau wanted Germany to be brought to its knees so it could never start a war again France wanted Germany to compensate them for the damage caused to France during the War. Japan had already accomplished its interests by taking over German Pacific

colonies. President Wilson's main goal for the conference was the creation of the League of Nations; he felt such an organization would be the only way to prevent future wars. Many historians believe that his concentration on the league, forcing him to sacrifice possible kindnesses to Germany, would lead to WWII.

The Treaty of Versailles forced Germany to cede Alsace and Lorraine to France, dismantle its Army and Navy, give up its colonial Empire, pay massive reparations to the Allies, and take full responsibility for causing the war. The conference also led to the creation of the League of Nations. The US Senate, however, did not consent to the Treaty, and the European powers were left to enforce its provisions themselves. This eventually led to violations of the treaty by Germany, which then led to the Second World War. The treaty crippled Weimar Germany and led to great bitterness in Germany. This bitterness eventually led to the rise of fascism and Adolf Hitler.

98. Assassination of Franz Ferdinand

The spark that set light to a continent: how a conspiracy to kill an Archduke set off a chain of events ending in war.

On 28 June 1914, Gavrilo Princip, a Serbian nationalist, assassinated the Austrian heir to the throne, Archduke Franz Ferdinand and his wife Sophie in the Bosnian capital Sarajevo.

To understand the importance of this event, imagine the Prince of Wales and his wife being assassinated while visiting a dominion of the British Empire.

This outrageous act of brutality was aimed at undermining the Austro-Hungarian Empire which had annexed Bosnia into its multi-ethnic Empire in 1908.

The murder of the royal couple ushered in the so-called July Crisis which ended with the outbreak of war in August 1914.

The assassination has been described as the spark that would set light to a continent that was riddled with international tensions.

However, a European war was not inevitable. Right until the last moment, some European statesmen were desperately trying to avoid an escalation of the crisis by advocating mediation, while others did everything in their power to ensure that a war would break out.

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The murder of the Archduke caused widespread international outrage even though assassinations of prominent individuals were rather more common than they are today: for example, the Austrian Emperor, Kaiser Franz Joseph, nearly succumbed to an assassin in Sarajevo in May 1910, while an Italian anarchist had murdered his wife Empress Elizabeth in 1898.

A map of the Austro-Hungary empire. Click to enlargeOther royal assassination victims included the Serbian King Alexandar and his wife in 1903, the Italian King Umberto in 1900, and the Greek King George I in 1913.

However, we do not remember these acts of violence because their consequences were less serious; on the other hand, we remember the date and place of this infamous assassination in Sarajevo because the events that followed it led directly into the First World War.

Why did the Archduke become a victim of a violent conspiracy?

The assassins can be traced back to the Serbian capital Belgrade, where each of the six young men who waited for the hapless Archduke in Sarajevo along the pre-published official route were radicalised by Serbian nationalist and irredentist organizations.

Serbia had been a threat and irritant to Austria-Hungary, particularly since it won the Balkan Wars of 1912 and 1913 and as a consequence had nearly doubled its territory and increased its population from 3 to 4.5 million.

The government's aim was to unite even more Serbian territory and people with Serbia—and those people happened to live in multi-ethnic Austria-Hungary, including Bosnia, which had been annexed by Austria-Hungary in 1908.

Three of the young conspirators had left impoverished lives in Sarajevo for Belgrade. Trifko Grabež, Nedeljko Čabrinović and Gavrilo Princip were all members of the revolutionary organisation Mlada Bosna (Young Bosnia). In the Serbian capital they succumbed to the anti-Habsburg propaganda of several underground organisations such as the 'Black Hand' (its official title was 'Union or Death'), a conspiratorial officers' group which stood for the idea of a greater Serbia.

Franz Ferdinand's Gräf & Stift open-roofed car
Creative commons image Icon

Franz Ferdinand's Gräf & Stift car in the Vienna HeeresmuseumIn the Austrian capital Vienna, the assassination was immediately perceived as a Serbian provocation, even though actual evidence of Serbian involvement in the plot was hard to come by.

It was not known at the time that one of the instigators of this act was indeed a member of the Serbian establishment: the head of the Serbian military intelligence service, Dragutin Dimitrijević (also known as Apis), and members of the 'Black Hand' were behind the assassination just as they had been behind the unsuccessful attempt to kill Kaiser Franz Joseph in 1910.

The would-be assassins were trained in the use of weapons in Belgrade and equipped with four revolvers and six small bombs from the Serbian state arsenal in Kragujevac.

In Bosnia, they were joined by three more conspirators: Danilo Ilić, Veljko Čubrilović, and Civijetko Popović. The youngest of their group was just seventeen.

They lined up along the previously announced route that Franz Ferdinand and his wife would take on that Sunday morning, travelling from the train station to Sarajevo's Town Hall.

However, the first attempt to kill the Archduke failed. Nedeljko Čabrinović threw his bomb on the Appel Quay, but it bounced off the open convertible car.

It exploded underneath the car behind, injuring a few of the passengers and some spectators. The Archduke was unhurt while his wife suffered a small wound on the cheek.

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The couple were hurriedly taken to the Town Hall, and this could have been the end of it all—another failed assassination attempt, like there had been so many others.

A fateful change of plan

But Franz Ferdinand ignored advice to cancel the rest of the tour and insisted the couple visited some of the injured in the hospital before continuing with the official programme.

As a compromise, it was agreed that the convoy should follow a different route and not, as planned, travel down Franz-Joseph-Strasse.

However, tragically, this change of plan appears not to have been communicated to the driver in the first car, who turned into the street as previously arranged.

In the hastily conducted reverse manoeuvre, the Archduke's car came to a halt right in front of Gavrilo Princip who had positioned himself, by chance, at the exact same spot.

A few metres away from his target he managed to shoot the Archduke in the neck and his wife in the abdomen. Sophie died in the car, and Franz Ferdinand shortly after reaching the residence of the Governor.

The conspirators could not know, and certainly had not planned, that a world war would result from this act of violence, but in the weeks that followed, decisions were made in Europe's capitals that ensured that the death of this one man would lead to the deaths of millions.

99. The July Crisis: Ultimatum

A series of diplomatic maneuverings in July 1914 led to an ultimatum from Austria-Hungary to Serbia, and to war.

At 6:00pm on 23 July, the Austro-Hungarian Minister in Belgrade, Wladimir Giesl, delivered a 48-hour ultimatum to the Serbian Foreign Ministry. In addition to declaring that the Serbian Government was guilty of tolerating the existence of a subversive movement in Serbia the ultimatum demanded that Belgrade would have to accept the annexation of Bosnia. It was asked to issue an official apology in the Serbian press.

In addition, some ten separate demands forced the Serbian Government, for example, to suppress all publications which might incite hatred and contempt of the Monarchy; to dissolve the organization *Narodna Odbrana*; to eliminate anti-Habsburg teaching materials; to assist Austrian organs to suppress subversive movements in Serbia; to conduct a judicial enquiry against all participants in the 28 June plot; to arrest two Serbian government officials, 'who have both been compromised by the results of the enquiry'; and to dismiss and punish the border guards who assisted in the smuggling of weapons into Bosnia.

“It must come to war”

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Sir Edward Grey in 1914 Baron Giesl had been instructed: 'However the Serbs react to the ultimatum, you must break off relations and it must come to war.' At 6 o'clock on the evening of the 25th, Giesl and the rest of the Austrian delegation hastily left Belgrade.

However, the Serbian response to the 'unacceptable' ultimatum astonished everyone and has generally been regarded as a brilliant diplomatic move. The Belgrade Government agreed to most of the demands, making Austria's predetermined decision to reject Belgrade's response look suspicious in the eyes of those European powers who wanted to try to preserve the peace.

In Britain, Foreign Secretary Sir Edward Grey suggested (repeatedly) that the issue could be resolved at the conference table, but his mediation proposals were only given half-hearted support by Berlin and not taken up by Vienna. France and Russia, as well as Germany and Austria-Hungary, now tried to convince Grey to declare Britain's position if a European war were to result from the crisis.

Both sides hoped their hand would be strengthened with a clear declaration from London that it would either fight on the side of the Entente or remain neutral. But Britain, preoccupied with the Irish question, refused until the very end of July to commit to its allies.

Britain, France and Russia respond

In the crucial last days of July, Britain's decision-makers were torn between their fear of either Germany or Russia winning a war on the continent. It would have had grave consequences for Britain if Russia had managed to win the war without British support. But if Germany had won, Britain would have faced a Germany-dominated Europe. Grey was stuck between a rock and a hard place.

Nonetheless, the ambivalence of Sir Edward Grey's policy should not really be seen as a cause of the war, not least because his hesitant attitude was motivated by the desire to avoid an escalation of the crisis. Moreover, the British public and the majority of the Cabinet were not ready to go to war over Serbia. Eventually, Belgium's demise provided a reason to become involved in continental affairs. Until that point Grey had feared that a definite

promise of support might have led France or Russia to accept the risk of war more willingly, and had consistently refused to declare Britain's hand one way or the other.

