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# African slave trade

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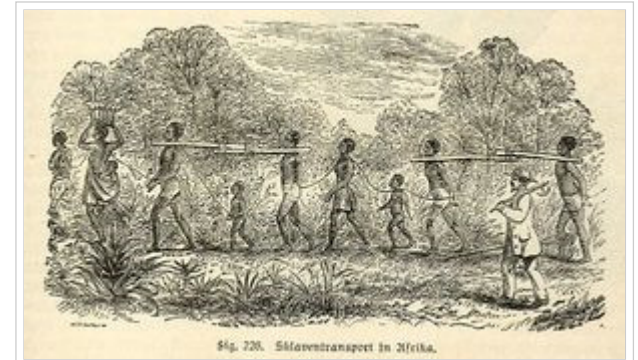
Trade in slaves, like most of the world, has carried on for thousands of years in Africa. The first main route passed through the Sahara. After the Age of Exploration, African slaves became part of the Atlantic slave trade, from which comes the modern, Western conception of slavery as an institution of African-derived slaves and non-African slave owners. Despite its illegality, slavery continues in all parts of the world, including Africa.

## Slavery within Africa

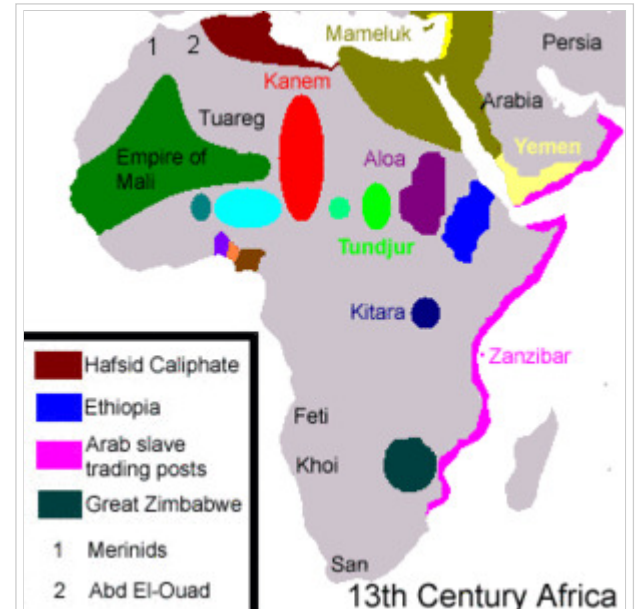
In most African societies, there was very little difference between the free peasants and the feudal vassal peasants. Vassals of the Songhay Muslim Empire were used primarily in agriculture; they paid tribute to their masters in crop and service but they were slightly restricted in custom and convenience. These non-free people were more an occupational caste, as their bondage was relative..

There is adequate evidence citing case after case of African control of segments of the trade. Several African nations such as the Ashanti of Ghana and the Yoruba of Nigeria had economies largely depending on the trade. African peoples such as the Imbangala of Angola and the Nyamwezi of Tanzania would serve as intermediaries or roving bands warring with other African nations to capture Africans for Europeans. Extenuating circumstances demanding exploration are the tremendous efforts European officials in Africa used to install rulers agreeable to their interests. They would actively favour one African group against another to deliberately ignite chaos and continue their slaving activities..

Slavery in the rigid form which existed in Europe and throughout the New World was not practiced in Africa nor in the Islamic Orient. "Slavery", as it is often referred to, in African cultures was generally more like indentured servitude: "slaves" were not made to be chattel of other men, nor enslaved for life. African "slaves" were paid wages and were able to accumulate property. They often bought their own freedom and could then achieve social promotion -just as freedman in ancient Rome- some even rose to the status of kings (e.g. Jaja of Opobo and Sunni Ali Ber). Similar arguments were used by western slave owners during the time of abolition, for example by John Wedderburn in *Wedderburn v. Knight*, the case that ended legal recognition of slavery in Scotland in 1776. Regardless of the legal options open to slave owners, rational cost-earning calculation and/or voluntary adoption of moral restraints often tended to mitigate (except with



Slave transport in Africa, from a 19th century engraving



13th century Africa - simplified map of the main states, kingdoms and empires



traders, who preferred to weed out the worthless weak individuals) the actual fate of slaves throughout history.

## Slavery in Songhai

In most African societies, there was very little difference between the free peasants and the feudal vassal peasants. Vassals of the Songhay Muslim Empire were used primarily in agriculture; they paid tribute to their masters in crop and service but they were slightly restricted in custom and convenience. These people were more an occupational caste, as their bondage was relative. In the Kanem Bornu Empire, vassals were three classes beneath the nobles. Marriage between captor and captive was far from rare, blurring the anticipated roles..

## Slavery in Ethiopia

Ethiopian slavery was essentially domestic. Slaves thus served in the houses of their masters or mistresses, and were not employed to any significant extent for productive purposes, Slaves were thus regarded as members of their owners' family, and were fed, clothed and protected. They generally roamed around freely and conducted business as free people. They had complete freedom of religion and culture. It had been banished by its Emperors numerous times starting with Emperor Tewodros II (r. 1855-1868), although not eradicated completely until 1923 with Ethiopia's ascension to the League of Nations.

## Slaves taken from Africa

### Trans Saharan trade

The very earliest external slave trade was the trans-Saharan slave trade. Although there had long been some trading up the Nile River and very limited trading across the western desert, the transportation of large numbers of slaves did not become viable until camels were introduced from Arabia in the 10th century. By this point, a trans-Saharan trading network came into being to transport slaves north. It has been estimated that from the 10th to the 19th century some 6,000 to 7,000 slaves were transported north each year. Over time this added up to several million people moving north. Frequent intermarriages meant that the slaves were assimilated in North Africa. Unlike in the Americas, slaves in North Africa were mainly servants rather than labourers, and a greater number of females than males were taken, who were often employed as women of harems. It was also not uncommon to turn male slaves into eunuchs to serve as guardians to the harems.

### Indian Ocean trade



The trade in slaves across the Indian Ocean also has a long history beginning with the control of sea routes by Arab traders in the ninth century. It is estimated that only a few thousand slaves were taken each year from the Red Sea and Indian Ocean coast. They were sold throughout the Middle East and India. This trade accelerated as superior ships led to more trade and greater demand for labour on plantations in the region. Eventually, tens of thousands per year were being taken.

## Atlantic Ocean trade

The Atlantic slave trade developed much later, but it would eventually be by far the largest and have the greatest impact. The first Europeans to arrive on the coast of Guinea were the Portuguese; the first European to actually buy slaves in the region was Antão Gonçalves, a Portuguese explorer. Originally interested in trading mainly for gold and spices, they set up colonies on the uninhabited islands of Sao Tome. In the 16th century the Portuguese settlers found that these volcanic islands were ideal for growing sugar. Sugar growing is a labour-intensive undertaking and Portuguese settlers were difficult to attract due to the heat, lack of infrastructure, and hard life. To cultivate the sugar the Portuguese turned to large numbers of African slaves. Elmina Castle on the Gold Coast, originally built by African labor for the Portuguese in 1482 to control the gold trade, became an important depot for slaves that were to be transported to the New World.



13th century slave market in the Yemen

Increasing penetration into the Americas by the Portuguese created more demand for labour in Brazil--primarily for farming and mining. To meet this demand, a trans-Atlantic slave trade soon developed. Slave-based economies quickly spread to the Caribbean and the southern portion of what is today the United States. These areas all developed an insatiable demand for slaves.

As European nations grew more powerful, especially Portugal, Spain, France and England, they began vying for control of the African slave trade, with little effect on the local African and Arab trading. Great Britain's existing colonies in the Lesser Antilles and their effective naval control of the Mid Atlantic forced other countries to abandon their enterprises due to inefficiency in cost. The English crown provided a charter giving the Royal African Company monopoly over the African slave routes until 1712.

## Why African Slaves?

In the late 15th century, Europeans (Spanish and Portuguese first) began to explore, colonize and conquer the territory in the Americas. The European colonists attempted to enslave some of the Native Americans to perform hard physical labor, but found them unaccustomed to hard agrarian labor and so familiar with the local environment that it was difficult to prevent their escape. Their lack of resistance to common European diseases was another factor against their suitability for slavery. The Europeans had also noted the West African practice of enslaving prisoners of war (a common phenomenon among many peoples on all of the continents). European colonial powers traded guns, brandy and other goods for these slaves, but this had little effect on the Arabian and African trade. The African slaves proved more resistant to European diseases than indigenous Americans, familiar with a tropical climate and accustomed to agricultural work. As a result, regular trade was soon established.



## Effects

### Effect on the economy of Africa



Two slightly differing Okpoho Manillas as used to purchase slaves

No scholars dispute the harm done to the slaves themselves, but the effect of the trade on African societies is much debated due to the apparent influx of capital to Africans. Proponents of the slave trade, such as Archibald Dalziel, argued that African societies were robust and not much affected by the ongoing trade. In the 19th century, European abolitionists, most prominently Dr. David Livingston, took the opposite view arguing that the fragile local economy and societies were being severely harmed by the ongoing trade. This view continued with scholars until the 1960s and 70s such as Basil Davidson, who conceded it might have had some benefits while still acknowledging its largely negative impact on Africa. Historian Walter Rodney estimates that by c.1770, the King of Dahomey was earning an estimated £250,000 per year by selling captive African soldiers and even his own people to the European slave-traders. Most of this money was spent on British-made firearms (of very poor quality) and industrial-grade alcohol.



Cowrie shells were used as money in the slave trade

Today, however, some scholars assert that slavery did not have a wholly disastrous effect on those left behind in Africa. Slaves were an expensive commodity, and traders received a great deal in exchange for each slave. At the peak of the slave trade, it is said that hundreds of thousands of muskets, vast quantities of cloth, gunpowder and metals were being shipped to Guinea. Guinea's trade with Europe at the peak of the slave trade—which also included

significant exports of gold and ivory—was some 3.5 million pounds Sterling per year. By contrast, the trade of the United Kingdom, the economic superpower of the time, was about 14 million pounds per year over this same period of the late 18th century. As Patrick Manning has pointed out, the vast majority of items traded for slaves were common rather than luxury goods. Textiles, iron ore, currency, and salt were some of the most important commodities imported as a result of the slave trade, and these goods were spread within the entire society raising the general standard of living.

### Effects on Europe's economy

Eric Williams had attempted to show the contribution of Africans on the basis of profits from the slave trade and slavery, and the employment of those profits to finance England's industrialization process. He argues that the enslavement of Africans was an essential element to the Industrial Revolution, and that European wealth is a result of slavery. However, he argued that by the time of its abolition it had lost its profitability and it was in Britain's economic interest to ban it. Seymour Drescher and Robert Antsey have both presented evidence that the slave trade remained profitable until the end, and that reasons other than economics led to its cessation. Joseph Inikori have shown elsewhere that the British slave trade was more profitable than the critics of Williams would want us to believe.



## Demographics

The demographic effects of the slave trade are some of the most controversial and debated issues. Tens of millions of people were removed from Africa via the slave trade, and what effect this had on Africa is an important question. Walter Rodney argued that the export of so many people had been a demographic disaster and had left Africa permanently disadvantaged when compared to other parts of the world, and largely explains that continent's continued poverty. He presents numbers that show that Africa's population stagnated during this period, while that of Europe and Asia grew dramatically. According to Rodney all other areas of the economy were disrupted by the slave trade as the top merchants abandoned traditional industries to pursue slaving and the lower levels of the population were disrupted by the slaving itself.

Others have challenged this view. J.D. Fage compared the number effect on the continent as a whole. David Eltis has compared the numbers to the rate of emigration from Europe during this period. In the nineteenth century alone over 50 million people left Europe for the Americas, a far higher rate than were ever taken from Africa..

Others have challenged this view. Joseph E. Inikori argues the history of the region shows that the effects were still quite deleterious. He argues that the African economic model of the period was very different from the European, and could not sustain such population losses. Population reductions in certain areas also led to widespread problems. Inikori also notes that after the suppression of the slave trade Africa's population almost immediately began to rapidly increase, even prior to the introduction of modern medicines. Shahadah also states that the trade was not only of demographic significance, in aggregate population losses but also in the profound changes to settlement patterns, epidemiological exposure and reproductive and social development potential.

In addition, the majority of the slaves being taken to the Americas were male. So while the slave trade created an immediate drop in the population, its long term effects were less drastic..

## Legacy of racism

Maulana Karenga states that the effects of slavery where "the morally monstrous destruction of human possibility involved redefining African humanity to the world, poisoning past, present and future relations with others who only know us through this stereotyping and thus damaging the truly human relations among peoples." . He cites that it constituted the destruction of culture, language, religion and human possibility.

## Abolition

Beginning in the late 18th century, France was Europe's first country to abolish slavery, in 1794, but it was revived by Napoleon in 1802, and banned for good in 1848. In 1807 the British Parliament passed the Abolition of the Slave Trade Act, under which captains of slave ships could be fined for each slave transported. This was later superseded by the 1833 Slavery Abolition Act, which freed all slaves in the British Empire. Abolition was then extended to the rest of Europe. The power of the Royal Navy was subsequently used to suppress the slave trade, and while some illegal trade, mostly with Brazil, continued, the Atlantic slave trade would be eradicated by the middle of the 19th century. The Saharan and Indian Ocean trades continued, however, and even increased as new sources of slaves became available. According to Mordechai Abir, with the Russian conquest of the Caucasus. The slave trade within Africa also increased.

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The British Navy could suppress much of the trade in the Indian Ocean, but the European powers could do little to affect the intra-continental trade.

The continuing anti-slavery movement in Europe became an excuse and a *casus belli* for the European conquest and colonisation of much of the African continent. In the late 19th century, the Scramble for Africa saw the continent rapidly divided between Imperialistic Europeans, and an early but secondary focus of all colonial regimes was the suppression of slavery and the slave trade. In response to this public pressure, Ethiopia officially abolished slavery in 1932. By the end of the colonial period they were mostly successful in this aim, though slavery is still very active in Africa even though it has gradually moved to a wage economy. Independent nations attempting to westernise or impress Europe sometimes cultivated an image of slavery suppression, even as they, in the case of Egypt, hired European soldiers like Samuel White Baker's expedition up the Nile. Slavery has never been eradicated in Africa, and it commonly appears in states, such as Sudan, in places where law and order have collapsed.. *See also Slavery in Sudan.*

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# Aztec

2008/9 Schools Wikipedia Selection. Related subjects: Ancient History, Classical History and Mythology; General history

**Aztec** is a term used to refer to certain ethnic groups of central Mexico, particularly those groups who spoke the Nahuatl language and who achieved political and military dominance over large parts of Mesoamerica in the 14th, 15th and 16th centuries, a period referred to as the Late post-Classic period in Mesoamerican chronology.

Often the term "Aztec" refers exclusively to the people of Tenochtitlan, situated on an island in Lake Texcoco, who called themselves *Mexica Tenochca* or Colhua-Mexica.

Sometimes it also includes the inhabitants of Tenochtitlan's two principal allied city-states, the Acolhuas of Texcoco and the Tepanecs of Tlacopan, who together with the Mexica formed the Aztec Triple Alliance which has also become known as the "**Aztec Empire**". In other contexts it may refer to all the various city states and their peoples, who shared large parts of their ethnic history as well as many important cultural traits with the Mexica, Acolhua and Tepanecs, and who like them, also spoke the Nahuatl language. In this meaning it is possible to talk about an **Aztec civilization** including all the particular cultural patterns common for the Nahuatl speaking peoples of the late postclassic period in Mesoamerica.

From the 12th century the Valley of Mexico was the nucleus of Aztec civilization: here the capital of the Aztec Triple Alliance, the city of Tenochtitlan, was built upon raised islets in Lake Texcoco. The Triple Alliance formed its tributary empire expanding its political hegemony far beyond the Valley of Mexico, conquering other city states throughout Mesoamerica.

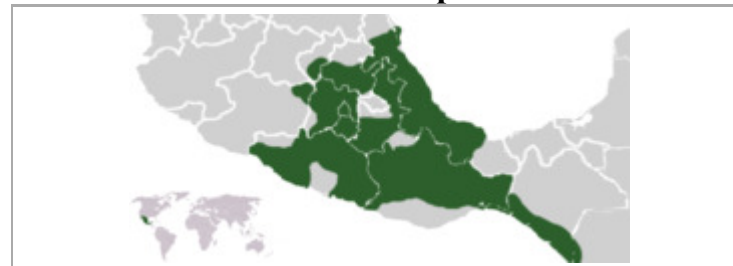
At its pinnacle Aztec culture had rich and complex mythological and religious traditions, as well as reaching remarkable architectural and artistic accomplishments. A particularly striking element of Aztec culture to many was the practice of human sacrifice.

In 1521, in what is probably the most widely known episode in the Spanish colonization of the Americas, Hernán Cortés, along with a large number of Nahuatl speaking indigenous allies, conquered Tenochtitlan and defeated the Aztec Triple Alliance under the leadership of Hueyi Tlatoani Moctezuma II; In the series of events often referred to as " The Fall of the Aztec Empire". Subsequently the Spanish founded the new settlement of Mexico City on the site of the ruined Aztec capital.

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## Aztec Empire

Capital	Tenochtitlan
Official language	Nahuatl
Government	Tributary Empire
Head of Nation	Hueyi Tlatoani (non-hereditary autocrat)
High councillor	Cihuacóatl
Electing council	Oligarchs ( military, religious, nobility)
Approving Council	80+ calpulli leaders ( elder)
<b>Establishment</b>	1428
<b>Dissolution</b>	1521
<b>Population 1520</b>	est. ~20,000,000



**The Aztec world**



Aztec culture and history is primarily known:

- From archaeological evidence as it is found in excavations such as that of the renowned Templo Mayor in Mexico City and many others.
- From indigenous bark paper codices.
- From eyewitness accounts by Spanish conquistadors such as Hernán Cortés and Bernal Díaz del Castillo.
- And especially from 16th and 17th century descriptions of Aztec culture and history written by Spanish clergymen and literate Aztecs in the Spanish or Nahuatl language, such as the famous Florentine Codex compiled by the Franciscan monk Bernardino de Sahagún with the help of indigenous Aztec informants.

## Nomenclature



Sculpture commemorating the moment when **Aztecs** found the sign from the god Huitzilopochtli.

According to the mythico-historical Aubin codex, seven Nahuatl tribes lived in Aztlán under the rule of a powerful elite. The seven tribes fled Aztlán, to seek new lands. The Mexicas were the last group to leave. The Aubin Codex relates that after leaving Aztlán, their god Huitzilopochtli ordered his people to never identify themselves as Azteca, the name of their former masters. Instead they should henceforth call themselves *Mexicâ*.

The word "Aztec" was not originally an endonym for any ethnic group, but achieved wide use as an exonym first in the English language and later in Spanish from the 19th century on. Some modern day scholars use the word "Aztec" to refer to the Nahuatl speaking peoples of Mexico before the Spanish conquest in 1519 and the word "Nahuatl" to refer to the same peoples after the conquest. Because no people ever referred to itself as "Aztecs", and because the peoples to whom the word is popularly used to refer never saw themselves as a unified ethnic group, many scholars now prefer to refer to particular ethnic groups individually e.g. the "Mexica", "Acolhua" or "Tepaneca" rather than subsuming them under a single term such as "Aztec".

The Spanish conquistadores referred to them as "Mexicas" or "Culua-Mexicas". In Mexico, archaeologists and museums use the term Mexicas. The wider population in and outside Mexico generally speaks of Aztecs. In this article, the term "Mexica" is used to refer to the Mexica people up until the time of the formation of the Triple Alliance. After this, the term "Aztecs" is used to refer to the three peoples who made up the Triple Alliance, or in the wider context to all the Nahuatl speaking peoples as bearers of "Aztec culture".

## Mexica

*Mexicâ* (IPA: [mɛʃiʔkaʔ]) is a term of uncertain origin. Very different etymologies are proposed: the old Nahuatl word for the moon, the name of their leader Mexitli, or a type of weed that grows in Lake Texcoco. Mexican scholar Miguel León-Portilla suggests that it is derived from *mexictli*, "navel of the moon", from Nahuatl *metztli* (moon) and *xictli* (navel). Alternatively, *mexictli* could mean "navel of the maguety" using the Nahuatl *metl* and the locative "co".

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According to a Mexica legend, it was Huitzilopochtli, the war deity and patron of the Mexica who gave them their name. The most probable interpretation is that the name comes from *Mexitl* or *Mexi* a secret name for the deity.

## Aztec

In Nahuatl, the native language of the Mexicas, *Aztecatl* means "someone who comes from Aztlán". In 1810 Alexander von Humboldt originated the modern usage of "Aztec" as a collective term applied to all the people linked by trade, custom, religion, and language to the Mexica state and the Triple Alliance. In 1843, with the publication of the work of William H. Prescott, it was adopted by most of the world, including 19th century Mexican scholars who saw it as a way to distinguish present-day Mexicans from pre-conquest Mexicans. This usage has been the subject of debate in more recent years, and the term "Mexica" is becoming more common.

Nahuatl (nahuatl/nawatlahtolli) **Classical Nahuatl** (also known as **Aztec**, and simply **Nahuatl**) is a term used to describe the variants of the Nahuatl language. The majority of the speakers live in Central Mexico in the states of Estado de Mexico El Distrito Federal, Puebla, Tlaxcala, Morelos, Guerrero, Veracruz, Michoacán and Hidalgo. Other variants of the language "Nahuatl" were spoken by many of the central Mexican city-states under the domination of the Aztec Empire. Nahuatl was originally written with a pictographic script which was not a full writing system but instead served as a mnemonic to remind readers of texts they had learned orally.

## History

### Migrational Period

The Nahua peoples began to migrate into Mesoamerica from northern Mexico in the 6th century. They populated central Mexico dislocating speakers of Oto-Manguean languages as they spread their political influence south. As the former nomadic hunter-gatherer peoples mixed with the complex civilizations of Mesoamerica, adopting religious and cultural practices the foundation for later Aztec culture was laid. During the Postclassic period they rose to power at such sites as Tula, Hidalgo. In the 12th century the Nahua power centre was in Azcapotzalco, from where the Tepanecs dominated the valley of Mexico. Around this time the Mexica tribe arrived in central Mexico.

### Rise of the Triple Alliance



The true origin of the Mexicas is uncertain. According to their legends, the Mexica tribe place of origin was Aztlán. It is generally thought that Aztlán was somewhere to the north of the Valley of Mexico; some experts have placed it as far north as Southwestern United States. Others however suggest it is a mythical place, since Aztlán can be translated as "the place of the origin". The mythical story of these travels is recorded in a number of codices from the Spanish colonial era, most prominently the Aubin Codex and the Boturini Codex.

Based on these codices as well as other histories, it appears that the Mexicas arrived at Chapultepec in or around the year 1248.

At the time of their arrival, the Valley of Mexico had many city-states, the most powerful of which were Culhuacan to the south and Azcapotzalco to the west. The Tepanecs of Azcapotzalco soon expelled the Mexicas from Chapultepec. In 1299, Culhuacan ruler Cocoxtli gave them permission to settle in the empty barrens of Tizapan, where they were eventually assimilated into Culhuacan culture.

In 1323, the Mexicas were shown a vision of an eagle perched on a prickly pear cactus, clutching a snake in its talons. This vision indicated that this was the location where they were to build their home. In any event, the Mexicas eventually arrived on a small swampy island in Lake Texcoco where they founded the town of Tenochtitlan in 1325. In 1376, the Mexicas elected their first *Huey Tlatoani*, Acamapichtli, who was living in Texcoco at the time.

For the next 50 years, until 1427, the Mexica were a tributary of Azcapotzalco, which had become a regional power, perhaps the most powerful since the Toltecs, centuries earlier. Maxtla, son of Tezozomoc, assassinated Chimalpopoca, the Mexica ruler. In an effort to defeat Maxtla, Chimalpopoca's successor, Itzcoatl, allied with the exiled ruler of Texcoco, Nezahualcoyotl. This coalition became the foundation of the Aztec Triple Alliance.





The Triple Alliance of Tenochtitlan, Texcoco, and Tlacopan would, in the next 100 years, come to dominate the Valley of Mexico and extend its power to both the Gulf of Mexico and the Pacific shore. Over this period, Tenochtitlan gradually became the dominant power in the alliance.

Two of the primary architects of the Aztec empire were the half-brothers Tlacaelel and Moctezuma I, nephews of Itzcoatl. Moctezuma I succeeded Itzcoatl as *Hueyi Tlatoani* in 1440. Although he was also offered the opportunity to be *tlatoani*, Tlacaelel preferred to operate as the power behind the throne. Tlacaelel reformed the Aztec state and religion. According to some sources, he ordered the burning of most of the extant Aztec books claiming that they contained lies. He thereupon rewrote the history of the Aztec people, thus creating a common awareness of history for the Aztecs. This rewriting led directly to the curriculum taught to scholars and promoted the belief that the Aztecs were always a powerful and mythic nation; forgetting forever a possible true history of modest origins. One component of this reform was the institution of ritual war (the flower wars) as a way to have trained warriors, and created the necessity of constant sacrifices to keep the Sun moving.

## Spanish conquest

The empire reached its height during Ahuitzotl's reign, 1486 until 1502. His successor, Motecuzōma Xocoyotzin (better known as Montezuma or Moctezuma II), had been *Hueyi Tlatoani* for 17 years when Hernán Cortés and the Spaniards landed on the Gulf Coast in the spring of 1519.

Despite some early battles between the two, Cortés allied himself with the Aztecs' long-time enemy, the Confederacy of Tlaxcala, and arrived at the gates of Tenochtitlan on November 8, 1519.

The Spaniards and their Tlaxcallan allies became increasingly dangerous and unwelcome guests in the capital city. In June, 1520, hostilities broke out, culminating in the massacre in the Main Temple and the death of Montezuma. The Spaniards fled the town on July 1, an episode later characterized as *La Noche Triste* (the Sad Night). They and their native allies returned in the spring of 1521 to lay siege to Tenochtitlan, a battle that ended that August 13 with the destruction of the city. During this period the now crumbling empire went through a rapid line of ruler succession. After the death of Moctezuma II, the empire fell into the hands of severely weakened emperors, such as Cuitláhuac, before eventually being ruled by puppet rulers, such as Andrés de Tapia Motelchiuh, installed by the Spanish.

Despite the decline of the Aztec empire, most of the Mesoamerican cultures were intact after the fall of Tenochtitlan. Indeed, the freedom from Aztec domination may have been considered a positive development by most of the other cultures. The upper classes of the Aztec empire were considered noblemen by the Spaniards and generally treated as such initially. All this changed rapidly and the native population were soon forbidden to study by law, and had the status of minors.

The Tlaxcalans remained loyal to their Spanish friends and were allowed to come on other conquests with Cortés and his men.

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Jaguar warrior, from the Codex Magliabechiano



## Colonial period population decline

In 1520-1521, an outbreak of smallpox swept through the population of Tenochtitlan and was decisive in the fall of the city. It is estimated that between 10% and 50% of the population fell victim to this epidemic.

Subsequently, the Valley of Mexico was hit with two more epidemics, smallpox (1545-1548) and typhus (1576-1581). The Spaniards, to consolidate the diminishing population, merged the survivors from small towns in the Valley of Mexico into bigger ones. This broke the power of the upper classes, but did not dissolve the coherence of the indigenous society in greater Mexico.

The population before the time of the conquest is unknown and hotly contested, but disease is known to have ravaged the region; thus, the indigenous population of the Valley of Mexico is estimated to have declined by more than 80% in the course of about 60 years.