In France, decision-making was hampered by the fact that the senior statesmen were abroad for many of the crucial days of the crisis. France's attitude vis-à-vis its Russian ally has been much scrutinized by historians. Did its leaders offer support to Russia too readily, or did they even put undue pressure on their ally to seize this opportunity? France was also caught uncomfortably between two stools, wanting to assure its ally of support while trying to ensure that Britain would support it. This desire even affected its military plans. Nothing should suggest to the Entente partner that France might be responsible for the onset of hostilities, and mobilisation measures were postponed until reliable news had been received of German moves, while French troops were deliberately withdrawn ten kilometres behind the border to ensure that hostile acts would not even occur accidentally.

For Russia's decision-makers, having initially been reassured by Vienna's pretence of calm, the surprise at the ultimatum was all the greater. The text of the ultimatum suggested to Foreign Minister Sergeij Sazonov immediately that war would be 'unavoidable'. In a meeting of the Council of Ministers on 24 July, the Ministers discussed the fact that demands had been made of Serbia which were 'wholly unacceptable to the Kingdom of Serbia as a sovereign state'.

Nonetheless, the decision was made to advise Serbia not to offer any resistance to any armed invasion. Vienna was to be asked to extend the time limit, and permission for mobilization was sought to cover all eventualities. On 25 July measures for a partial mobilization were decided on which begun on 26 July. Much has been made of this early decision by historians who attribute war guilt to Russia. However, Russia's decision-makers were at pains to stress that this mobilisation did not make war unavoidable. At the same time, the Russian Government was keen to support Britain's mediation proposals and to press the British government to decide if the

country would become involved in a potential war on the side of the Franco-Russian alliance.

German newspaper reporting declaration of war 1914

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German newspaper reporting the mobilisation of forcesThe prospect of Russia's support was a great relief to Prime Minister Nikola Pašić in Belgrade, and it has been argued that Serbia's rejection of parts of the ultimatum may have been made on the basis of this support.

However, it would have been impossible for Pašić to accept all of Austria-Hungary's conditions, not least because of Serbia's recent military successes. Public opinion would arguably not have condoned such an outwardly visible expression of weakness, even if the Prime Minister had been inclined towards acceptance.

Moreover, an investigation of the background of the assassination would have led the Austrians to Dragutin Dimitrijević, the head of the Serbian Military Intelligence, and the 'Black Hand' organisation which had been behind the assassination.

The demand of an Austrian-led enquiry was unacceptable because it would have revealed that the Serbian Government had prior knowledge of the plot and had failed to prevent the murder from taking place.

Declaration of war

Only at the very last minute, when it was clear that Britain, too, would become involved if war broke out, did the German Chancellor try to restrain the Austrians, but his mediation proposals arrived far too late.

Austria had declared war on Serbia on 28 July, and thus set in motion a domino-effect of mobilisation orders and declarations of war by Europe's major powers, and its decision-makers were

unwilling to stop their war against Serbia in order to make negotiations possible.

By 1 August, Germany found itself at war with Russia, as predicted.

By the time Britain had declared war on Germany on 4 August, following Germany's invasion of neutral Luxembourg on 2 August and Belgium on 4 August (necessitated by Germany's deployment plan, the so-called [Schlieffen Plan](#)), the Alliance powers (without Italy, which had decided to stay neutral) faced the Entente powers in the 'great fight' that had been anticipated for such a long time, but whose scale and outcome nobody had quite imagined.

100. Schlieffen Plan

France to the west, Russia to the east; Germany had a strategic plan in case of war in the early 20th century.

Alfred Von Schlieffen Copyright free image Icon

Alfred von Schlieffen, pictured in 1906 Schlieffen's idea was perfected in the winter of 1905 when, as a result of the Russo-Japanese war, Russia was eliminated as a serious threat to the European status quo for the foreseeable future. It would first of all have to recover from a lost war and from revolution. For those in Germany and Austria-Hungary who feared Russia and its ally France as potential future enemies, this was a perfect time to consider 'preventive war'.

Such a war aimed to unleash a war while Russia was still weak. In the not too distant future, Germany's military planners predicted, Russia would become invincible. This was a fear shared by other governments, but in Britain and France it had led to the decision to seek friendlier relations with Russia.

The new Entente between Britain and France was only just being shown to be effective following the First Moroccan Crisis. As a result of the Crisis Germany began to feel the full effects of her own expansionist foreign policy. To Germany, British involvement in a future war now seemed almost certain.

One consequence would be that Italy, allied to Germany and Austria since 1882, would become a less reliable ally. In a war involving Britain, Italy would be unable to defend its long coastlines and might therefore opt to stay neutral in a future war.

The international events of 1905-06 marked the beginning of Germany's perceived 'encirclement' by alliances of possible future enemies against her. Between this time and the outbreak of war in 1914, the General Staff became more concerned about the increasing military strength of Germany's enemies.

Schlieffen saw Germany's best chance of victory in a swift

offensive in the West, against France, while in the East, the German army was initially to be on the defensive. Russia would be dealt with after France had been delivered a decisive blow. In effect, Schlieffen aimed to turn the inescapable reality that Germany would have to fight a two-front war into two one-front wars which it could hope to win. But for the plan to succeed, Germany would have to attack France in such a way as to avoid the heavy fortifications along the Franco-German border.

The logistics of the plan and its significance for the German war effort

A map of the Schlieffen Plan, showing Germany's concentration of resources down the right wing of its army.

Copyright free image Icon

Prior to World War I, The Schlieffen Plan established that, in case of the outbreak of war, Germany would attack France first and then Russia. Instead of a 'head-on' engagement, which would lead to position warfare of inestimable length, the opponent should be enveloped and its armies attacked on the flanks and rear.

Moving through Switzerland's mountainous terrain would have been impractical, whereas in the North, Luxembourg had no army at all, and the weak Belgian army was expected to retreat to its fortifications.

Schlieffen decided to concentrate all German effort on the right wing of the German army, even if the French decided on offensive action along another part of the long common border and even at the risk of allowing the French temporarily to reclaim Alsace-Lorraine.

In his planning, Schlieffen counted on two things: that German victory in the West would be quick (he estimated this to take about 6 weeks), and that Russian mobilisation would be slow, so that a

small German defensive force would suffice to hold back Russia (considered to be a 'clay-footed colossus') until France was beaten.

After a swift victory in the West, the full force of the German army would be directed eastwards. Russia would be beaten in turn. This was the recipe for victory, the certain way out of Germany's encirclement.

[Helmuth von Moltke the Younger, published as a postcard in Europe in the early part of the twentieth century.](#)

Helmuth von Moltke the Younger. Select to enlarge. The plan was first put to paper at the end of 1905 when Schlieffen retired, and was adapted to changing international circumstances by his successor, the younger Helmuth von Moltke.

The underlying principle remained the same until August 1914. By the autumn of 1913, all alternative plans had been abandoned, so that Germany would have to begin a European war, whatever its cause, by marching into the territories of its neutral neighbours in the West.

Shortcomings of the plan: Why didn't the Schlieffen Plan work?

There were a number of shortcomings associated with the plan. It imposed severe restrictions on the possibility of finding a diplomatic solution to the July Crisis, because of its narrow time-frame for the initial deployment of troops.

The escalation of the crisis to full-scale war was in no small measure due to Germany's war plans. But more importantly, it unleashed the war with Germany's invasion of neutral countries to the West.

The violation of Belgian neutrality in particular proved to Germany's enemies that they were fighting an aggressive and ruthless enemy. It provided the perfect propaganda vehicle for

rallying the country behind an unprecedented war effort and sustained the will to fight for four long years of war.

And it provided ample proof, if proof were needed, for the victors to allocate responsibility for the outbreak of the war to Germany and its allies.

101. July Crisis: Chronology

A diplomatic crisis among major European powers in 1914 led to the First World War. What happened when?

The July Crisis of 1914 describes the chain reaction of events that led to the outbreak of war in Europe. The timeline below lays out each event, with links to some individual articles where you can read in more detail.

28 June 1914

[Front page of the New York Times, June 29 1914, reporting the death of Franz Ferdinand](#)

[The assassination of Archduke Franz Ferdinand](#) and his wife in Sarajevo in Bosnia. The image on the right is the front page of the New York Times from the following day. Select to view a larger version.

5-6 July

[Alexander von Hoyos on a Vienna street.](#)

Austro-Hungarian envoy Count Hoyos, pictured right, travels to Berlin to establish level of German support for Austrian action against Serbia. [Kaiser Wilhelm II](#) and Chancellor Theobald von Bethmann Hollweg encourage Austrian action and Germany issues 'blank cheque', promising unconditional support to their ally.