## Cultural patterns

### Government

The Aztec Empire was an example of an empire that ruled by indirect means. Like most European empires, it was ethnically very diverse, but unlike most European empires, it was more a system of tribute than a single system of government. In the theoretical framework of imperial systems posited by Alexander J. Motyl the Aztec empire was an informal or hegemonic empire because it did not exert supreme authority over the conquered lands, it merely expected tributes to be paid. It was also a discontinuous empire because not all dominated territories were connected, for example the southern peripheral zones of Xoconochco were not in direct contact with the centre. The hegemonic nature of the Aztec empire can be seen in the fact that generally local rulers were restored to their positions once their city-state was conquered and the Aztecs did not interfere in local affairs as long as the tribute payments were made.

Although the Aztec form of government is often referred to as an empire, in fact most areas within the empire were organized as city-states, known as altepetl in Nahuatl. These were small polities ruled by a king (tlatoani) from a legitimate dynasty. The Early Aztec period was a time of growth and competition among altepetl. Even after the empire was formed (1428) and began its program of expansion through conquest, the altepetl remained the dominant form of organization at the local level. The efficient role of the altepetl as a regional political unit was largely responsible for the success of the empire's hegemonic form of control.

### Tribute and trade

Several pages from the Codex Mendoza list tributary towns along with the goods they supplied, which included not only luxuries such as feathers, adorned suits,





and greenstone beads, but more practical goods such as cloth, firewood, and food. Tribute was usually paid twice or four times a year at differing times.

Archaeological excavations in the Aztec-ruled provinces show that incorporation into the empire had both costs and benefits for provincial peoples. On the positive side, the empire promoted commerce and trade, and exotic goods from obsidian to bronze managed to reach the houses of both commoners and nobles. Trade partners included the enemy Tarascan, a source of bronze tools and jewelry. On the negative side, imperial tribute imposed a burden on commoner households, who had to increase their work to pay their share of tribute. Nobles, on the other hand, often made out well under imperial rule because of the indirect nature of imperial organization. The empire had to rely on local kings and nobles and offered them privileges for their help in maintaining order and keeping the tribute flowing.

## Economy

The Aztec economy was an example of a commercial economy. Several types of money were in regular use. Small purchases were made with cacao beans, which had to be imported from lowland areas. In Aztec marketplaces, a small rabbit was worth 30 beans, a turkey egg cost 3 beans, and a tamale cost a single bean. For larger purchases, standardized lengths of cotton cloth called quachtli were used. There were different grades of quachtli, ranging in value from 65 to 300 cacao beans. One source stated that 20 quachtli could support a commoner for one year in Tenochtitlan. A man could also sell his own daughter as a sexual slave or future religious sacrifice, generally for around 500 to 700 beans. A small gold statue (approximately 0.62 kg / 1.37 lb) cost 250 beans. Money was used primarily in the many periodic markets that were held in each town. A typical town would have a weekly market (every 5 days), while larger cities held markets every day. Cortés reported that the central market of Tlatelolco, Tenochtitlan's sister city, was visited by 60,000 people daily. Some sellers in the markets were petty vendors; farmers might sell some of their produce, potters sold their vessels, and so on. Other vendors were professional merchants who traveled from market to market seeking profits. The pochteca were specialized merchants organized into exclusive guilds. They made lengthy expeditions to all parts of Mesoamerica, and they served as the judges and supervisors of the Tlatelolco market. Although the economy of Aztec Mexico was commercialized (in its use of money, markets, and merchants), it was not "a capitalist economy because land and labor were not commodities for sale."

## Transportation

The main contribution of the Aztec rule was a system of communications between the conquered cities. In Mesoamerica, without draft animals for transport (nor, as a result, wheeled vehicles), the roads were designed for travel on foot. Usually these roads were maintained through tribute, and travelers had places to rest and eat and even latrines to use at regular intervals, roughly every 10 or 15 km. Couriers (*paynani*) were constantly travelling along those ways, keeping the Aztecs informed of events, and helping to monitor the integrity of the roads. Due to the steady surveillance, even women could travel alone, a fact that amazed the Spaniards, as that was not at all possible in Europe since the time of the Romans.

After the conquest those roads were no longer subject to maintenance and were lost in time.

## Mythology and religion



The Coat of Arms of Mexico, from Aztec mythology

The Mexica made reference to at least two manifestations of the supernatural: *tēōtl* and *tēixiptla*. *Tēōtl*, which the Spaniards and European scholars routinely mistranslated as "god" or "demon", referred rather to an impersonal force that permeated the world. *Tēixiptla*, by contrast, denoted the physical representations ("idols", statues and figurines) of the *tēōtl* as well as the human cultic activity surrounding this physical representation. The Mexica "gods" themselves had no existence as distinct entities apart from these *tēixiptla* representations of *tēōtl* (Boone 1989).

Veneration of Huitzilopochtli, the personification of the sun and of war, was central to the religious, social and political practices of the Mexicas. Huitzilopochtli attained this central position after the founding of Tenochtitlan and the formation of the Mexica city-state society in the 14th century. Prior to this, Huitzilopochtli was associated primarily with hunting, presumably one of the important subsistence activities of the itinerant bands that would eventually become the Mexica.

According to myth, Huitzilopochtli directed the wanderers to found a city on the site where they would see an eagle devouring a snake perched on a fruit-bearing nopal cactus. (It was said that Huitzilopochtli killed his nephew, Cópil, and threw his heart on the lake. Huitzilopochtli honoured Cópil by causing a cactus to grow over Cópil's heart.) Legend has it that this is the site on which the Mexicas built their capital city of Tenochtitlan. This legendary vision is pictured on the Coat of Arms of Mexico.

According to their own history, when the Mexicas arrived in the Anahuac valley ( Valley of Mexico) around Lake Texcoco, the groups living there considered them uncivilized. The Mexicas borrowed much of their culture from the ancient Toltec whom they seem to have at least partially confused with the more ancient civilization of Teotihuacan. To the Mexicas, the Toltecs were the originators of all culture; "Toltecayōtl" was a synonym for culture. Mexica legends identify the Toltecs and the cult of Quetzalcoatl with the mythical city of Tollan, which they also identified with the more ancient Teotihuacan.

## Human sacrifice





For most people today, and for the European Catholics who first met the Aztecs, human sacrifice was the most striking feature of Aztec civilization. While human sacrifice was practiced throughout Mesoamerica, the Aztecs, if their own accounts are to be believed, brought this practice to an unprecedented level. For example, for the reconsecration of Great Pyramid of Tenochtitlan in 1487, the Aztecs reported that they sacrificed 84,400 prisoners over the course of four days, reportedly by Ahuitzotl, the Great Speaker himself.

However, most experts consider these numbers to be overstated. For example, the sheer logistics associated with sacrificing 84,000 victims would be overwhelming, 2,000 being a more likely figure. A similar consensus has developed on reports of cannibalism among the Aztecs.

In the writings of Bernardino de Sahagún, Aztec "anonymous informants" defended the practice of human sacrifice by asserting that it was not very different from the European way of waging warfare: Europeans killed the warriors in battle, Aztecs killed the warriors after the battle.

Accounts by the Tlaxcaltecas, the primary enemy of the Aztecs at the time of the Spanish Conquest, show that at least some of them considered it an honour to be sacrificed. In one legend, the warrior Tlahuicole was freed by the Aztecs but eventually returned of his own volition to die in ritual sacrifice. Tlaxcala also practiced the human sacrifice of captured Aztec warriors.

## Social structures

### Class structure



Human sacrifice as shown in the Codex Magliabechiano.



The highest class were the *pīpiltin* or nobility. Originally this status was not hereditary, although the sons of *pillis* had access to better resources and education, so it was easier for them to become *pillis*. Later the class system took on hereditary aspects.

The second class were the *mācehualtin*, originally peasants. Eduardo Noguera estimates that in later stages only 20% of the population was dedicated to agriculture and food production. The other 80% of society were warriors, artisans and traders. Eventually, most of the *mācehuallis* were dedicated to arts and crafts. Their works were an important source of income for the city.

Slaves or *tlacotin* also constituted an important class. Aztecs could become slaves because of debts, as a criminal punishment or as war captives. A slave could have possessions and even own other slaves. However, upon becoming a slave, all of the slave's animals and excess money would go to his purchaser. Slaves could buy their liberty, and slaves could be set free if they had children with or were married to their masters. Typically, upon the death of the master, slaves who had performed outstanding services were freed. The rest of the slaves were passed on as part of an inheritance.

Traveling merchants called *pochtecah* were a small, but important class as they not only facilitated commerce, but also communicated vital information across the empire and beyond its borders. They were often employed as spies.

## Cuisine

The Aztec staple foods included maize, beans and squash to which were often added chilies and tomatoes, all prominent parts of the Mexican diet to this day. They harvested acocils, a small and abundant shrimp of Lake Texcoco, as well as Spirulina algae, which was made into a sort of cake rich in flavonoids. Although Mesoamerican diet was largely vegetarian the Aztecs consumed insects such as grasshoppers (*chapulines*), maguey worm, ants, larvae, etc. Insects have a higher protein content than meat, and even now they are considered a delicacy in some parts of Mexico.

The only domesticated animals known to the Aztecs were dogs and turkeys which were also both consumed. The Mesoamerican, as well as the modern, domesticated turkey is a descendant of the Wild Turkey of the Americas, rather than the Ocellated Turkey which is found in far southern Mexico. Mesoamerican cultures relied on the turkey ( Mexican Spanish *guajolote*, from Nahuatl *huexolotl*) as a major source of protein (meat and eggs), and utilized its feathers extensively for decorative purposes. The turkey was associated with their trickster god Tezcatlipoca, perhaps because of humorous aspects of its behaviour. Turkeys were taken to Europe by the Spanish, where they also became popular as a domesticated animal.

Wild game was also a part of the Aztec diet. Aztec elites are also known to have consumed human flesh in certain ceremonial contexts but it is dubious that it ever formed an important part of their diet.

Aztecs also used maguey extensively; from it they obtained food, sweetening additives (*aguamiel*—"honey water"), fibers for ropes and clothing, and drink (

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A painting from Codex Mendoza showing elder Aztecs being given intoxicants.



pulque, a fermented beverage with an alcoholic content roughly equivalent to beer, used mainly in ceremonial contexts).

Cacao beans were used as money and also to make *xocolatl*, a frothy and bitter beverage, lacking the sweetness of modern chocolate drinks. The Aztecs also kept beehives and harvested honey.

A study by Ortiz de Montellano shows a mean life expectancy of 37 ( $\pm 3$ ) years for the population of Mesoamerica. After the Spanish conquest, some foods were outlawed, particularly amaranth because of its central role in religious rituals. There was less diversity of food, which led to chronic malnutrition in the general population.

## Recreation

As with all Mesoamerican cultures, the Aztecs played a variant of the Mesoamerican ballgame, named *tlachtli* or *ollamaliztli* in Nahuatl. The game was played with a ball of solid rubber, called an *olli*, whence derives the Spanish word for rubber, *hule*. The players hit the ball with their hips, knees, and elbows and had to pass the ball through a stone ring to automatically win. The Aztec variant of the Mesoamerican ballgame is the only one to be described in postcolonial sources, and not much is known about how other Mesoamerican peoples played the game.

The Aztecs also enjoyed board games, like *patolli* and *totoloque*. Bernal Diaz records that Cortés and Moctezuma II played *totoloque* together.

## Education

Until the age of fourteen, the education of children was in the hands of their parents, but supervised by the authorities of their *calpōlli*. Part of this education involved learning a collection of sayings, called *huēhuetlatolli* ("sayings of the old"), that embodied the Aztecs' ideals. Judged by their language, most of the *huēhuetlatolli* seemed to have evolved over several centuries, predating the Aztecs and most likely adopted from other Nahua cultures.

At 15, all boys and girls went to school. The Mexica, one of the Aztec groups, were one of the first people in the world to have mandatory education for nearly all children, regardless of gender, rank, or station. There were two types of schools: the *tehpochcalli*, for practical and military studies, and the *calmecac*, for advanced learning in writing, astronomy, statesmanship, theology, and other areas. The two institutions seem to be common to the Nahua people, leading some experts to suggest that they are older than the Aztec culture.



Representation of Aztec education.

Aztec teachers (*tlatimine*) propounded a spartan regime of education with the purpose of forming a stoical people.

Girls were educated in the crafts of home and child raising. They were not taught to read or write. All women were taught to be involved in religion; there are paintings of women presiding over religious ceremonies, but there are no references to female priests.

## Arts

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Song and poetry were highly regarded; there were presentations and poetry contests at most of the Aztec festivals. There were also dramatic presentations that included players, musicians and acrobats.

Poetry was the only occupation worthy of an Aztec warrior in times of peace. A remarkable amount of this poetry survives, having been collected during the era of the conquest. In some cases poetry is attributed to individual authors, such as Netzahualcoyotl, *tlatoani* of Texcoco, and Cuacuatzin, Lord of Tepechpan, but whether these attributions reflect actual authorship is a matter of opinion. Miguel León-Portilla, a well-respected Aztec scholar of Mexico, has stated that it is in this poetry where we can find the real thought of the Aztecs, independent of "official" Aztec ideology.

It is also important to note that the Spanish classified many aspects of the Aztec/Nahuatl culture according to the lexicon and organizational categories with which they would distinguish in Europe. In the same way that the second letter of Cortez made a mention of "mesquitas", or in English, "mosques", when trying to convey his impression of Aztec architecture, early colonists and missionaries divided the principal bodies of nahuatl literature as "poetry" and "prose". "Poetry" was *in xochitl in cuicatl* a dual term meaning "the flower and the song" and was divided into different genres. *Yaocuicatl* was devoted to war and the god(s) of war, *Teocuicatl* to the gods and creation myths and to adoration of said figures, *xochicuicatl* to flowers (a symbol of poetry itself and indicative of the highly metaphorical nature of a poetry that often utilized duality to convey multiple layers of meaning). "Prose" was *tlahtolli*, also with its different categories and divisions (Garganigo et. al).



This ornament features a turquoise mosaic on a carved wooden base, with red and white shells used for the mouths. Probably worn across the chest, this ornament measures 20 cm by 43 cm (8 in by 17 in). It was likely created by Mixtec artisans from an Aztec tributary state. 1400-1521, from the British Museum



Turquoise mask. Mixtec-Aztec. 1400-1521.