7 July

Austro-Hungarian Ministerial Council convenes and decides on (deliberately unacceptable) ultimatum to Serbia to initiate military action or Serbia's humiliation. (Later decision to delay delivery of the ultimatum to coincide with the departure of the French President Poincaré and Prime Minister Viviani from St. Petersburg (scheduled for 23 July).

20-23 July

[December 18, 1893 political cartoon from newspaper](#)

French state visit to Russia (French President and Prime Minister absent from France from 16th to 29th July). The military alliance between the French Third Republic and the Russian Empire ran from 1892 to 1917. On the right, a political cartoon from newspaper *Soleil* depicts Marianne of France and the Russian Bear embracing. "If I return your love, will I get your coat for winter?"

23 July

Austria issues ultimatum to Serbia, giving Serbia 48 hours to reply.

25 July

Serbia replies to the ultimatum, surprisingly meeting almost all demands. Nonetheless, Austria-Hungary breaks off diplomatic relations with Serbia.

26 July

Britain proposes mediation conference; ignored by Berlin and Vienna. Partial mobilisation of four Russian districts.

28 July

Austria-Hungary declares war on Serbia. Wilhelm II proposes 'Halt in Belgrade'.

29-30 July

Bethmann Hollweg, pictured right, attempts to restrain Austria-Hungary for the first time during the crisis.

30 July

Tsar Nicholas II authorizes Russian general mobilization for the next day.

1 August

Germany declares war on Russia. France and Germany begin general mobilisation.

2 August

German troops invade Luxembourg as part of its deployment plan ('[Schlieffen Plan](#)'). Germany issues ultimatum to Belgium. British cabinet approves protection of French coast and of Belgian neutrality.

3 August

[German infantry on the battlefield, August 7, 1914.](#)

German troops invade Belgium; Germany's declaration of war on France. Italy decision to stay neutral announced.

4 August

Britain declares war on Germany.

6 August

Austria-Hungary declares war on Russia.

Agreements and relationships between nations in 1914: The Alliance system

[A depiction of the Alliance system in 1914 illustrates the perceived 'encirclement' of the Triple Alliance, consisting of Germany, Austria-Hungary and Italy, by the Entente Cordiale of France, Russia and Britain.](#)

The 1914 Alliance system. Click to enlarge. This depiction of the Alliance system in 1914 illustrates the perceived 'encirclement' of the Triple Alliance, consisting of Germany, Austria-Hungary and Italy, by the Entente Cordiale of France, Russia and Britain.

The Entente Cordiale consisted of a formal alliance between

France and Russia, but only an Entente (not a binding alliance) between Britain and France and Russia.

This is important when it comes to the end of July 1914, when France and Russia are desperately waiting for Britain to decide if she will join them in their fight against the Alliance – Britain is not obliged to do so under any alliance treaty.

102. OpenYale Lecture: Why no Revolution in 1848 in Britain Pts 1 & 3

Overview

Revolutions occur when a critical mass of people come together to make specific demands upon their government. They invariably involve an increase in popular involvement in the political process. One of the central questions concerning 1848, a year in which almost every major European nation faced a revolutionary upsurge, is why England did not have its own revolution despite the existence of social tensions. Two principal reasons account for this fact: first, the success of reformist political measures, and the existence of a non-violent Chartist movement; second, the elaboration of a British self-identity founded upon a notion of respectability. This latter process took place in opposition to Britain's cultural Other, Ireland, and its aftereffects can be seen in Anglo-Irish relations well into the twentieth century.

Video:

<http://oyc.yale.edu/history/hist-202/lecture-11>

103. Archdukes, Cynicism, and World War I: Crash Course World History #36



One or more interactive elements has been excluded
from this version of the text. You can view them online

here: [https://library.achievingthedream.org/
tccworldciv2/?p=131#oembed-1](https://library.achievingthedream.org/tccworldciv2/?p=131#oembed-1)

104. How World War I Started: Crash Course World History #209



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here: [https://library.achievingthedream.org/
tccworldciv2/?p=132#oembed-1](https://library.achievingthedream.org/tccworldciv2/?p=132#oembed-1)

105. Who Started World War I: Crash Course World History #210



One or more interactive elements has been excluded from this version of the text. You can view them online

here: <https://library.achievingthedream.org/tccworldciv2/?p=133#oembed-1>

PART XIII

12: WORLD WAR II

106. Second World War:

Introduction

By the late 1930s, anti-democratic governments in Europe and Asia were beginning to threaten the security of surrounding states. Nazi Germany occupied parts of Czechoslovakia and Austria in 1938. Great Britain and France declined to challenge German actions, fearing that a firm stance against Germany might provoke a new European war. The following year, Germany invaded Poland and set in motion a chain of events that led to the outbreak of World War II. In the Pacific, Japanese forces continued to expand their hold on China and the military prepared invasion plans for European colonies in Southeast Asia. Meanwhile, the United States chose to remain isolated from the growing conflict, as it had done during much of World War I.

America entered the war in December of 1941, following a surprise Japanese attack on American military forces in Hawaii. American troops joined British and French forces and began to prepare for an invasion of Nazi occupied Europe. In the Pacific, American and allied forces eventually checked Japanese military expansion and began to go on the offensive. Like the First World War, World War II was a global war and critical battles were fought across Africa, Asia, Europe, and the Pacific.

In this unit, we will examine the global impact of the World War II and look at why the United States and the Soviet Union emerged as economic, political, and military superpowers following the conflict. We will also examine how the war reshaped political, economic, and social life in Europe and Asia and led to devastating new military technologies, such as the atomic bomb. Finally, we will discuss how Nazi anti-Semitic ideologies led to the Holocaust, in which six million Jews and other minorities were systematically murdered from 1939-1945.

107. World War I to World War II

The end of World War I saw the European combatant nations exhausted, an entire generation of young men dead on the battlefield, and political conditions vastly changed from those before the war. The German, Austrian and Russian monarchies had been driven from power and replaced with democratic or revolutionary governments, and many European ethnic groups which had been subject to these three states seized the chance to obtain independence. It was against this background that the victorious powers attempted to bring permanent peace to Europe. The victors of the war were quick to blame Germany for starting the war and resolved to punish her, and this is exactly what took place at the Treaty of Versailles in 1919. The treaty was so harsh on Germany mostly because France and Italy were angry with them.

The Treaty of Versailles of 1919

[Woodrow Wilson](#) and the American peace commissioners during the negotiations on the Treaty of Versailles.

At the Peace of Paris or Treaty of Versailles, the “Big Four” convened to discuss what the result of the end of the war should be. The big four consisted of the United States, represented by President Woodrow Wilson; Britain, represented by Prime Minister Lloyd-George; France, represented by Clemenceau, who wanted most of all to get revenge against Germany; and Orlando of Italy. Germany and Russia were not invited, as Germany was defeated, and Russia had made a separate peace with Germany in 1917, and was feared because of the rise of the revolutionary Bolsheviks there.

At the discussions, many taking part looked to President Wilson for leadership, as the United States was the least damaged and seemingly the most neutral victor, and because the members saw Wilson's 14 Points plan provide an idealistic road map to a new future.

Wilson's Fourteen Points

Wilson's Fourteen Points were democratic, liberal, enlightened, and progressive – a new type of treaty designed to make peace forever secure. The key aspects of his propositions were to disallow secret treaties in the future, allow freedom of the seas, provide for arms reduction, allow the self-determination of nations, and to establish the League of Nations, which Wilson saw as a key instrument to prevent future war.

The Treaty's Treatment of Germany

In contrast to Wilson's idealism, the Treaty of Versailles was harsh, brutal, punitive, and retributive, especially because France still had lingering anger over the Franco-Prussian war. The aspects of the Treaty were designed to attempt to prevent Germany's ability to wage war in the future. It ordered that France would control the Saar valley, rich in coal and iron, for 15 years, and that France would have Alsace-Lorraine returned. The Rhineland between France and Germany would be demilitarized as a buffer zone between the two nations. Germany's colonies were divided between France and Britain, and Germany itself lost all together 13.5% of land and 12.5% of her population. The German navy was confiscated and the German army was limited to 100,000 members, and no submarines, planes, or artillery were permitted. Germany was forced to pay

brutal war reparations in the amount of 132 billion gold marks. Finally, Article 231, or the War Guilt Clause, was a strictly retributive measure, ordering Germany and her allies to bear full responsibility for the war.

Problems of Germany After World War I

Germany's new democratic government, the so-called Weimar Republic, faced serious problems following the Treaty of Versailles. Though Kaiser Wilhelm II had abdicated and the wartime military leadership had lost its authority, Germans widely refused to admit that their army had lost the war. A significant number believed that Germany could have continued to fight and eventually gotten the upper hand, and that surrender was a "stab in the back" of an army capable of winning the war.

While this severely undermined the credibility of the new republic, the notion that the German army could have continued the war and eventually won is rejected by most historians, due to the introduction of fresh U.S. forces and Germany's weakness after four years of battle. In fact, in late 1918 the German High Command, facing a powerful Allied offensive toward German soil and exhaustion of their own troops, turned in desperation to Germany's democratic politicians and asked them to form a government which the Allies would find acceptable for negotiations.