The most important collection of these poems is *Romances de los señores de la Nueva España*, collected (Tezcoco 1582), probably by Juan Bautista de Pomar. Bautista de Pomar was the great-grandson of Netzahualcoyotl. He spoke Nahuatl, but was raised a Christian and wrote in Latin characters. (See also: "Is It You?", a short poem attributed to Netzahualcoyotl, and "Lament on the Fall of Tenochtitlan", a short poem contained within the "Unos Anales Históricos de la Nación Mexicana" manuscript.)

The Aztec people also enjoyed a type of dramatic presentation, a kind of theatre. Some plays were comical with music and acrobats, others were staged dramas of their gods. After the conquest, the first Christian churches had open chapels reserved for these kinds of representations. Plays in Nahuatl, written by converted Indians, were an important instrument for the conversion to Christianity, and are still found today in the form of traditional *pastorelas*, which are played during Christmas to show the Adoration of Baby Jesus, and other Biblical passages.

### City-building and architecture

The capital city of the Aztec empire was Tenochtitlan, now the site of modern-day Mexico City. Built on a series of islets in Lake Texcoco, the city plan was based on a symmetrical layout that was divided into four city sections called *campans*. The city was interlaced with canals which were useful for transportation.

Tenochtitlan was built according to a fixed plan and centered on the ritual precinct, where the Great Pyramid of Tenochtitlan rose 50 m above the city. Houses were made of wood and loam, roofs were made of reed, although pyramids, temples and palaces were generally made of stone.

Around the island, *chinampa* beds were used to grow foodstuffs as well as, over time, to increase the size of the island. *Chinampas*, misnamed "floating gardens", were long raised plant beds set upon the shallow lake bottom. They were a very efficient agricultural system and could provide up to seven crops a year. On the basis of current chinampa yields, it has been estimated that 1 hectare of chinampa would feed 20 individuals and 9,000 hectares of *chinampas* could feed 180,000.

Anthropologist Eduardo Noguera estimates the population at 200,000 based in the house count and merging the population of Tlatelolco (once an independent city, but later became a suburb of Tenochtitlan). If one includes the surrounding islets and shores surrounding Lake Texcoco, estimates range from 300,000 to 700,000 inhabitants.

### Relationship to other Mesoamerican cultures

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Tenochtitlan, looking east. From the mural painting at the National Museum of Anthropology, Mexico City. Painted in 1930 by Dr. Atl.



Aztecs admired Mixtec craftsmanship so much that they imported artisans to Tenochtitlan and requested work to be done in certain Mixtec styles. The Aztecs also admired the Mixtec codices, so some of them were made to order by Mixteca for the Aztecs. In the later days, high society Aztec women started to wear Mixtec clothing, specifically the *quexquemetl*. It was worn over their traditional *huipil*, and much coveted by the women who could not afford such imported goods.

The situation was analogous in many ways to the Phoenician culture which imported and duplicated art from other cultures that they encountered. For this reason, archeologists often have trouble identifying which artifacts are genuinely Phoenician and which are imported or copied from other cultures.

Archaeologists usually do not have a problem differentiating between Mixtec and Aztec artifacts. However, the Mixtec made some products for "export" and that makes classification more problematic. In addition, the production of craft was an important part of the Mexica economy, and they also made pieces for "export".

## Legacy

Most modern day Mexicans (and people of Mexican descent in other countries) are mestizos, of mixed indigenous and European Spanish ancestry. During the 16th century the racial composition of Mexico began to change from one that featured distinct indigenous (Mexicas and members of the many other Mexican indigenous groups) and immigrant (mostly Spanish) populations, to the population composed primarily of mestizos that is found in modern day Mexico.

The Nahuatl language is today spoken by 1.5 million people, mostly in mountainous areas in the states of central Mexico. Local dialects of Spanish, Mexican Spanish generally, and the Spanish language worldwide have all been influenced, in varying degrees, by Nahuatl. Some Nahuatl words (most notably *chocolate* and *tomato*) have been borrowed through Spanish into other languages around the world.

Mexico City was built on the ruins of Tenochtitlan, making it one of the oldest living cities of America. Many of its districts and natural landmarks retain their original Nahuatl names. Many other cities and towns in Mexico and Central America have also retained their Nahuatl names (whether or not they were originally Mexica or even Nahuatl-speaking towns). A number of town names are hybrids of Nahuatl and Spanish.

Mexican cuisine continues to be based on and flavored by agricultural products contributed by the Mexicas/Aztecs and Mesoamerica, most of which retain some form of their original Nahuatl names. The cuisine has also become a popular part of the cuisine of the United States and other countries around the world, typically altered to suit various national tastes.

The modern Mexican flag bears the emblem of the Mexica migration legend.

Mexico's premier religious icon, the Virgin of Guadalupe has certain similarities to the Mexica earth mother goddess Tonantzin.

For the 1986 FIFA World Cup Adidas designed the official match ball to show in its "triades" Aztec architectural and mural designs .



## Modern views of the Aztec culture

Laurette Séjourné, a French anthropologist, wrote about Aztec and Mesoamerican spirituality. Her depiction of the Aztecs as a spiritual people was so compelling that new religions have been formed based on her writings. Some parts of her work have been adopted by esoteric groups, searching for occult teachings of the pre-Columbian religions. Séjourné never endorsed any of these groups.

Miguel León-Portilla also idealizes the Aztec culture, especially in his early writings.

Others, such as Antonio Velasco, have transformed the writings by Sejourné and León-Portilla into a religious movement. Antonio Velasco Piña has written three books, *Tlacaelel*, *El Azteca entre los Aztecas*, *La mujer dormida debe dar a luz*, and *Regina*. When mixed with the currents of Neopaganism, these books resulted in a new religious movement called "Mexicanista". This movement called for a return to the spirituality of the Aztecs. It is argued that, with this return, Mexico will become the next centre of power. This religious movement mixes Mesoamerican cults with Hindu esoterism. The Mexicanista movement reached the peak of its popularity in the 1990s.

Each of the historical sources has its own unique problems. None of the sources is free from bias and every source must be viewed with some skepticism until cross-checked against other contemporary sources or the archaeological records.

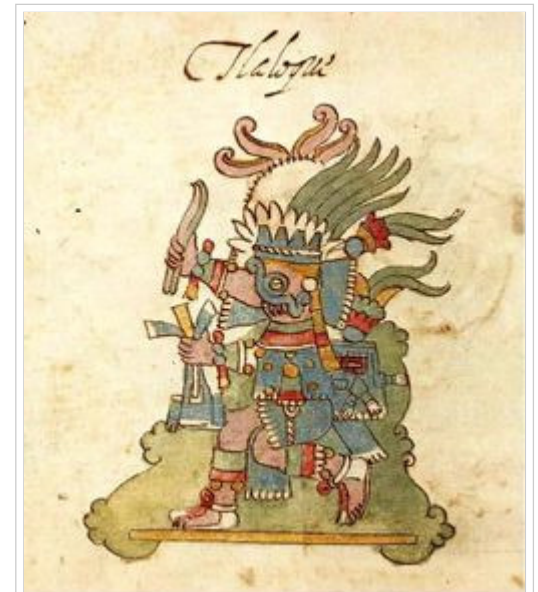
### Aztec codices

There are few extant Aztec codices created before the conquest and these are largely ritual texts. Post-conquest codices, like Codex Mendoza or Codex Rios, were painted by Aztec *tlacuilos* (codex creators), but under the control of Spanish authorities. The possibility of Spanish influence poses potential problems for those studying the post-conquest codices.

### The conquistadors

The accounts of the conquistadors are those of men confronted with a new civilization, which they tried to interpret according to their own culture. Cortés was the most educated, and his letters to Charles V are a valuable firsthand account. Unfortunately, one of his letters is lost and replaced by a posterior text and the others were censored prior their publication. In any case, Cortés was not writing a dispassionate account, but letters justifying his actions and to some extent exaggerating his successes and downplaying his failures.

Bernal Díaz del Castillo accompanied Cortes, but he wrote decades after the fact, he never learned the native languages, and he did not take notes. His account is colorful, but his work is considered erratic and exaggerated.



A painting of Tlaloc, as shown on page 20R of Codex Rios.



Although Francisco López de Gómara was Cortes' chaplain, friend, and confidant, he never visited the New World so his account is based on hearsay.

## Priests and scholars

The accounts of the first priests and scholars, while reflecting their faith and their culture, are important sources. Fathers Diego Durán, Motolinia, and Mendieta wrote with their own religion in mind, Father Duran wrote trying to prove that the Aztec were one of the lost tribes of Israel. Bartolomé de las Casas wrote instead from an apologetic point of view. There are also authors that tried to make a synthesis of the pre-Hispanic cultures, like "Oviedo y Herrera", Jose de Acosta, and Pedro Mártir de Anghera.

Perhaps the most important source about the Aztec are the manuscripts of Bernardino de Sahagún, who worked with the surviving Aztec wise men. He taught Aztec *tlacuilos* to write the original Nahuatl accounts using the Latin alphabet. Because of fear of the Spanish authorities, he maintained the anonymity of his informants, and wrote a heavily censored version in Spanish. Unfortunately the Nahuatl original was not fully translated until the 20th century, thus realising the extent of the censorship of the Spanish version. The original Nahuatl manuscript is known as the Florentine Codex.

## Native authors

Other important sources are the work of Indian and mestizo authors, descendants of the upper classes. These authors include Don Fernando Alvarado Tezozómoc, Chimalpahin Cuauhtlehuanitzin, Juan Bautista de Pomar, and Fernando de Alva Cortés Ixtlilxochitl. Ixtlilxochitl, for example, wrote a history of Texcoco from a Christian point of view. His account of Netzahualcoyotl, an ancestor of Ixtlilxochitl's, has a strong resemblance to the story of King Solomon and portrays Netzahualcoyotl as a monotheist and a critic of human sacrifice.

Diego Muñoz Camargo (1521 - c. 1612), a Tlaxcalan mestizo, wrote the *History of Tlaxcala* six decades after the Spanish conquest. Some parts of his work have a strong Tlaxcala bias.

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# Bede

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**Bede** (IPA: /'bi:d/) (also **Saint Bede**, the **Venerable Bede**, or (from Latin) ***Beda*** (IPA: [beda])), (c. 672 or 673 – May 25, 735), was a Benedictine monk at the Northumbrian monastery of Saint Peter at Monkwearmouth, today part of Sunderland, and of its companion monastery, Saint Paul's, in modern Jarrow (see Wearmouth-Jarrow), both in the Kingdom of Northumbria.

He is well known as an author and scholar, and his most famous work, *Historia ecclesiastica gentis Anglorum* (*The Ecclesiastical History of the English People*) gained him the title "The father of English history". Bede is regarded as a Doctor of the Church by the Roman Catholic Church, a position of theological significance, he is the only man from Great Britain to achieve this designation.

## Name

Bede became known as *Venerable Bede* (Lat.: Beda Venerabilis) soon after his death, but this was not linked to consideration for sainthood by the Roman Catholic Church. In fact, his title is believed to come from a mistranslation of the Latin inscription on his tomb in Durham Cathedral, intended to be *Here lie the venerable bones of Bede*, but wrongly interpreted as *here lie the bones of the Venerable Bede*.

## Life

Almost everything that is known of Bede's life is contained in a notice added by himself when he was 59 to his *Historia* (Book V, Chapter 24), which states that he was placed in the monastery at Wearmouth at the age of seven, that he became deacon in his nineteenth year, and priest in his thirtieth. He implies that he finished the *Historia* at the age of 59, and since the work was finished around 731, he must have been born in 672/3. It is not clear whether he was of noble birth. He was trained by the abbots Benedict Biscop and Ceolfrid, and probably accompanied the latter to

### *The Venerable Bede*



'The Venerable Bede translates John'  
J. D. Penrose (ca. 1902)

### **Doctor of the Church**

<b>Born</b>	ca. 672, Jarrow, Northumbria
<b>Died</b>	25 May 735, Jarrow, Northumbria
<b>Venerated in</b>	Roman Catholic Church, Eastern Orthodox Church, Anglican Communion, Lutheran Church
<b>Canonized</b>	1899 recognised as Doctor of the Church, Rome by Pope Leo XIII
<b>Major shrine</b>	Durham Cathedral, Northumbria.
<b>Feast</b>	25 May
<b>Patronage</b>	English writers and historians; Jarrow



Wearmouth's sister monastery of Jarrow in 682. There he spent his life, prominent activities evidently being teaching and writing, the two of most interest to him. There he also died, on May 25, 735, and was buried, although his body was later transferred to Durham Cathedral.

## Work



Bede in *The Little Lives of the Saints*, illustrated by Charles Robinson in 1904.

His works show that he had at his command all the learning of his time. It was thought that the library at Wearmouth-Jarrow was between 300-500 books, making it one of the largest and most extensive in England. It is clear that Biscop made strenuous efforts to collect books during his extensive travels.

Bede's writings are classed as scientific, historical and theological, reflecting the range of his writings from music and metrics to exegetical Scripture commentaries. He was proficient in patristic literature, and quotes Pliny the Elder, Virgil, Lucretius, Ovid, Horace and other classical writers, but with some disapproval. He knew some Greek, but no Hebrew. His Latin is generally clear and without affectation, and he was a skillful story-teller. However, his style can be considerably more obscure in his Biblical commentaries.

Bede's scriptural commentaries employed the allegorical method of interpretation and his history includes accounts of miracles, which to modern historians has seemed at odds with his critical approach to the materials in his history. Modern studies have shown the important role such concepts played in the world-view of Early Medieval scholars.

### *Historia Ecclesiastica*

The most important and best known of his works is the *Historia ecclesiastica gentis Anglorum*, giving in five books and 400 pages the history of England, ecclesiastical and political, from the time of Caesar to the date of its completion (731). The first twenty-one chapters, treating of the period before the mission of Augustine of Canterbury, are compiled from earlier writers such as Orosius, Gildas, Prosper of Aquitaine, the letters of Pope Gregory I and others, with the insertion of legends and traditions. After 596, documentary sources, which Bede took pains to obtain throughout England and from Rome, are used, as well as oral testimony, which he employed with critical consideration of its value. He cited his references and was very concerned about the provenance of his sources, which created an important historical chain.