Immediately after the war, the Weimar Republic encountered severe economic problems. Millions of demobilized soldiers arrived home to find little or no work. Hunger was widespread. In addition, France and Britain owed war debts to the United States, and in order to pay them demanded reparation from Germany. Germany was unable to pay, so France seized the industrial towns of the Ruhr valley. The German response was to print money to pay the unemployed workers of the Ruhr, which resulted in massive hyperinflation in Germany.

Politically, there was near-chaos for several years, as fringe political groups on both the left and the right openly and violently battled each other and the central government. The Spartacists, or communists, staged uprisings in Berlin and other cities and briefly seized power in Bavaria. The Freikorps, various bands of demobilized soldiers who did not want to lay down their arms, crushed the Bavarian coup d'état. However, the Freikorps also sought to overthrow the Weimar Republic's government with a coup of their own in 1920, which failed when German workers responded with a general strike.

This was the atmosphere in 1919 when a small right-wing party in Munich took in a new member, an army corporal named Adolf Hitler. A skilled orator and politician, Hitler rapidly rose to head the National Socialist German Worker's Party, known as the Nazis.

German Prosperity Returns

In the late 1920s, prosperity returned to Germany, primarily as a result of U.S. efforts through the Dawes Plan of 1924 and the Young Plan of 1929. These plans provided loans to the Weimar Republic and gave the Republic a realistic plan for reparation payments, helping to restore economic stability.

This prosperity had a diminishing effect on the radical groups of the right and left. The appeal of these groups was reduced as a result of a prosperous Germany.

The Rise of Pacifism and Isolation in the 1920s

During the 1920s, the prevailing attitudes of most citizens and nations was that of pacifism and isolation. After seeing the horrors and atrocities of war during World War I, nations desired to avoid

such a situation again in the future. Thus, Europe took a number of steps to ensure peace during the 1920s.

At the Washington Naval Conference in 1921, the United States, Great Britain, France, Japan, and Italy agreed to build no new battleships for ten years and to reduce the current size of their navies.

During the Locarno Treaties of 1925, Germany unconditionally guaranteed the borders of France and Belgium and pledged to never violate the borders of Czechoslovakia and Poland.

In 1926, Germany joined the League of Nations. The League was one of the major means that Europeans ensured peace during the time.

In 1928, 65 nations signed the Kellogg Briand Pact, rejecting war as a means of policy. In 1934, Russia joined the League of Nations.

Democracies in Europe from 1919 through 1939

While fascism rose in Europe, the liberal democracies in the Britain and France were encountering isolationism and pacifism, as explained above, as well as problems with unemployment and colonial struggles. As a result of the Great Depression of the 1930s, the concept that government is responsible for meeting the social needs of its citizens became increasingly popular.

Britain

Before WW1 The Old-Age Pensions Act 1908 of the United Kingdom, passed in 1908 is often regarded as one of the foundations of modern social welfare in the United Kingdom and forms part of the wider social welfare reforms of the Liberal Government of 1906–1914.

The Act provided for a non-contributory old age pension for persons over the age of 70. It was enacted in January 1909 and paid a weekly pension of 5s a week (7s 6d for married couples) to half a million who were eligible. The level of benefit was deliberately set low to encourage workers to also make their own provision for retirement. In order to be eligible, they had to be earning less than £31. 10s. per year, and had to pass a 'character test'; only those with a 'good character' could receive the pensions. You also had to have been a UK resident for at least 20 years to be eligible and people who hadn't worked their whole life were also not eligible.

Also excluded were those in receipt of poor relief, 'lunatics' in asylums, persons sentenced to prison for ten years after their release, persons convicted of drunkenness (at the discretion of the court), and any person who was guilty of 'habitual failure to work' according to one's ability.

After World War I, Britain faced a number of problems. One of the most serious was unemployment, with approximately 2 million people on the "dole," or Britain's welfare system. This resulted in the rise of the Labour party. The Labour party created a modern welfare state in Britain, creating an old age pension, medical care, public housing, and unemployment relief.

The British industries, now antiquated and falling behind, were selling less as the United States stepped up to the industrial plate.

Members of British colonies, such as Ireland, Egypt, India, and Palestine, were finding the ideals of the Enlightenment appealing and were beginning to resist British rule.

Finally, the Great Depression caused massive problems in Britain.

Prime Minister Ramsay MacDonald, a member of the Labour Party, enacted a policy of "retrenchment," which cut social spending, disallowed employment for women, and installed 100% tariffs on foreign goods. He enacted the ideas of [Keynesian Economics](#), authored by J.M. Keynes, which advocated increased government spending during a depression in order to put money into the economy.

France

The Third Republic of France was the governing body from 1870 until 1940. Although it was widely disliked for its political instability and corruption, it did manage to deliver a golden age, what became known as the *belle époque*, for Paris. The city acquired many distinctive new monuments and public buildings, foremost among them the Eiffel Tower, constructed for the World Exhibition of 1889. It was renowned as a centre for the arts, with the Impressionists taking their inspiration from its new vistas. At the same time, Paris acquired a less savoury reputation as the “sin capital of Europe”, with hundreds of brothels, revues and risqué cabarets such as the famous Moulin Rouge. The city also acquired its metro system, opened in 1900.

In 1877, President MacMahon tried to dissolve parliament out of disgust with the premier and to seize more power. However, the French people elected the same deputies to Parliament. The French people clearly wanted to prevent another dictator from taking power.

In 1886-1889, General Boulanger came close to overthrowing the government. He gained large support among monarchists, aristocrats, and workers, pleading to fight Germany. However, he lost his courage at the moment of the coup, and he fled to Belgium and committed suicide.

In 1894, a French Jewish army officer named Alfred Dreyfus was falsely accused of treason in what became known as the “Dreyfus Affair,” showing that anti-Semitism was still strong in France, especially in the army and the Catholic Church. Émile Zola wrote the famous letter “J’Accuse!” which helped raised support for Dreyfus, who was eventually pardoned and restored to rank. Thus, in 1905 France enacted the separation of church and state.

After World War I, France encountered a number of problems. They had difficulty with the cost and burden of rebuilding the nation, and they lost all of their investments in Russia as a result of

the Russian Revolution. The reparations were not paid by Germany as expected. Additionally, tax evasion was common in France at the time.

By the late 1920s, prosperity had been restored. However, the Great Depression of the 1930s triggered political unrest and social turmoil. In 1934, the socialists and communists fought the fascists in the Chamber of Deputies, one of the houses of parliament, and threw ink at each other. As a result of the unrest, the people elected a “Popular Front,” a coalition of socialists, liberals, and communists, to govern. The leader of the Popular Front was Leon Blum, who during his tenure enacted family subsidies, welfare benefits, two weeks of vacation, a forty hour work week, and collective bargaining. Leon Blum was replaced in 1938 by Eduard Daladier.

Challenges to Democracy in the 1930s

As a result of the Great Depression, fringe groups such as fascists and communists became more appealing to the general populace of Europe.

Causes of the Great Depression

The Great Depression occurred because of a number of reasons. Low wages at the time resulted in less purchasing power. An agricultural depression and falling prices resulted in increased agricultural output but decreased demand. Overproduction in the factories, and overexpansion of credit, as well as the U.S. stock market crash of 1929 also contributed greatly. Actions pursued when the Great Depression was still in its infancy involved the [Fed's](#) untimely raise in interest rates (in hopes to lure foreign investment), and later on, the [Smoot-Hawley Tariff](#) created immediate tariff

backlash across the world and collapsed a great majority of world trade.

Effects on the Colonies

These changes in Europe resulted in more calls for autonomy in the colonies, and the influence of Woodrow Wilson's proposed "self-determination" of nations grew.

In 1931, the Statute of Westminster created the "Commonwealth of Nations" consisting of Canada, New Zealand, Australia, the Irish Free State, and South Africa. These nations were given autonomy but were linked to Britain through trade.

In the 1930s, India began yearning for autonomy. The Muslim League and the Indian National Congress called for a greater role of Indians in their government. Gandhi's "civil disobedience" led to an end to British rule, and in 1935 the Government of India Act provided India with an internal self-government. In 1947 India gained its independence and split with Pakistan.

In 1908, "Young Turks" overthrew Abdul Hamid II of Turkey and ruled the nation until 1918. After World War I, Kemal Atatürk took the leadership of Turkey. In 1923 he moved the capital from Constantinople to Ankara, beginning the Republic of Turkey. Finally, in 1930, he changed the name of Constantinople to Istanbul. Atatürk established western dress, the Latin alphabet, and banned polygamy from Turkey. In 1936, women were given suffrage and were allowed to serve in parliament.