Bede's use of something similar to the *anno Domini* era, created by the monk Dionysius Exiguus in 525, throughout *Historia Ecclesiastica* was very influential in causing that era to be adopted thereafter in Western Europe. Specifically, he used *anno ab incarnatione Domini* (in the year from the incarnation of the Lord) or *anno incarnationis dominicae* (in the year of the incarnation of the lord). He never abbreviated the term like the modern AD. Unlike the modern assumption that *anno Domini* was from the birth of Christ, Bede explicitly refers to his incarnation or conception, traditionally on March 25. Within this work, he was also the first writer to use a term similar to the English *before Christ*. In book I chapter 2 he used *ante incarnationis dominicae tempus* (before the time of the incarnation of the lord). However, the latter was not very influential—only this isolated use was repeated by other writers during the rest of the Middle



Ages. The first extensive use of 'BC' (hundreds of times) occurred in *Fasciculus Temporum* by Werner Rolevinck in 1474, alongside years of the world (*anno mundi*).

## Other historical and theological works



A page from a copy of Bede's *Lives of St. Cuthbert*, showing King Athelstan presenting the work to the saint. This manuscript was given to St. Cuthbert's shrine in 934.

Bede lists his works in an autobiographical note at the end of his *Ecclesiastical History*. He clearly considered his commentaries on many books of the Old and New Testaments as important; they come first on this list and dominate it in sheer number. These commentaries reflect the biblical focus of monastic life. "I spent all my life," he wrote, "in this monastery, applying myself entirely to the study of Scriptures." Bede's poem "The Great Forerunner of the Morn," written originally in Latin and translated into English by renowned hymn translator John Mason Neale in 1854, is still sung today as a hymn set to various tunes.

As Chapter 66 of his *On the Reckoning of Time*, in 725 Bede wrote the *Greater Chronicle* (*chronica maiora*), which sometimes circulated as a separate work. For recent events the *Chronicle*, like his *Ecclesiastical History*, relied upon Gildas, upon a version of the *Liber pontificalis* current at least to the papacy of Pope Sergius I (687-701), and other sources. For earlier events he drew on Eusebius's *Chronikoi Kanones*. The dating of events in the *Chronicle* is inconsistent with his other works, using the era of creation, the *anno mundi*.

His other historical works included lives of the abbots of Wearmouth and Jarrow, as well as lives in verse and prose of Saint Cuthbert of Lindisfarne. In his *Letter on the Death of Bede*, Cuthbert, monk and later Abbot of Jarrow, describes Bede as still writing on his deathbed, working on a translation into Old English of the Gospel of John and on Isidore of Seville's *On the Nature of Things*.



## Scientific writings

The noted historian of science, George Sarton, called the eighth century "The Age of Bede"; clearly Bede must be considered as an important scientific figure. He wrote several major works: a work *On the Nature of Things*, modeled in part after the work of the same title by Isidore of Seville; a work *On Time*, providing an introduction to the principles of Easter computus; and a longer work on the same subject; *On the Reckoning of Time*, which became the cornerstone of clerical scientific education during the so-called Carolingian renaissance of the ninth century. He also wrote several shorter letters and essays discussing specific aspects of computus and a treatise on grammar and on figures of speech for his pupils.

*On the Reckoning of Time* (*De temporum ratione*) included an introduction to the traditional ancient and medieval view of the cosmos, including an explanation of how the spherical earth influenced the changing length of daylight, of how the seasonal motion of the Sun and Moon influenced the changing appearance of the New Moon at evening twilight, and a quantitative relation between the changes of the Tides at a given place and the daily motion of the moon. Since the focus of his book was calculation, Bede gave instructions for computing the date of Easter and the related time of the Easter Full Moon, for calculating the motion of the Sun and Moon through the zodiac, and for many other calculations related to the calendar. He gives some information about the months of the Anglo-Saxon calendar in chapter XV. Any codex of Bede's Easter cycle is normally found together with a codex of his "De Temporum Ratione".

For calendric purposes, Bede made a new calculation of the age of the world since the Creation. Due to his innovations in computing the age of the world, he was accused of heresy at the table of Bishop Wilfred, his chronology being contrary to accepted calculations. Once informed of the accusations of these "lewd rustics," Bede refuted them in his Letter to Plegwin.

His works were so influential that late in the ninth century Notker the Stammerer, a monk of the Monastery of St. Gall in Switzerland, wrote that "God, the orderer of natures, who raised the Sun from the East on the fourth day of Creation, in the sixth day of the world has made Bede rise from the West as a new Sun to illuminate the whole Earth".



Depiction of Bede from the Nuremberg Chronicle, 1493.



## Vernacular poetry

According to his disciple Cuthbert, Bede was also *doctus in nostris carminibus* ("learned in our songs"). Cuthbert's letter on Bede's death, the *Epistola Cuthberti de obitu Bedae*, moreover, commonly is understood to indicate that Bede also composed a five line vernacular poem known to modern scholars as *Bede's Death Song*

And he used to repeat that sentence from St. Paul "It is a fearful thing to fall into the hands of the living God," and many other verses of Scripture, urging us thereby to awake from the slumber of the soul by thinking in good time of our last hour. And in our own language,—for he was familiar with English poetry,—speaking of the soul's dread departure from the body:



*The Death of St. Bede*

Facing that enforced journey, no man can be	Fore ðæm nedfere nænig wiorðe
More prudent than he has good call to be,	ðonc snottora ðon him ðearf siæ
If he consider, before his going hence,	to ymbhycgenne ær his hinionge
What for his spirit of good hap or of evil	hwæt his gastæ godes oððe yfles
After his day of death shall be determined.	æfter deað dæge doemed wiorðe.:

As Opland notes, however, it is not entirely clear that Cuthbert is attributing this text to Bede: most manuscripts of the letter do not use a finite verb to describe Bede's presentation of the song, and the theme was relatively common in Old English and Anglo-Latin literature. The fact that Cuthbert's description places the performance of the Old English poem in the context of a series of quoted passages from Sacred Scripture, indeed, might be taken as evidence simply that Bede also cited analogous vernacular texts. On the other hand, the inclusion of the Old English text of the poem in Cuthbert's Latin letter, the observation that Bede "was learned in our song," and the fact that Bede composed a Latin poem on the same subject all point to the possibility of his having written it. By citing the poem directly, Cuthbert seems to imply that its particular wording was somehow important, either since it was a vernacular poem endorsed by a scholar who evidently frowned upon secular entertainment or because it is a direct quotation of Bede's last original composition.



## Manuscript tradition

There are two surviving manuscripts written within a few years of Bede's death:

- St Petersburg Bede
- Cambridge University Library MS.

After this, there is a gap of some 50 years. Manuscripts written before AD 900 include:

- Corbie MS, Bibliotheque Nationale, Paris
- St. Gall Monastery Library

Copies are sparse throughout the 10th century and for much of the 11th century. The greatest number of copies of Bede's work was made in the 12th century, but there was a significant revival of interest in the 14th and 15th centuries. Many of the copies are of English provenance, but also surprisingly many are Continental. Bede's collected works were published in Patrologia Latina vols. 90-95, but this edition was "bad on a monumental scale, and included more *spuria* than any previous edition".

Palatine Library:

- De natura rerum {CPL 1343} [685]/1
- De tabernaculo {CPL 1345} [245]/1
- Commentarius in Parabolas Salomonis {CPL 1351} [759]/1
- In Marci evangelium expositio {CPL 1355} [247]/1
- In Lucae evangelium expositio {CPL 1356} [242], 1ra-157va. excerpts , passim
- Super epistolas catholicas expositio {CPL 1362} [246], 1r-80r. [947], 92r-99r {RB 1639: Bede abbrev.}. excerpt (prologue to 2.Ioh.) , 8ra
- Homilies {CPL 1367} , passim; [563], passim. Hom. I 3 [193], 258ra-vb (exc.); hom. I 8 [193], 166ra-vb (exc.); hom. I 9 [193], 164rb-165ra (exc.); hom. I 12 [193], 177va-179ra; hom. I 15 [193], 174ra-175vb
- Liber hymnorum {CPL 1372} Hymnus 1 [809]/4
- De schematibus et tropis {CPL 1567} [345]/1 (exc.)
- De temporibus liber {CPL 2318} [685]/2
- De temporum ratione {CPL 2320} [685]/3

## Veneration

Pilgrims were claiming miracles at Bede's grave only fifty years after his death. His body was transferred to Durham Cathedral in the mid-11th century and to its present location in the Galilee Chapel there in 1370. It is likely that his remains are authentic. Other relics were claimed by York, Glastonbury and Fulda.



Bede's tomb in Durham Cathedral.



His scholarship and importance to Catholicism were recognised in 1899 when he was declared the only English Doctor of the Church as *St Bede The Venerable*. He is also the only Englishman in Dante's Paradise ( *Paradiso'* X.130), mentioned among theologians and doctors of the church in the same canto as Isidore of Seville and the Scot Richard of St. Victor.

Retrieved from " <http://en.wikipedia.org/wiki/Bede>"

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# Black Death

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The **Black Death**, or the **Black Plague**, was one of the deadliest pandemics in human history, widely thought to have been caused by a bacterium named *Yersinia pestis* (Bubonic plague), but recently attributed by some to other diseases.

The pandemic is thought to have begun in Central Asia or India and spread to Europe during the 1340s. The total number of deaths worldwide is estimated at 75 million people; approximately 25-50 million of which occurred in Europe. The Black Death is estimated to have killed 30% to 60% of Europe's population. It may have reduced the world's population from an estimated 450 million to between 350 and 375 million in 1400.

Bubonic plague is thought to have returned to Europe every generation with varying virulence and mortalities until the 1700s. During this period, more than 100 plague epidemics swept across Europe. On its return in 1603, the plague killed 38,000 Londoners. Other notable 17th century outbreaks were the Italian Plague of 1629-1631, the Great Plague of Seville (1647-1652), the Great Plague of London (1665-1666), the Great Plague of Vienna (1679). There is some controversy over the identity of the disease, but in its virulent form, after the Great Plague of Marseille in 1720-1722, the Great Plague of 1738 (which hit eastern Europe), and the 1771 plague in Moscow, it seems to have disappeared from Europe in the 19th century.

The 14th century eruption of the Black Death had a drastic effect on Europe's population, irrevocably changing the social structure. It was a serious blow to the Roman Catholic Church, and resulted in widespread persecution of minorities such as Jews, foreigners, beggars, and lepers. The uncertainty of daily survival created a general mood of morbidity, influencing people to "live for the moment", as illustrated by Giovanni Boccaccio in *The Decameron* (1353).

## The Great Plague

Medieval people called the fourteenth century catastrophe either the "Great Pestilence" or the "Great Plague". Writers contemporary to the plague referred to the event as the "Great Mortality".

The term "Black Death" was introduced for the first time in 1833. It has been popularly thought that the name came from a striking late-stage sign of the disease, in which the sufferer's skin would blacken due to subepidermal hemorrhages (purpura), and the extremities would darken with gangrene (acral necrosis). However, the term is more likely to refer black in the sense of glum, lugubrious or dreadful.

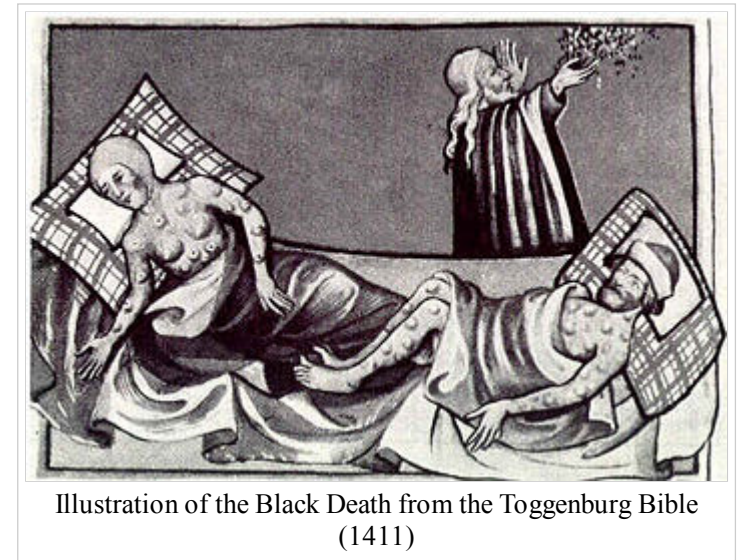


Illustration of the Black Death from the Toggenburg Bible (1411)





The Black Death was, according to chronicles, characterized by buboes (swellings in lymph nodes), like the late 19th century Asian Bubonic plague. Scientists and historians at the beginning of the 20th century assumed that the Black Death was an outbreak of the same disease, caused by the bacterium *Yersinia pestis* and spread by fleas with the help of animals like the black rat (*Rattus rattus*). However, this view has recently been questioned by some scientists and historians. New research suggests Black Death is lying dormant.

## Plague migration

The plague disease, caused by *Yersinia pestis*, is enzootic (commonly present) in populations of ground rodents in central Asia, but it is not entirely clear where the 14th century pandemic started. The most popular theory places the first cases in the steppes of Central Asia, although some speculate that it originated around northern India, and others, such as the historian Michael W. Dols, argue that the historical evidence concerning epidemics in the Mediterranean and specifically the Plague of Justinian point to a probability that the Black Death originated in Africa and spread to central Asia, where it then became entrenched among the rodent population. Nevertheless, from central Asia it was carried east and west along the Silk Road, by Mongol armies and traders making use of the opportunities of free passage within the Mongol Empire offered by the Pax Mongolica. It was reportedly first introduced to Europe at the trading city of Caffa in the Crimea in 1347. After a protracted siege, during which the Mongol army under Janibeg was suffering the disease, they catapulted the infected corpses over the city walls to infect the inhabitants. The Genoese traders fled, bringing the plague by ship into Sicily and the south of Europe, whence it spread.

Whether or not this hypothesis is accurate, it is clear that several pre-existing conditions such as war, famine, and weather contributed to the severity of the Black Death. In China, the thirteenth century Mongol conquest disrupted farming and trading, and led to widespread famine. The population dropped from approximately 120 to 60 million. The 14th century plague is estimated to have killed 30% of the population of China..

In Europe, the Medieval warm period ended sometime towards the end of the fourteenth century, bringing harsher winters and reduced harvests. In the years 1315 to 1317 a catastrophic famine, known as the Great Famine, struck much of North Western Europe. The famine came about as the result of a large population growth in the previous centuries, with the result that, in the early fourteenth century the population began to exceed the number that could be sustained by productive capacity of the land and farmers.

In Northern Europe, new technological innovations such as the heavy plough and the three-field system were not as effective in clearing new fields for harvest as they were in the Mediterranean because the north had poor, clay-like, soil. Food shortages and skyrocketing prices were a fact of life for as much as a century before the plague. Wheat, oats, hay, and consequently livestock, were all in short supply, and their scarcity resulted in hunger and malnutrition. The result was a mounting human vulnerability to disease, due to weakened immune systems.

The European economy entered a vicious circle in which hunger and chronic, low-level debilitating disease reduced the productivity of labourers, and so the grain output was reduced, causing grain prices to increase. This situation was worsened when landowners and monarchs like Edward III of England (r. 1327-1377) and Philip VI of France (r. 1328-1350), out of a fear that their comparatively high standard of living would decline, raised the fines and rents of their tenants. Standards of living then fell drastically, diets grew more limited, and Europeans as a whole experienced more health problems.

In autumn of 1314, heavy rains began to fall, which led to several years of cold and wet winters. The already weak harvests of the north suffered and the



seven-year famine ensued. The Great Famine was the worst in European history, reducing the population by at least ten percent. Records recreated from dendrochronological studies show a hiatus in building construction during the period, as well as a deterioration in climate.

This was the economic and social situation in which the predictor of the coming disaster, a typhoid (Infected Water) epidemic, emerged. Many thousands died in populated urban centres, most significantly Ypres. In 1318 a pestilence of unknown origin, sometimes identified as anthrax, targeted the animals of Europe, notably sheep and cattle, further reducing the food supply and income of the peasantry.

### **Asian outbreak**

The scenario that would place the first outbreak in central Asia agrees with the first reports of outbreaks in China in the early 1330s. The plague struck the Chinese province of Hubei in 1334. On the heels of the European epidemic, a more widespread disaster occurred in China during 1353–1354. Chinese accounts of this wave of the disease record a spread to eight distinct areas: Hubei, Jiangxi, Shanxi, Hunan, Guangdong, Guangxi, Henan and Suiyuan, throughout the Mongol and Chinese empires. Historian William McNeill noted that voluminous Chinese records on disease and social disruption survive from this period, but no one has studied these sources in depth.

It is probable that the Mongols and merchant caravans inadvertently brought the plague from central Asia to the Middle East and Europe. The plague was reported in the trading cities of Constantinople and Trebizond in 1347.

### **European outbreak**



In October 1347, a fleet of Genoese trading ships fleeing Caffa reached the port of Messina in Sicily. By the time the fleet reached Messina, all the crew members were either infected or dead. It is presumed that the ships also carried infected rats and/or fleas. Some ships were found grounded on shorelines, with no one aboard remaining alive.

Looting of these lost ships also helped spread the disease. From there, the plague spread to Genoa and Venice by the turn of 1347–1348.

From Italy the disease spread northwest across Europe, striking France, Spain, Portugal and England by June 1348, then turned and spread east through Germany and Scandinavia from 1348 to 1350. It was introduced in Norway in 1349 when a ship landed at Askøy, then proceeded to spread to Bjørgvin (modern Bergen). Finally it spread to north-western Russia in 1351; however, the plague largely spared some parts of Europe, including the Kingdom of Poland and isolated parts of Belgium and The Netherlands.

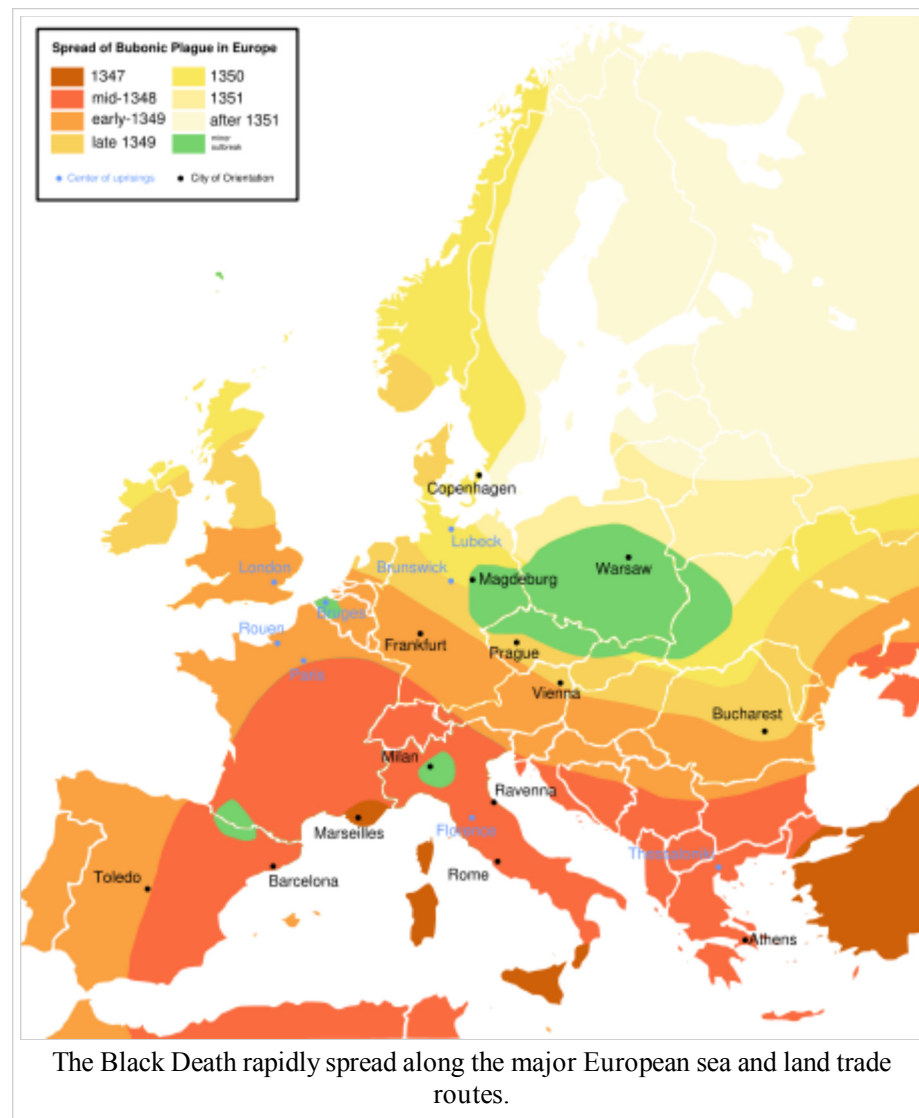
At Siena, Agnolo di Tura wrote:

*They died by the hundreds, both day and night, and all were thrown in ... ditches and covered with earth. And as soon as those ditches were filled, more were dug. And I, Agnolo di Tura ... buried my five children with my own hands ... And so many died that all believed it was the end of the world."*

## Middle Eastern outbreak

The plague struck various countries in the Middle East during the pandemic, leading to serious depopulation and permanent change in both economic and social structures. As it spread to western Europe, the disease also entered the region from southern Russia. By autumn 1347, the plague reached Alexandria in Egypt, probably through the port's trade with Constantinople, and ports on the Black Sea. During 1348, the disease traveled eastward to Gaza, and north along the eastern coast to cities in Lebanon, Syria and Palestine, including Ashkelon, Acre, Jerusalem, Sidon, Damascus, Homs, and Aleppo. In 1348–49, the disease reached Antioch. The city's residents fled to the north, most of them dying during the journey, but the infection had been spread to the people of Asia Minor.

Mecca became infected in 1349. During the same year, records show the city of Mawsil (Mosul) suffered a massive epidemic, and the city of Baghdad experienced a second round of the disease. In 1351, Yemen experienced an outbreak of the plague. This coincided with the return of King Mujahid of Yemen





from imprisonment in Cairo. His party may have brought the disease with them from Egypt.

## Recurrence

In England, in the absence of census figures, historians propose a range of pre-incident population figures from as high as 7 million to as low as 4 million in 1300, and a post-incident population figure as low as 2 million. By the end of 1350 the Black Death had subsided, but it never really died out in England over the next few hundred years: there were further outbreaks in 1361–62, 1369, 1379–83, 1389–93, and throughout the first half of the 15th century. Plague often killed 10% of a community in less than a year - in the worst epidemics, such as at Norwich in 1579 and Newcastle in 1636, as many as 30 or 40%. The most general outbreaks in Tudor and Stuart England, all coinciding with years of plague in Germany and the Low Countries, seem to have begun in 1498, 1535, 1543, 1563, 1589, 1603, 1625 and 1636.

The plague repeatedly returned to haunt Europe and the Mediterranean throughout the fourteenth to seventeenth centuries, and although bubonic plague still occurs in isolated cases today, the Great Plague of London in 1665–1666 is generally recognized as one of the last major outbreaks.

Late outbreaks in central Europe include the Italian Plague of 1629-1631, which is associated with troop movements during the Thirty Years' War, and the Great Plague of Vienna in 1679. About 200,000 people in Moscow died of the disease from 1654 to 1656. The last plague outbreak ravaged Oslo in 1654. In 1656 the plague killed about half of Naples's 300,000 inhabitants. Amsterdam was ravaged in 1663–1664, with a mortality given as 50,000.

A plague epidemic that followed the Great Northern War (1700-1721, Sweden v. Russia and allies) wiped out almost 1/3 of the population in the region. An estimated one-third of East Prussia's population died in the plague of 1709-1711. The plague of 1710 killed two-thirds of the inhabitants of Helsinki. An outbreak of plague between 1710 and 1711 claimed a third of the Stockholm's population.

During the Great Plague of 1738, the epidemic struck again, this time in Eastern Europe, spreading from Ukraine to the Adriatic Sea, then onwards by ship to infect some in Tunisia. The destruction in several Romanian cities such as Timișoara was formidable, claiming tens of thousands of lives.

## Causes of bubonic infection

### Bubonic plague theory

Plague and the ecology of *Yersinia pestis* in soil, and in rodent and (possibly and importantly) human ectoparasites are reviewed and summarized by Michel Drancourt in modeling sporadic, limited and large plague outbreaks. Modelling of epizootic plague observed in prairie dogs suggests that occasional reservoirs of infection such as an infectious carcass, rather than "blocked fleas" are a better explanation for the observed epizootic behaviour of the disease in nature.

An interesting hypothesis about the epidemiology—the appearance, spread and especially disappearance—of plague from Europe is that the flea-bearing rodent reservoir of disease was eventually succeeded by another species. The black rat (*Rattus rattus*) was originally introduced from Asia to Europe by trade, but was subsequently displaced and succeeded throughout Europe by the bigger brown rat (*Rattus norvegicus*). The brown rat was not as prone to transmit the



germ-bearing fleas to humans in large die-offs due to a different rat ecology. The dynamic complexities of rat ecology, herd immunity in that reservoir, interaction with human ecology, secondary transmission routes between humans with or without fleas, human herd immunity and changes in each might explain the eruption, dissemination, and re-eruptions of plague that continued for centuries until its (even more) unexplained disappearance.

## Signs and symptoms

The three forms of plague brought an array of signs and symptoms to those infected. The septicaemic plague is a form of blood poisoning, and pneumonic plague is an airborne plague that attacks the lungs before the rest of the body. The classic sign of bubonic plague was the appearance of buboes in the groin, the neck and armpits, which oozed pus and bled. These buboes were caused by internal bleeding. Victims underwent damage to the skin and underlying tissue, until they were covered in dark blotches. Most victims died within four to seven days after infection. When the plague reached Europe, it first struck port cities and then followed the trade routes, both by sea and land.

The bubonic plague was the most commonly seen form during the Black Death, with a mortality rate of thirty to seventy-five percent and symptoms including fever of 38 - 41 ° C (101-105 °F), headaches, painful aching joints, nausea and vomiting, and a general feeling of malaise. Of those who contracted the bubonic plague, 4 out of 5 died within eight days. Pneumonic plague was the second most commonly seen form during the Black Death, with a mortality rate of ninety to ninety-five percent. Symptoms included fever, cough and blood-tinged sputum. As the disease progressed, sputum became free flowing and bright red. Septicaemic plague was the least common of the three forms, with a mortality rate close to one hundred percent. Symptoms were high fevers and purple skin patches ( purpura due to DIC ( Disseminated intravascular coagulation)).

David Herlihy identifies another potential sign of the plague: freckle-like spots and rashes. Sources from Viterbo, Italy refer to "the signs which are vulgarly called *lenticulae*", a word which bears resemblance to the Italian word for freckles, *lentiggini*. These are not the swellings of buboes, but rather "darkish points or pustules which covered large areas of the body".

## Alternative explanations

### Not bubonic plague?

Recent scientific and historical investigations have led some researchers to doubt the long-held belief that the Black Death was an epidemic of bubonic plague. For example, in 2000, Gunnar Karlsson pointed out that the Black Death killed between half and two-thirds of the population of Iceland, although there were no rats in Iceland at this time. Rats were accidentally introduced in the nineteenth century, and have never spread beyond a small number of urban areas attached to seaports. In the fourteenth century there were no urban settlements in Iceland. Iceland was unaffected by the later plagues which are known to have been spread by rats. However, without a rodent reservoir, pneumonic plague can be transmitted from human to human by respiratory transmission, and bubonic and septicemic plague can be transmitted from human to human by human-biting fleas.