Fascism in Germany and Italy

Italy experienced a turn to fascism after World War I, and Benito Mussolini took control as dictator of the nation. Soon afterward,

Germany under Hitler took the same turn. Fascism was a new form of government, initiated by Mussolini, that promoted extreme nationalism and national unity; an emphasis on masculinity, youth, aggression, and violence; racial superiority; one supreme leader with superhuman abilities; the rejection of individual rights; the use of secret police, censorship, and propaganda; a militaristic and aggressive foreign policy; strict central control of the economy; and the holding of the individual as subordinate to the needs of society as a whole.

The Italian Fascist Regime



Benito Mussolini

The liberal establishment of Italy, fearing a socialist revolution inspired by the ideas of the Russian Revolution, endorsed the small National Fascist Party, led by Benito Mussolini. After several years of struggle, in October 1922 the fascists attempted a coup (the “Marcia

su Roma”, i.e. March on Rome); the fascist forces were largely inferior, but the king ordered the army not to intervene, formed an alliance with Mussolini, and convinced the liberal party to endorse a fascist-led government. Over the next few years, Mussolini (who became known as “Il Duce”, the leader) eliminated all political parties (including the liberals) and curtailed personal liberties under the pretext of preventing revolution.

The Rise of Fascism and Hitler in Germany



Adolf Hitler

At the beginning of the 1930s, Germany was not far from a civil war. Paramilitary troops, which were set up by several parties, intimidated voters and seeded violence and anger among the public, who suffered from high unemployment and poverty. Meanwhile, elitists in influential positions, alarmed by the rise of anti-governmental parties, fought amongst themselves and exploited the emergency authority provided in the Weimar Constitution to rule undemocratically by presidential decree.

After a succession of unsuccessful cabinets, on January 29, 1933, President von Hindenburg, seeing little alternative and pushed by advisors, appointed Adolf Hitler Chancellor of Germany.

On 27 February, the Reichstag was set on fire. Basic rights were abrogated under an emergency decree. An Enabling Act gave Hitler's government full legislative power. A centralised totalitarian state was established, no longer based on the rule of democratic law, a policy that Hitler had outlined in his biography 'Mein Kampf'. The new regime made Germany a one-party state by outlawing all oppositional parties and repressing the different-minded parts of the public with the party's own organisations SA and SS, as well as the newly founded state security police Gestapo.

Industry was closely regulated with quotas and requirements in order to shift the economy towards a war production base. Massive public work projects and extensive deficit spending by the state helped to significantly lower the high unemployment rate. This and large welfare programmes are said to be the main factors that kept support of the public even late in the war.

In 1936, German troops entered the demilitarised Rhineland in an attempt to rebuild national self-esteem. Emboldened, Hitler followed from 1938 onwards a policy of expansionism to establish Greater Germany, that is, one German nation state, starting with the unification with Austria (called "Anschluss") and the annexation of the Sudetes region in Bohemia from Czechoslovakia. The British

Prime Minister realized that his policies of appeasement towards Germany were being taken advantage of. To avoid a two-front war, Hitler concluded the [Molotov-Ribbentrop Pact](#), a treaty of non-aggression, with the Soviet Union.

The Spanish Civil War 1936-1939

In 1923, a coup led by General Miguel Primo de Rivera formed a new government in alliance with King Alfonso XIII Bourbon. In 1930, opposition to Primo de Rivera's right wing government led to his resignation. Out of a desire for democracy and socialism by the populace of Spain, Alfonso was overthrown in 1931 and a republic declared. In 1936, a Popular Front of leftists forces was elected to Parliament and took control of the government. Anticlerical actions of leftists and their direct attacks on Catholic churches and monasteries angered all conservative Spaniards. Left and right-wing political militants clashed on the streets. In July 1936, rebellion broke out among a big part of army units. It was supported by conservative forces of all kinds of social background and the fighting began.

The nation broke into two factions. The Republicans, or "Loyalists," consisted of communists, socialists, anarchists, and liberals, and received some international support as well as big military and financial aid from Stalin. The "Nationalists" consisted of monarchists, angered Catholic believers, landowners, the army, members of the "Falange" party, traditionalists and received a great deal of direct aid from Italy and Germany.

In 1936, Great Britain, France, and the United States signed a non-intervention pact regarding the civil war. In 1937, the town of Guernica, a civilian town, was attacked and bombed by the German airforce. In 1939, nationalists took Barcelona and Madrid, and General Francisco Franco announced the end of the Civil War. From 1939 until 1975 Franco would rule as dictator in Spain.

Again to War, the Outbreak of World War II

The Treaty of Versailles produced so-called “revisionist” powers. Germany, who was the loser of the war, had harsh reparations imposed against them. Italy got nothing out of the Peace of Paris. Hungary lost two thirds of her territory and each third ethnic Hungarian was placed under foreign rule. Japan didn’t receive the racial equality clause they desired, even after defeating the Russians in the Russo-Japanese War. The Soviet Union was snubbed at the Peace of Paris as well, as it was not invited to attend.

Aggressive Actions by the Axis Powers and Western Response

In 1933, Germany left the League of Nations. In 1934, Germany attempted to annex Austria. In 1935, Italy invaded Ethiopia while Germany reoccupied the Saar valley and began conscription and open rearmament. In 1936, Germany remilitarized the Rhineland. In 1938, Germany annexed Austria and the Sudetenland.

The prevalence of pacificism in the 1920s in Europe meant that European nations were reluctant to interfere in the actions of the revisionist powers. In addition, the nations of the Treaty of Versailles began to feel guilt for their treatment of Germany, and believed that they had wronged Germany. Moreover, the areas that Germany initially invaded were all of German heritage, and the leaders of the nations wondered if perhaps Germany should be allowed to take those territories. The leaders met at the Munich Conference in 1938, and Hitler promised to take no more aggressive actions.

In 1939, however, Germany seized the rest of Czechoslovakia, showing that war was inevitable and that appeasement had failed. Poland and Hungary also participated, taking sections of Czech and

Slovak territory adjacent to their borders. During the same year, Italy and Germany signed the “Pact of Steel” alliance.

British Prime Minister Neville Chamberlain responded to the occupation of Czechoslovakia by giving a guarantee to Poland that Britain would go to war against Germany if Germany attacked Poland. The Polish government had not requested this alliance. Many historians have seen the guarantee as Chamberlain opening his eyes to Hitler’s aggressive plans, but some others hold that it foolishly made war much more likely, by encouraging Poland to defy Germany in any negotiations over the Polish Corridor and the city of Danzig.

Possibly in response to Chamberlain’s action, Germany and the Soviet Union shocked the Western powers by signing a non-aggression pact. This pact showed that war was imminent because two systems mutually pledged for the other’s destruction came to agreement.

On September 1, 1939, Germany invaded Poland with its new war machine using what was called lightning warfare or Blitzkrieg. As a result, on September 3, 1939, Great Britain and France declared war on Germany. On September 17, 1939, the U.S.S.R. invaded Poland. In 1940, Germany, Italy, and Japan signed the Tripartite Treaty, forming the Axis powers.

The Second World War

After the invasion of Poland on September 1, 1939, between the fall of 1939 and the spring of 1940 the Allies did not directly attack Germany in the west, but rather they engaged in harassing operations which had become known as the “phony war.” This allowed Germany to finish the mobilization of its forces. In April 1940, Germany invaded Denmark and Norway. The next month Belgium, the Netherlands, and France were attacked. Within six weeks, France had surrendered.

Winston Churchill became Prime Minister of Britain in May 1940. Churchill was dedicated to the destruction of Hitler, whatever the cost and using any means necessary. Churchill opened a new era in warfare by launching an unprecedented bombing campaign against civilian targets in Germany. The Germans retaliated, and the heroic British defense became what is known as the Battle of Britain. London and many other cities in England were hard-hit with large civilian casualties.

In 1941, Germany invaded Russia in an attempt to destroy communism, enslave the Russians, and get oil that was desperately needed to power the German war machine. However, the invasion failed, and winter hit Russia, causing massive death and destruction among Germany's army.

In 1942, Germany attempted to siege the Russian city of Stalingrad, but the attack ultimately ended in Soviet victory and the defeat of the Germans. Also during 1942, the British and the United States defeated German forces in North Africa.

By 1943, the Allies had landed in Italy and were beating back Mussolini's forces. During 1943, the Battle of Kursk, the largest armored engagement of all time, also took place on the Eastern Front. Again, the Soviets were highly victorious against German forces. On September 8, 1943, Italy surrendered to the allies.

By 1943, an immense bombing campaign by the U.S. and Britain was under way to break Germany's will to fight by destroying her cities and making her population homeless. Almost every major city was devastated with huge loss of life, but postwar studies showed that the bombing had little effect on industrial production, and may have strengthened Germans' will to fight.