In addition, it was previously argued that tooth pulp tissue from a fourteenth-century plague cemetery in Montpellier tested positive for molecules associated with *Y. pestis*. Similar findings were reported in a 2007 study, but other studies have yielded negative results. In September 2003, a team of researchers from



Oxford University tested 121 teeth from sixty-six skeletons found in fourteenth-century mass graves. The remains showed no genetic trace of *Y. pestis*.

In 2002, Samuel K. Cohn published the controversial article, “The Black Death: End of the Paradigm.” In the article Cohn argues that the medieval and modern plagues were two distinct diseases differing in their symptoms, signs and epidemiologies. Cohn asserts that the agent causing the bubonic plague, *Yersinia pestis*, “was first cultured at Hong Kong in 1894.” In turn, the medieval plague that struck Europe, according to Cohn, was not the bubonic plague carried by fleas on rats as traditionally viewed by scientists and historians alike.

Cohn’s argument that medieval plague was not rat-based is supported by his claims that the modern and medieval plagues hit in different seasons, had unparalleled cycles of recurrence, and varied in the manner in which immunity was acquired. The modern plague reaches its peak in seasons with high humidity and a temperature of between 50 °F (10 °C) and 78 °F (26 °C), as rats’ fleas thrive in this climate. In comparison, the Black Death is recorded as hitting in periods where rats’ fleas could not survive, i.e. hot Mediterranean summers above 78 °F (26 °C). In terms of recurrence, the Black Death on average did not resurface in an area for between five and fifteen years after it hit. Contrastingly, modern plagues often hit an affected area yearly for an average of eight to forty years. Last, Cohn presents evidence displaying that individuals gained immunity to the Black Death during the fourteenth century, unlike the modern plague. He states that in 1348 two-thirds of those suffering from plague died in comparison to one-twentieth by 1382. Statistics contrastingly display that immunity to the modern plague has not been acquired.

Cohn also points out that in the latter part of the nineteenth century buboes appeared mostly on an infected person's groin, while medieval primary sources indicate that the Black Death caused buboes to appear on necks, armpits, and groins. This difference, he argues, ties in with the fact that fleas caused the modern plague and not the Black Death. Since flea bites do not usually reach beyond a person's ankles, in the modern period the groin was the nearest lymph node that could be infected. As the neck and the armpit were often infected during the medieval plague, it appears less likely that these infections were caused by fleas on rats.

In 1984, Graham Twigg published *The Black Death: A Biological Reappraisal*, where he argued that the climate and ecology of Europe and particularly England made it nearly impossible for rats and fleas to have transmitted bubonic plague. Combining information on the biology of *Rattus rattus*, *Rattus norvegicus*, and the common fleas *Xenopsylla cheopis* and *Pulex irritans* with modern studies of plague epidemiology, particularly in India, where the *R. rattus* is a native species and conditions are nearly ideal for plague to be spread, Twigg concludes that it would have been nearly impossible for *Yersinia pestis* to have been the causative agent of the plague, let alone its explosive spread across Europe. Twigg also shows that the common theory of entirely pneumonic spread does not hold up. He proposes, based on a re-examination of the evidence and symptoms, that the Black Death may actually have been an epidemic of pulmonary anthrax caused by *Bacillus anthracis*.

### **An Ebola-like virus?**

In 2001, epidemiologists Susan Scott and Christopher Duncan from Liverpool University proposed the theory that the Black Death might have been caused by an Ebola-like virus, not a bacterium. Their rationale was that this plague spread much faster and the incubation period was much longer than other confirmed *Y.pestis*-caused plagues. A longer period of incubation will allow carriers of the infection to travel farther and infect more people than a shorter one. When the primary vector is humans, as opposed to birds, this is of great importance. Studies of English church records indicate an unusually long incubation period in



excess of thirty days, which could account for the rapid spread, topping at 2 miles/day, as this was the average speed a traveler would move across the countryside. The plague also appeared in areas of Europe where rats were uncommon, areas such as Iceland. Epidemiological studies suggest the disease was transferred between humans (which happens rarely with *Yersinia pestis* and very rarely for *Bacillus anthracis*), and some genes that determine immunity to Ebola-like viruses are much more widespread in Europe than in other parts of the world. Their research and findings are thoroughly documented in *Biology of Plagues*. More recently the researchers have published computer modeling demonstrating how the Black Death has made around 10% of Europeans resistant to HIV.

### **Anthrax and others?**

In a similar vein, historian Norman F. Cantor, in his 2001 book *In the Wake of the Plague*, suggests the Black Death might have been a combination of pandemics including a form of anthrax, a cattle murrain. He cites many forms of evidence including: reported disease symptoms not in keeping with the known effects of either bubonic or pneumonic plague, the discovery of anthrax spores in a plague pit in Scotland, and the fact that meat from infected cattle was known to have been sold in many rural English areas prior to the onset of the plague. It is notable that the means of infection varied widely, from human-to-human contact as in Iceland (rare for plague and cutaneous *Bacillus anthracis*) to infection in the absence of living or recently dead humans, as in Sicily (which speaks against most viruses). Also, diseases with similar symptoms were generally not distinguished between in that period (see *murrain* above), at least not in the Christian world; Chinese and Muslim medical records can be expected to yield better information which however only pertains to the specific disease(s) which affected these areas.

### **Counter-arguments**

Historians who believe that the Black Death was indeed caused by bubonic plague have put forth several counterarguments.

The uncharacteristically rapid spread of the plague could be due to respiratory droplet transmission, and low levels of immunity in the European population at that period. Historical examples of pandemics of other diseases in populations without previous exposure, such as smallpox and tuberculosis transmitted by aerosol amongst Native Americans, show that the first instance of an epidemic spreads faster and is far more virulent than later instances among the descendants of survivors, for whom natural selection has produced characteristics that are protective against the disease.

Michael McCormick, a historian offering the idea that bubonic plague was indeed the source of the Black Death, explains how archaeological research has confirmed that the black or "ship" rat was indeed present in Roman and medieval Europe. Also, the DNA of *Y. pestis* has been identified in the teeth of the human victims, the same DNA which has been widely believed to have come from the infected rodents. He does not deny the point that there exists a pneumonic expression of *Y. pestis* transmitted by human-to-human contact, but he states that this does not spread as easily as previous historians have imagined. The rat, according to him, is the only plausible agent of transmission that could have led to such a wide and quick spread of the plague. This is because of rats' proclivity to associate with humans and the ability of their blood to withstand very large concentrations of the bacillus. When rats died, their fleas (which were infected with bacterial blood) found new hosts in the form of humans and animals. The Black Death tapered off in the eighteenth century, and according to McCormick, a rat-based theory of transmission could explain why this occurred. The plague(s) had killed a lot of the human host population of Europe and dwindling cities meant that more people were isolated, and so geography and demography did not allow rats to have as much contact with Europeans. Greatly



curtailed communication and transportation systems due to the drastic decline in human population also hindered the replenishment of devastated rat colonies.

## CCR5 delta 32

About 10 percent of Europeans have a gene mutation known as CCR5 delta 32 that disables a protein the Human Immunodeficiency Virus (HIV-1) uses to slip into immune system cells. Those with one copy of this gene have some immunity to HIV and those with two copies are virtually immune to the virus. This genetic mutation arose about 700 years ago and it has been suggested by some researchers that survivors of bubonic plague may have selected for the mutation. However, work published in 2003 suggests that smallpox was a more likely driver for the rise of the mutation.

## A Malthusian crisis

In addition, various historians have adopted yet another theory for the cause of the Black Plague, one that points to social, agricultural, and sometimes economic causes. Often known as the Malthusian limit, scholars use this term to express, and/or explain, certain tragedies throughout history. In his 1798 *Essay on the Principle of Population*, Thomas Malthus asserted that eventually humans would reproduce so greatly that they would go beyond the limits of food supplies; once they reached this point, some sort of "reckoning" was inevitable. While the Black Death may appear to be a "reckoning" of this sort, it was in fact an external, unpredictable factor and does not therefore fit into the Malthusian theory. In his book, *The Black Death and the Transformation of the West*, David Herlihy explores this idea of plague as an inevitable crisis wrought on humanity in order to control the population and human resources. In the book *The Black Death; A Turning Point in History?* (ed. William M. Bowsky) he writes "implies that the Black Death's pivotal role in late medieval society... was now being challenged. Arguing on the basis of a neo-Malthusian economics, revisionist historians recast the Black Death as a necessary and long overdue corrective to an overpopulated Europe."

Herlihy examines the arguments against the Malthusian crisis, stating "if the Black Death was a response to excessive human numbers it should have arrived several decades earlier" due to the population growth of years before the outbreak of the Black Death. Herlihy also brings up other, biological factors that argue against the plague as a "reckoning" by arguing "the role of famines in affecting population movements is also problematic. The many famines preceding the Black Death, even the 'great hunger' of 1314 to 1317, did not result in any appreciable reduction in population levels". Finally Herlihy concludes the matter stating, "the medieval experience shows us not a Malthusian crisis but a stalemate, in the sense that the community was maintaining at stable levels very large numbers over a lengthy period" and states that the phenomenon should be referred to as more of a deadlock, rather than a crisis, to describe Europe before the epidemics.

## Consequences

### Depopulation





Figures for the death toll vary widely by area and from source to source as new research and discoveries come to light. It killed an estimated 75-200 million people in the 14th century. According to medieval historian Philip Daileader in 2007:

The trend of recent research is pointing to a figure more like 45% to 50% of the European population dying during a four-year period. There is a fair amount of geographic variation. In Mediterranean Europe and Italy, the South of France and Spain, where plague ran for about four years consecutively, it was probably closer to 80% to 75% of the population. In Germany and England . . . it was probably closer to 20%.

## Asia

Estimates of the demographic impact of the plague in Asia are based on both population figures during this time and estimates of the disease's toll on population centers. The initial outbreak of plague in the Chinese province of Hubei in 1334 claimed up to ninety percent of the population, an estimated five million people. During 1353–54, outbreaks in eight distinct areas throughout the Mongol/Chinese empires may have possibly caused the death of two-thirds of China's population, often yielding an estimate of twenty-five million deaths. China had several epidemics and famines from 1200 to 1350s and its population decreased from an estimated 125 million to 65 million in the late 14th century. Japan and Korea had no outbreak of plague.

## Europe and Middle East

It is estimated that between one-quarter and one-third of the European population (35 million people) died from the outbreak between 1348 and 1350. Contemporary observers, such as Jean Froissart, estimated the toll to be one-third—less an accurate assessment than an allusion to the Book of Revelation meant to suggest the scope of the plague. Many rural villages were depopulated, mostly the smaller communities, as the few survivors fled to larger towns and cities leaving behind abandoned villages. The Black Death hit the culture of towns and cities disproportionately hard, although rural areas (where most of the population lived) were also significantly affected. A few rural areas, such as Eastern Poland and Lithuania, had such low populations and were so isolated that the plague made little progress. Parts of Hungary and, in modern Belgium, the Brabant region, Hainaut and Limbourg, as well as Santiago de Compostella, were unaffected for unknown reasons (some historians have assumed that the presence of resistant blood groups in the local population helped them resist the disease, although these regions would be touched by the second plague outbreak in 1360–63 and later during the numerous resurgences of the plague). Other areas which escaped the plague were isolated mountainous regions (e.g. the Pyrenees). Larger cities were the worst off, as population densities and close living quarters made disease transmission easier. Cities were also strikingly filthy, infested with lice, fleas and rats, and subject to diseases related to malnutrition and poor hygiene. According to journalist John Kelly, "[w]oeefully inadequate sanitation made medieval urban Europe so disease-ridden, no city of any size could maintain its population without a constant influx of immigrants from the countryside". (p. 68) The influx of new citizens facilitated the movement of the plague between communities, and contributed to the longevity of the plague within larger communities.

In Italy, Florence's population was reduced from 110,000 or 120,000 inhabitants in 1338 to 50,000 in 1351. Between 60 to 70% of Hamburg and Bremen's population died. In Provence, Dauphiné and Normandy, historians observe a decrease of 60% of fiscal hearths. In some regions, two thirds of the population was annihilated. In the town of Givry, in the Bourgogne region in France, the friar, who used to note 28 to 29 funerals a year, recorded 649 deaths in 1348, half of them in September. About half of Perpignan's population died in several months (only two of the eight physicians survived the plague). England lost 70% of its population, which declined from 7 million before the plague, to 2 million in 1400.



All social classes were affected, although the lower classes, living together in unhealthy places, were most vulnerable. Alfonso XI of Castile was the only European monarch to die of the plague, but Peter IV of Aragon lost his wife, his daughter and a niece in six months. Joan of England, daughter of Edward III, died in Bordeaux on her way to Castile to marry Alfonso's son, Pedro. The Byzantine Emperor lost his son, while in the kingdom of France, Joan of Navarre, daughter of Louis X *le Hutin* and of Margaret of Burgundy, was killed by the plague, as well as Bonne of Luxembourg, the wife of the future John II of France.

Furthermore, resurgences of the plague in later years must also be counted: in 1360–62 (the "little mortality"), in 1366–69, 1374–75, 1400, 1407, etc. The plague was not eradicated until the 19th century.

The precise demographic impact of the disease in the Middle East is very difficult to calculate. Mortality was particularly high in rural areas, including significant areas of Palestine and Syria. Many surviving rural people fled, leaving their fields and crops, and entire rural provinces are recorded as being totally depopulated. Surviving records in some cities reveal a devastating number of deaths. The 1348 outbreak in Gaza left an estimated 10,000 people dead, while Aleppo recorded a death rate of 500 a day during the same year. In Damascus, at the disease's peak in September and October 1348, a thousand deaths were recorded every day, with overall mortality estimated at between 25 and 38 percent. Syria lost a total of 400,000 people by the time the epidemic subsided in March 1349. In contrast to some higher mortality estimates in Asia and Europe, scholars such as John Fields of Trinity College in Dublin believe the mortality rate in the Middle East was less than one-third of the total population, with higher rates in selected areas.