On June 6, 1944, Allied forces landed on the beaches of Normandy on what has become known as D-Day. The offensive was successful for the Allies, and the Allies suffered far fewer casualties than expected. This marked the beginning of the end of the war. In December 1944, the Battle of the Bulge, the German's last major offensive in Western Europe, took place in Belgium. The result of this battle was a victory for the Allies and the crushing of much

of the remainder of Germany's forces. On May 8, 1945, Victory in Europe Day occurred as the Russians took Berlin.

Conclusion of the War

As the war neared the end, two major conferences took place to discuss how to most effectively terminate the war.

The Yalta Conference

The Yalta Conference began on February 11, 1945. In attendance were U.S. President Franklin D. Roosevelt, British Prime Minister Winston Churchill, and the Soviet leader Joseph Stalin. Yalta resulted in a number of essential provisions.

The first was the establishment of the United Nations, an international organization that describes itself as a “global association of governments facilitating cooperation in international law, international security, economic development, and social equity.” The United Nations replaced the League of Nations, and was given the capacity to enforce itself militarily.

Yalta called for a four part dismemberment of Germany, with a portion going to each the United Kingdom, France, the United States, and Russia. This was based upon the fact that while Germany was not unified it did not present nearly the threat that it did as a unified nation.

War criminals were tried at Nuremberg, marking the first time that members of an army were held to international standards.

Poland was reconstituted, albeit with large territorial changes and placement in the Soviet sphere of influence. Reparations were enforced against Germany, and it was agreed that Russia would enter the war against Japan after the defeat with Germany.

Finally, the parties agreed to the Declaration of Liberated Europe.

This provided that liberated countries would be given the right to hold free elections and choose their own government. This was an attempt to keep Stalin from annexing eastern Europe, but this attempt obviously failed.

The Potsdam Conference

The Potsdam Conference took place from July to August 1945. In attendance were President Harry S. Truman, replacing President Roosevelt as a result of Roosevelt's death, British Prime Minister Attlee of the Labour party, who represented Britain after Churchill's Conservative Party's defeat in Britain, and Joseph Stalin. The Conference provided for German disarmament, demilitarization, and denazification. Poland was shifted to the west to reward the Soviet Union and to punish Germany, and as a result there was a massive post-war migration.

Finally, Japan was threatened with destruction by a “powerful new weapon” which turned out to be the atomic bomb.

108. Fascism in Germany and Italy

109. Causes of World War II

Causes of World War II

There are many different cause for World War II. To Japanese militarism, to Political takeover from Hitler here are some of the reasons for World war II. The Treaty of Versailles was a complete and almost a total failure due to the distaste of many of the allied powers. Here we have Japanese militarism. Japanese militarism spread rapidly throughout Japan, being it is that Japan has an emperor but at this time the military had more of a say than the crowned emperor. Next the politacal takeover of Hitler, because we all know that the takeover of Hitler in Germany contributed greatly to the war.

The Failure of Peace Efforts

During the 1920s, attempts were made to achieve a stable peace. The first was the establishment (1920) of the League of Nations as a forum in which nations could settle their disputes. The League's powers were limited to persuasion and various levels of moral and economic sanctions that the members were free to carry out as they saw fit. At the Washington Conference of 1921-2, the principal naval powers agreed to limit their navies according to a fixed ratio. The Locarno Conference (1925) produced a treaty guarantee of the German-French boundary and an arbitration agreement between Germany and Poland. In the Kellogg-Briande Pact (1928), 63 countries including all the Great Powers except the USSR, renounced war as an instrument of national policy and pledged to

resolve all disputes among them “by pacific means.” The signatories had agreed beforehand to exempt wars of “self-defense.”

The Rise of Fascism

One of the victors’ stated aims in World War I had been “to make the world safe for democracy,” and postwar Germany adopted a democratic constitution, as did most of the other states restored or created after the war. In the 1920s, however, the wave of the future appeared to be a form of nationalistic, militaristic totalitarianism known by its Italian name, fascism. It promised to minister to peoples’ wants more effectively than democracy and presented itself as the one sure defense against communism. Benito Mussolini established the first Fascist, European dictatorship during the inter war period in Italy in 1922.

Formation of the Axis Coalition

Adolf Hitler, the Leader of the German National Socialist (Nazi) party, preached a racist brand of fascism. Hitler promised to overturn the Versailles Treaty and secure additional *Lebensraum* (“living space”) for the German people, who he contended deserve more as members of a superior race. In the early 1930s, the Great Depression hit Germany. The moderate parties could not agree on what to do about it, and large numbers of voters turned to the Nazis and Communists. In 1933 Hitler became the German Chancellor, and in a series of subsequent moves established himself as dictator. Japan did not formally adopt fascism, but the armed forces’ powerful position in government enabled them to impose a similar type of totalitarianism. As dismantlers of the world status quo, the Japanese were well ahead of Hitler. They

used a minor clash with Chinese troops near Mukden, also known as the Mukden or Manchurian crisis, in 1931 as a pretext for taking over all of Manchuria, where they proclaimed the puppet state of Manchukuo in 1932. In 1937-8 they occupied the main Chinese ports. Having denounced the disarmament clauses of the Versailles Treaty, created a new air force, and reintroduced conscription, Hitler tried out his new weapons on the side of right-wing military rebels in the Spanish civil war (1936-9). This venture brought him into collaboration with Mussolini who was also supporting the Spanish revolt after having seized (1935-6) Ethiopia in a small war. Treaties between Germany, Italy, and Japan in 1936-7 brought into being the Rome-Berlin-Tokyo Axis. For example, Japan and Germany signed the Anti-Comintern pact in 1936 and then Italy joined in 1937. This pact denounced communism and it showed their unity in the matter. The Axis thereafter became the collective term for those countries and their allies.

German Aggression in Europe

Hitler launched his own expansionist drive with the annexation of Austria in March 1938. The way was clear: Mussolini supported him; and the British and French, overawed by German rearmament, accepted Hitler's claim that the status of Austria was an internal German affair. The U.S. had impaired its ability to act against aggression by passing a neutrality law that prohibited material assistance to all parties in foreign conflicts. In September 1938 Hitler threatened war to annex the western border area of Czechoslovakia, the Sudetenland and its 3.5. million ethnic Germans. The British Prime Minister Neville Chamberlain initiated talks that culminated at the end of the month in the Munich Pact, by which the Czechs, on British and French urging, relinquished the Sudetenland in return for Hitler's promise not to take any more Czech territory. Chamberlain believed he had achieved "peace for

our time,” but the word Munich soon implied abject and futile appeasement. Less than six months later, in March 1939, Hitler seized the remainder of Czechoslovakia. Alarmed by this new aggression and by Hitler’s threats against Poland, the British government pledged to aid that country if Germany threatened its independence. A popular joke ran at the time: “A guarantee a day keeps Hitler away”. France already had a mutual defense treaty with Poland. The turn away from appeasement brought the Soviet Union to the fore. Joseph Stalin, the Soviet dictator, had offered military help to Czechoslovakia during the 1938 crisis, but had been ignored by all the parties to the Munich Agreement. Now that war threatened, he was courted by both sides, but Hitler made the more attractive offer. Allied with Britain and France, the Soviet Union might well have had to fight, but all Germany asked for was its neutrality. In Moscow, on the night of August 23, 1939, the Nazi-Soviet Pact was signed. In the part published the next day, Germany and the Soviet Union agreed not to go to war against each other. A secret protocol gave Stalin a free hand in Finland, Estonia, Latvia, eastern Poland, and eastern Romania.

The Worldwide Great Depression

The costs of carrying out World War I, as well as the costs to rebuild Western Europe after years of fighting, resulted in enormous debts on the part of the Western European powers to the United States. The enormous reparations put on Germany in the Treaty of Versailles also increased the debts. Coupled with ineffective governments in many of these European States (notably the Weimar Republic, pre-Mussolini Italy and Socialist France) led to slow reconstruction and poor economic growth.

With the crash of the New York Stock Market on 29 October, 1929, the United States recalled all foreign loans in the following days.

Unable to repay these loans, the economies of the West collapsed, beginning the Great Depression.

War in Europe

The War in the Pacific

- Note that this is only a rough outline. Change it as needed.

Mukden Incident and the Invasion of Manchuria (1931)

After winning the Russo-Japanese War in 1905, Japan quickly became the dominant power in its region. Russia recognized Korea as a Japanese sphere of influence and removed all of its forces from there and Manchuria, the sparsely populated northeastern region of China. In 1910, Japan annexed Korea as its own with little protest or resistance. Still, Japan was a quickly growing country, both population-wise and economically. It founded the South Manchuria Railway company in Manchuria in 1906, and with that company was able to gain government-like control of the area.

By 1931, the Depression had struck a blow to Japan. The government did little to help Japan's economy, and in the eyes of its citizens, was weak and powerless. Instead, the public favored the Japanese army, and soon the civilian government had lost control of its military. To the army, Manchuria seemed like an obvious solution to many of Japan's problems. Manchuria was vast and thinly populated, and would serve as excellent elbow room for an already overcrowded Japan. It was also thought that Manchuria was rich in forests, natural resources, and fertile land. The fact that the

Japanese believed themselves to be far superior to the Chinese only moved Japan towards conflict faster. Additionally, the warlord of Manchuria went against Japanese expectations and declared his allegiance to a growing Chinese military movement. So, in 1931, the army staged an explosion at a section of railway near Mukden, a city in Manchuria, as a pretext to invade and annex China. Japan met little resistance, although it did not have support of its own government, and Manchuria was completely occupied by the end of the year. Japan subsequently set up the puppet state of Manchukuo to oversee the newly acquired region. The League of Nations vehemently protested Japan's aggression, but Japan then withdrew from it.

Japan invades China (1937)

The 1920s saw a weak and politically chaotic China. Warlords of the many provinces of China constantly feuded, and the central government was weak and decentralized, unable to do anything to stop conflict. In 1927 Chiang Kai-Shek gained control of the Kuomintang (the Chinese government) and its National Revolution Army. Chiang led an expedition to defeat southern and central Chinese warlords and gain the allegiance of northern warlords. He was successful, and he soon focused on what he perceived to be a greater threat than Japan, which was communism. But in 1937, the deposed warlord general of Manchuria kidnapped Chiang and refused to release him until he at least temporarily united with the communists against the Japanese threat. The Japanese army responded by staging the Battle of Lugou Bridge, which was supposed to provoke open war between China and Japan. It worked and the Sino-Japanese War began. The beginning of the conflict was marked by the Chinese strategy of giving up land in order to stall the Japanese. It is important to note that the Japanese was not to completely take over China; rather, the Japanese wanted

to set up puppet governments in key regions that would protect and advance Japanese interests. The fall of Nanjing in the early stages of this conflict saw the beginning of Japanese war atrocities. 100,000-300,000 were killed in the six weeks after Nanjing was captured. Other war crimes committed included widespread rape, arson, and looting.

Anti-Comintern Pact and Tripartite Pact

These were pacts between Germany, Italy, and Japan. The Anti-Comintern pact had been a pact that denounced communism and it was initially signed by Japan and Germany. However, later, as German and Italian relations improved, Italy also signed and this was made stronger later by the Rome-Berlin-Tokyo Axis in 1938. The Tripartite Pact also strengthened the alliance and it was basically a confirmation of the Rome-Berlin-Toyko Axis.

Pearl Harbor and Simultaneous Invasions (early December 1941)

On December 7, 1941, Japanese warplanes commanded by Vice Admiral Chuichi Nagumo carried out a surprise air raid on Pearl Harbor, Hawaii, the largest U.S. naval base in the Pacific. The Japanese forces met little resistance and devastated the harbor. This attack resulted in 8 battleships either sunk or damaged, 3 light cruisers and 3 destroyers sunk as well as damage to some auxiliaries and 343 aircraft either damaged or destroyed. 2408 Americans were killed including 68 civilians; 1178 were wounded. Japan lost only 29 aircraft and their crews and five midget submarines. However, the attack failed to strike targets that could have been crippling losses to the US Pacific Fleet such as the aircraft carriers which were out at sea at the time of the attack or the base's ship fuel storage and repair

facilities. The survival of these assets have led many to consider this attack a catastrophic long term strategic blunder for Japan.

The following day, the United States declared war on Japan. Simultaneously to the attack on Pearl Harbor, Japan also attacked U.S. air bases in the Philippines. Immediately following these attacks, Japan invaded the Philippines and also the British Colonies of Hong Kong, Malaya, Borneo and Burma with the intention of seizing the oilfields of the Dutch East Indies.

Following the Japanese attack on Pearl Harbor, Germany declared war on the United States on 11 December 1941, even though it was not obliged to do so under the Tripartite Pact of 1940. Hitler made the declaration in the hopes that Japan would support him by attacking the Soviet Union. Japan did not oblige him, and this diplomatic move proved a catastrophic blunder which gave President Franklin D. Roosevelt the pretext needed for the United States joining the fight in Europe with full commitment and with no meaningful opposition from Congress. Some historians mark this moment as another major turning point of the war with Hitler provoking a grand alliance of powerful nations, most prominently the UK, the USA and the USSR, who could wage powerful offensives on both East and West simultaneously.

Allied Defeats in the Pacific and Asia (late December 1941-1942)

Simultaneous with the dawn raid on Pearl Harbor, the Japanese carried out an invasion of Malaya, landing troops at Kota Bharu on the east coast, supported by land based aircraft from bases in Vietnam and Taiwan. The British attempted to oppose the landings by dispatching Force Z, comprising the battleship HMS Prince of Wales and the battlecruiser HMS Repulse, with their escorting destroyers, from the naval base in Singapore, but this force was

intercepted and destroyed by bombers before even reaching their objective.

In a series of swift maneuvers down the Malay peninsula, thought by the British to be “impassable” to an invading force landing so far north, the Japanese advanced down to the Johor Straits at the southernmost tip of the peninsula by January 1942. The Japanese were even using tanks, which the British had thought would not be able to penetrate the jungles but they were wrong.

During a short two week campaign the Japanese crossed the Straits of Johor by amphibious assault and conducted a series of sharp battles, notably the battle of Kent Ridge when the Royal Malay Regiment put up a brave but futile effort to stem the tide. Singapore fell on 15 February 1942 and with its fall, Japan was now able to control the sea approaches from the Indian Ocean through the Malacca Straits. The natural resources of the Malay peninsula, in particular rubber plantations and tin mines, were now in the hands of the Japanese.

Other Allied possessions, especially in the oil rich East Indies (Indonesia) were also swiftly captured, and all organised resistance effectively ceased, with attention now shifting to events closer to Midway, the Solomon Islands, the Bismark Sea and New Guinea.

Resistance in the Philippines and the Bataan Death March

The Tide Turns: The Coral Sea

Allies Regroup and the Battle of Midway (1942)

Following the attack on Pearl Harbour, the US military sought to strike back at Japan, and a plan was formulated to bomb Tokyo. As Tokyo could not be reached by land based bombers, it was decided

to use an aircraft carrier to launch the attack close to Japanese waters. The Doolittle Raid was carried out by Doolittle and his squadron of B-25 medium bombers, launched from the USS Hornet. The raid achieved little strategically, but was a tremendous morale booster in the dark days of 1942. It also led to the decision by the Japanese military to attack the only logical base of the attackers, the tiny atoll of Midway.

A powerful force of warships, with four large fleet carriers at its core (Akagi, Kaga, Hiryu and Soryu) attacked Midway. The US navy, with the aid of intercepted and decoded Japanese signals, were ready and launched a counter attack with the carriers USS Enterprise and USS Yorktown, destroying all four of the Japanese fleet carriers. This was a devastating blow to the Japanese and is considered the turning point of the Pacific War. The Japanese had largely roamed the Pacific Ocean, the South China Sea, the Malacca Straits and the Indian Ocean with impunity, launching raids from these same four carriers on Allied bases in these areas including Darwin, Colombo and along the Indian east coast. With the loss of these carriers and more importantly their cadre of irreplaceable hard core highly trained naval aviators, the Japanese could no longer maintain an effective offensive and became largely defensive from then on.

Guadalcanal Weakens Japan (August 1942-February 1943)

Buna, Gona, and Rabaul (1943)

Island Hopping (1943- Late 1944)

Island hopping was a campaign of capturing key islands in the Pacific that were used as prerequisites, or stepping stones, to the next island with the eventual destination being Japan, rather than trying to capture every island under Japanese control. Allied forces often assaulted weaker islands first, while starving out the Japanese strongholds before attacking them.

Iwo Jima and Okinawa (Early 1945)

The Atomic Bomb (August 1945)

On August 6, 1945, a lone B-29 bomber, named the Enola Gay, appeared over the skies of Hiroshima. Air raid sirens went off around the city and people ran for their shelters. However, minutes later, the all-clear symbol was given. Although it had been a seemingly harmless run, the B-29 had, in fact, dropped a single bomb (this bomb was called “Little Boy”). This bomb detonated about 1,900 feet over Hiroshima and leveled much of the city within a few thousandths of a second. Tens of thousands were killed immediately and many more would eventually die from the radiation poisoning.

However, Japan did not surrender to the United States, so three days later, on August 9, 1945, a B-29 named Boxcar dropped an atom bomb on the city of Nagasaki (this bomb was called “Fat Man”). Although the bomb was actually more powerful than the Hiroshima bomb, the foggy weather conditions and the hilly terrain of Nagasaki somewhat shielded a portion of the city from the worst effects.

This led to an immediate ceasefire with Japan, and surrender a month later.

110. Outbreak of World War II

III. The Holocaust

In interwar Europe ethnic Germans had been in an overwhelming majority in the populations of both Germany and Austria. In addition, the two largest minorities spread across the states of interwar Europe, and particularly the states of the centre and east, had been Germans and Jews. The war and the Holocaust produced 'solutions' to the questions of both minorities. The Jews of central and eastern Europe who survived were often unwilling to return to their former homes; indeed, many of those who did return home found their property destroyed or occupied by others who would not give it up. Thousands of them moved westwards; and thousands more moved westwards from Poland, from Hungary, and from elsewhere following a wave of anti-Semitic pogroms in 1946 which left many dead. But the states of western Europe were reluctant to absorb these Jewish refugees, and those who sought to travel to Palestine were prevented by the British, who held the territory under a League of Nations mandate. The creation of Israel in 1948 finally opened the door to them, but led, in turn, to the displacement of Palestinian Arabs. The Holocaust and its aftermath did not eliminate Jews from Europe, but it resulted in the continent being far less a central focus of the life of the Jewish people.

German minorities in eastern Europe also fled westwards in the aftermath of the war; 5 million went in 1944–45. Over the next three years the governments of Czechoslovakia, Hungary, Poland, Romania and Yugoslavia expelled another 7 million. Rather than being Hitler's dream of empty land for German settlers, central and eastern Europe, which had witnessed most of the Holocaust, now became empty of Germans as well as Jews.

II2. Khan Academy Lecture: Beginning of World War II, Pts 1-9



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An overview of the run up to and very beginnings of World War II.
Transcript:

- 0:00 World War II was the largest conflict in all of human history.
- 0:05 The largest and bloodiest conflict
- 0:06 And so you can imagine it is quite complex
- 0:09 My goal in this video is to start giving us a survey, an overview of the war.
- 0:15 And I won't even be able to cover it all in this video.
- 0:18 It is really just a think about how did things get started.
- 0:21 Or what happened in the lead up?
- 0:23 And to start I am actually going to focus on Asia and the Pacific.
- 0:27 Which probably doesn't get enough attention when we look at it from a western point of view
- 0:33 But if we go back even to the early 1900s.
- 0:36 Japan is becoming more and more militaristic.
- 0:39 More and more nationalistic.

- 0:40 In the early 1900s it had already occupied...
- 0:43 It had already occupied Korea as of 1910.
- 0:47 and in 1931 it invades Manchuria.
- 0:51 It invades Manchuria.
- 0:53 So this right over here, this is in 1931.
- 0:58 And it installs a puppet state, the puppet state of Manchukuo.
- 1:03 And when we call something a puppet state,
- 1:06 it means that there is a government there.
- 1:07 And they kind of pretend to be in charge.
- 1:11 But they're really controlled like a puppet by someone else.
- 1:15 And in this case it is the Empire of Japan.
- 1:18 And we do remember what is happening in China in the 1930s.
- 1:22 China is embroiled in a civil war.
- 1:25 So there is a civil war going on in China.
- 1:30 And that civil war is between
- 1:32 the Nationalists, the Kuomintang and the Communists
- 1:37 versus the Communists
- 1:41 The Communists led by Mao Zedong.
- 1:43 The Kuomintang led by general Chiang Kai-shek.
- 1:47 And so they're in the midst of the civil war.
- 1:49 So you can imagine Imperial Japan is taking advantage of this
- 1:52 to take more and more control over parts of China
- 1:57 And that continues through the 30s
- 1:59 until we get to 1937.
- 2:02 And in 1937 the Japanese use some pretext
- 2:06 with, you know, kind of a false flag, kind of...
- 2:09 well, I won't go into the depths of what started it
- 2:11 kind of this Marco-Polo Bridge Incident
- 2:14 But it uses that as justifications
- 2:16 to kind of have an all-out war with China
- 2:19 so 1937...you have all-out war
- 2:25 and this is often referred to as the Second Sino-Japanese

War

- 2:30 ...Sino-Japanese War
- 2:34 Many historians actually would even consider this the beginning of World War II.
- 2:38 While, some of them say, ok this is the beginning of the Asian Theater of World War II
- 2:42 of the all-out war between Japan and China,
- 2:45 but it isn't until Germany invades Poland in 1939 that you truly have
- 2:49 the formal beginning, so to speak, of World War II.
- 2:53 Regardless of whether you consider this the formal beginning or not,
- 2:56 the Second Sino-Japanese War, and it's called the second because
- 2:58 there was another Sino-Japanese War in the late 1800s
- 3:01 that was called the First Sino-Japanese War,
- 3:03 this is incredibly, incredibly brutal and incredibly bloody
- 3:08 a lot of civilians affected
- 3:10 we could do a whole series of videos just on that
- 3:14 But at this point it does become all-out war
- 3:16 and this causes the civil war to take a back seat
- 3:19 to fighting off the aggressor of Japan in 1937.
- 3:24 So that lays a foundation for what's happening in The Pacific, in the run-up to World War II.
- 3:29 And now let's also remind ourselves what's happening...
- 3:32 what's happening in Europe.
- 3:34 As we go through the 1930s
- 3:37 Hitler's Germany, the Nazi Party, is getting more and more militaristic.
- 3:40 So this is Nazi Germany...
- 3:44 Nazi Germany right over here.
- 3:47 They're allied with Benito Mussolini's Italy.
- 3:50 They're both extremely nationalistic; they both do not like the Communists, at all
- 3:56 You might remember, that in 1938...

- 4:00 1938, you have the Anschluss, which I'm sure I'm mispronouncing.
- 4:05 and you also have the takeover of the Sudetenland in Czechoslovakia.
- 4:10 So the Anschluss was the unification with Austria
- 4:14 and then you have the Germans taking over the of Sudetenland in Czechoslovakia
- 4:18 and this is kind of the famous, you know,
- 4:20 the rest of the, what will be called the Allied Powers
- 4:23 kind of say, "Okay, yeah, okay maybe Hitler's just going to just do that..."
- 4:27 well we don't want to start another war.
- 4:29 We still all remember World War I; it was really horrible.
- 4:31 And so they kind of appease Hitler and he's able to, kind of, satisfy his aggression.
- 4:37 so in 1938 you have Austria, Austria and the Sudetenland
- 4:43 ...and the Sudetenland...
- 4:47 are taken over, are taken over by Germany
- 4:50 and then as you go into 1939, as you go into 1939
- 4:55 in March they're able to take over all of Czechoslovakia
- 4:59 they're able to take over all of Czechoslovakia
- 5:02 and once again the Allies are kind of, they're feeling very uncomfortable,
- 5:05 they kind of, have seen something like this before
- 5:08 they would like to push back, but they still are,
- 5:11 kind of, are not feeling good about starting another World War
- 5:15 so they're hoping that maybe Germany stops there.
- 5:18 So let me write this down...
- 5:20 So all of Czechoslovakia...
- 5:23 ...Czechoslovakia... is taken over by the Germans.
- 5:27 This is in March of 1939.
- 5:32 And then in August you have the Germans, and this is really in preparation for,
- 5:38 what you could guess is about to happen, for the all-out

war that's about to happen

- 5:41 the Germans don't want to fight the Soviets right out the gate,
- 5:43 as we will see, and as you might know, they do eventually take on the Soviet Union,
- 5:49 but in 1939 they get into a pact with the Soviet Union.
- 5:53 And so this is, they sign
- 5:56 the Molotov-Ribbentrop Pact
- 6:05 with the Soviet Union, this is in August,
- 6:09 which is essentially mutual non-aggression
- 6:11 "Hey, you know, you do what you need to do, we know what we need to do."
- 6:14 and they secretly started saying "Okay were gonna, all the countries out here,
- 6:17 we're going to create these spheres of influence
- 6:19 where Germany can take, uh, control of part of it
- 6:22 and the Soviet Union, and Stalin is in charge of the Soviet Union at this point,
- 6:26 can take over other parts of it.
- 6:28 And then that leads us to the formal start
- 6:31 where in September, let me write this in a different color...
- 6:34 so September of 1939, on September 1st, Germany invades Poland
- 6:40 Germany invades Poland on September 1st,
- 6:44 which is generally considered the beginning of World War II.
- 6:48 and then you have the Great Britain and France declares war on Germany
- 6:55 so let me write this
- 6:58 World War II... starts
- 7:04 everyone is declaring war on each other, Germany invades Poland,
- 7:08 Great Britain and France declare war on Germany,
- 7:12 and you have to remember at this point
- 7:13 Stalin isn't so concerned about Hitler he's just signed the

Molotov-Ribbentrop Pact

- 7:18 and so in mid-September, Stalin himself invades Poland as well
- 7:24 so they both can kind of carve out...
- 7:27 ...their spheres of influence...
- 7:32 so you can definitely sense that things are not looking good for the world at this point
- 7:38 you already have Asia in the Second Sino-Japanese War.
- 7:42 incredibly bloody war.
- 7:43 and now you have kind of,
- 7:45 a lot of very similar actors that you had in World War I
- 7:48 and then they're starting to get into a fairly extensive engagement.

113. World War II: Crash Course World History #38



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114. The Great Depression: Crash Course World History #33



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115. World War II, A War for Resources: Crash Course World History #220



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