## **Social and economic effects**



The governments of Europe had no apparent response to the crisis because no one knew its cause or how it spread. In 1348, the plague spread so rapidly that before any physicians or government authorities had time to reflect upon its origins, about a third of the European population had already perished. In crowded cities, it was not uncommon for as much as fifty percent of the population to die. Europeans living in isolated areas suffered less, and monasteries and priests were especially hard hit since they cared for the Black Death's victims. Because fourteenth century healers were at a loss to explain the cause, Europeans turned to astrological forces, earthquakes, and the poisoning of wells by Jews as possible reasons for the plague's emergence. No one in the fourteenth century considered rat control a way to ward off the plague, and people began to believe only God's anger could produce such horrific displays. There were many attacks against Jewish communities. In August of 1349, the Jewish communities of Mainz and Cologne were exterminated. In February of that same year, Christians murdered two thousand Jews in Strasbourg. Where government authorities were concerned, most monarchs instituted measures that prohibited exports of foodstuffs, condemned black market speculators, set price controls on grain, and outlawed large-scale fishing. At best, they proved mostly unenforceable, and at worst they contributed to a continent-wide downward spiral. The hardest hit lands, like England, were unable to buy grain abroad: from France because of the prohibition, and from most of the rest of the grain producers because of crop failures from shortage of labour. Any grain that could be shipped was eventually taken by pirates or looters to be sold on the black market. Meanwhile, many of the largest countries, most notably England and Scotland, had been at war, using up much of their treasury and exacerbating inflation. In 1337, on the eve of the first wave of the Black Death, England and France went to war in what would become known as the Hundred Years' War. Malnutrition, poverty, disease and hunger, coupled with war, growing inflation and other economic concerns made Europe in the mid-fourteenth century ripe for tragedy.

The plague did more than just devastate the medieval population; it caused a substantial change in economy and society in all areas of the world. Economic historians like Fernand Braudel have concluded that Black Death exacerbated a recession in the European economy that had been under way since the beginning of the century. As a consequence, social and economic change greatly accelerated during the fourteenth and fifteenth centuries. The church's power was weakened, and in some cases, the social roles it had played were taken over by secular groups. Also the plague led to peasant uprisings in many parts of Europe, such as France (the Jacquerie rebellion), Italy (the Ciompi rebellion, which swept the city of Florence), and in England (the English Peasant Revolt).

Europe had been overpopulated before the plague, and a reduction of 30% to 50% of the population could have resulted in higher wages and more available land and food for peasants because of less competition for resources. However, for reasons that are still debated, population levels declined after the Black Death's first outbreak until around 1420 and did not begin to rise again until 1470, so the initial Black Death event on its own does not entirely provide a satisfactory explanation to this extended period of decline in prosperity. See Medieval demography for a more complete treatment of this issue and current theories on why improvements in living standards took longer to evolve.

The great population loss brought economic changes based on increased social mobility, as depopulation further eroded the peasants' already weakened obligations to remain on their traditional holdings. In the wake of the drastic population decline brought on by the plague, authorities in Western Europe worked



Monks, disfigured by the plague, being blessed by a priest. England, 1360–75



to maintain social order through instituting wage controls. These governmental controls were set in place to ensure that workers received the same salary post-plague as they had before the onslaught of the Black Death. Within England, for example, the Ordinance of Labourers, created in 1349, and the Statute of Labourers, created in 1351, restricted both wage increases and the relocation of workers. If workers attempted to leave their current post, employers were given the right to have them imprisoned. The Statute was strictly enforced in some areas. For example, 7,556 people in the county of Essex were fined for deviating from the Statute in 1352. However, despite examples such as Essex County, the Statute quickly proved to be difficult to enforce due to the scarcity of labour.

In Western Europe, the sudden shortage of cheap labour provided an incentive for landlords to compete for peasants with wages and freedoms, an innovation that, some argue, represents the roots of capitalism, and the resulting social upheaval "caused" the Renaissance, and even the Reformation. In many ways the Black Death and its aftermath improved the situation of surviving peasants, notably by the end of the 15th century. In Western Europe, labourers gained more power and were more in demand because of the shortage of labour. In gaining more power, workers following the Black Death often moved away from annual contracts in favour of taking on successive temporary jobs that offered higher wages. Workers such as servants now had the opportunity to leave their current employment to seek better-paying, more attractive positions in areas previously off limits to them. Another positive aspect of the period was that there was more fertile land available to the population; however, the benefits would not be fully realized until 1470, nearly 120 years later, when overall population levels finally began to rise again.

In Eastern Europe, by contrast, renewed stringency of laws tied the remaining peasant population more tightly to the land than ever before through serfdom. Sparsely populated Eastern Europe was less affected by the Black Death and so peasant revolts were less common in the fourteenth and fifteenth centuries, not occurring in the east until the sixteenth through nineteenth centuries. Since it is believed to have in part caused the social upheavals of fourteenth- and fifteenth-century Western Europe, some see the Black Death as a factor in the Renaissance and even the Reformation in Western Europe. Therefore, some historians have cited the smaller impact of the plague as a contributing factor in Eastern Europe's *failure* to experience either of these movements on a similar scale. Extrapolating from this, the Black Death may be seen as partly responsible for Eastern Europe's considerable lag in the move to liberalise government by restricting the power of the monarch and aristocracy. A common example is that by the mid-sixteenth century, England began the process that ultimately ended serfdom there and gave rise to representative government; meanwhile, Russia did not formally abolish serfdom until an autocratic tsar decreed so in 1861.

Furthermore, the plague's great population reduction brought cheaper land prices, more food for the average peasant, and a relatively large increase in per capita income among the peasantry, if not immediately, in the coming century. Since the plague left vast areas of farmland untended, they were made available for pasture and put more meat on the market; the consumption of meat and dairy products went up, as did the export of beef and butter from the Low Countries, Scandinavia and northern Germany. However, the upper class often attempted to stop these changes, initially in Western Europe, and more forcefully and successfully in Eastern Europe, by instituting sumptuary laws. These regulated what people (particularly of the peasant class) could wear, so that nobles could ensure that peasants did not begin to dress and act as a higher class member with their increased wealth. Another tactic was to fix prices and wages so that peasants could not demand more with increasing value. This was met with varying success depending on the amount of rebellion it inspired; such a law was one of the causes of the 1381 Peasants' Revolt in England.

The increase in social mobility that the Black Death contributed to may have been one means by which the Great Vowel Shift was propagated.

## Persecutions

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As previously mentioned in reference to the plague's sociocultural impacts, renewed religious fervor and fanaticism bloomed in the wake of the Black Death. This spelled trouble for minority populations of all sorts, as some Christians targeted "various groups such as Jews, friars, foreigners, beggars, pilgrims", lepers and gypsies, thinking that they were to blame for the crisis.

Lepers, and other individuals with skin diseases such as acne or psoriasis, were singled out and exterminated throughout Europe. Anyone with leprosy was believed to show an outward sign of a defect of the soul.

Differences in cultural and lifestyle practices between Jews and Christians also led to persecution. Jews were charged by some with having provoked the plague. Because Jews had a religious obligation to be ritually clean, they did not use water from public wells. And so as previously mentioned, Jews were suspected of causing the plague by deliberately poisoning wells. Typically, comparatively fewer Jews died from the Black Death, in part due to rabbinical laws that promoted habits that were generally cleaner than that of a typical medieval villager. Jews were also socially isolated, often living in Jewish ghettos. Because isolated people were less likely to be infected, there were differences in mortality rates between Jews and non-Jews and this led to raised suspicions in people who had no concept of bacterial transmission.

Christian mobs attacked Jewish settlements across Europe; by 1351, sixty major and 150 smaller Jewish communities had been destroyed, and more than 350 separate massacres had occurred. This persecution reflected more than ethnic hatred. In many places, attacking Jews was a way to criticize the monarchs who protected them (Jews were under the protection of the king, and often called the "royal treasure"), and monarchic fiscal policies, which were often administered by Jews. An important legacy of the Black Death was to cause the eastward movement of what was left of north European Jewry to Poland and Russia, where it remained until the twentieth century.

According to Joseph P. Byrne in his book, *The Black Plague*, women also faced persecution during the Black Death. Muslim women in Cairo became scapegoats when the plague struck. Byrne writes that in 1438, the sultan of Cairo was informed by his religious lawyers that the arrival of the plague was Allah's punishment for the sin of fornication and that in accordance with this theory, a law was set in place stating that women were not allowed to make public appearances as they may tempt men into sin. Byrne describes that this law was only lifted when "the wealthy complained that their female servants could not shop for food."

## Religion



The burning of Jews in 1349 (from a European chronicle written on the Black Death between 1349 and 1352)



The Black Death led to cynicism toward religious officials who could not keep their promises of curing plague victims and banishing the disease. No one, the Church included, was able to cure or accurately explain the reasons for the plague outbreaks. One theory of transmission was that it spread through air, and was referred to as *miasma*, or 'bad air'. This increased doubt in the clergy's abilities. Extreme alienation with the Church culminated in either support for different religious groups such as the flagellants, which from their late 13th century beginnings grew tremendously during the opening years of the Black Death, and later to a pursuit of pleasure and hedonism. It was a common belief at the time that the plague was due to God's wrath, caused by the sins of mankind; In response, the flagellants travelled from town to town, whipping themselves in an effort to mimic the sufferings of Jesus prior to his crucifixion. Originating in Germany, several miraculous tales emerged from their efforts, such as a child being revived from the dead, and a talking cow. These stories further fuelled the belief that the flagellants were more effective than church leaders. It may have been that the flagellant's later involvement in hedonism was an effort to accelerate or absorb God's wrath, to shorten the time with which others suffered. More likely, the focus of attention and popularity of their cause contributed to a sense that the world itself was ending, and that their individual actions were of no consequence.

Sadly, the flagellants may have more likely contributed to the actual spreading of the disease, rather than its cure. Presumably, there were towns that the flagellants visited or passed through which were largely unaffected by the plague until that point, only to be infected by fleas carried either by the flagellant's followers, or the flagellants themselves. This is a common ironic theme in how individuals at the time dealt with the plague -- that in nearly all cases, the methods employed to defend against the plague encouraged its spread.

The Black Death hit the monasteries very hard because of their proximity with the sick, who sought refuge there, so that there was a severe shortage of clergy after the epidemic cycle. This resulted in a mass influx of hastily-trained and inexperienced clergy members, many of whom knew little of the discipline and rigor of the veterans they replaced. This led to abuses by the clergy in years afterwards and a further deterioration of the position of the Church in the eyes of the people.

## Other effects



Flagellants practiced self-flogging (whipping of oneself) to atone for sins. The movement became popular after general disillusionment with the church's reaction to the Black Death



After 1350, European culture in general turned very morbid. The general mood was one of pessimism, and contemporary art turned dark with representations of death.

In retrospect, it seemed like everything the people thought to do at the time simply made the problem worse. For example, since many equated the plague with God's wrath against sin, and that cats were often considered in league with the Devil, cats were killed en masse. Had this bias toward cats not existed, local rodent populations could have been kept down, lessening the spread of plague-infected fleas from host to host.

The practice of alchemy as medicine, previously considered to be normal for most doctors, slowly began to wane as the citizenry began to realize that it seldom affected the progress of the epidemic and that some of the potions and "cures" used by many alchemists only served to worsen the condition of the sick. Liquor, originally made by alchemists, was commonly applied as a remedy for the Black Death, and, as a result, the consumption of liquor in Europe rose dramatically after the plague. The Church often tried to meet the medical need.

A plague doctor's duties were often limited to visiting victims to verify whether they had been afflicted or not. Surviving records of contracts drawn up between cities and plague doctors often gave the plague doctor enormous latitude and heavy financial compensation, given the risk of death involved for the plague doctor himself. Most plague doctors were essentially volunteers, as qualified doctors had (usually) already fled, knowing they could do nothing for those affected.

Considered an early form of hazmat suit, a plague doctor's clothing consisted of:

- **A wide-brimmed black hat worn close to the head.** At the time, a wide-brimmed black hat would have been identified a person as a doctor, much the same as how nowadays a hat may identify chefs, soldiers, and workers. The wide-brimmed hat may have also been used as partial shielding from infection.
- **A primitive gas mask in the shape of a abby's beak.** A common belief at the time was that the plague was spread by birds. There may have been a belief that by dressing in a bird-like mask, the wearer could draw the plague away from the patient and onto the garment the plague doctor wore. The mask also included red glass eyepieces, which were thought to make the wearer impervious to evil. The beak of the mask was often filled with strongly aromatic herbs and spices to overpower the miasmas or "bad air" which was also thought to carry the plague. At the very least, it may have served a dual purpose of dulling the smell of unburied corpses, sputum, and ruptured bouboules in plague victims.
- **A long, black overcoat.** The overcoat worn by the plague doctor was tucked in behind the beak mask at the neckline to minimize skin exposure. It extended to the feet, and was often coated head to toe in suet or wax. A coating of suet may have been used with the thought that the plague could be drawn away from the flesh of the infected victim and either trapped by the suet, or repelled by the wax. The coating of wax likely served as protection against respiratory droplet contamination, but it was not known at the time if coughing carried the plague. It was likely that the overcoat was waxed to simply prevent sputum or



Inspired by Black Death, *Danse Macabre* is an allegory on the universality of death and a common painting motif in late-medieval periods



*Doktor Schnabel von Rom* ("Doctor Beak of Rome"), engraving by Paul Fürst, 1656. During the period of the Black Death and the Great Plague of London, **plague doctors** (physicians) visited victims of the plague.



other bodily fluids from clinging to it.

- **A wooden cane.** The cane was used to both direct family members to move the patient, other individuals nearby, and possibly to examine the patient with directly. Its precise purpose with relation to the plague victim isn't known.
- **Leather breeches.** Similar to waders worn by fishermen, leather breeches were worn beneath the cloak to protect the legs and groin from infection. Since the plague often tended to manifest itself first in the lymph nodes, particular attention was paid to protecting the armpits, neck, and groin.

The plague doctor's clothing also had a secondary use: to intentionally frighten and warn onlookers. The bedside manner common to doctors of today did not exist at the time; part of the appearance of the plague doctor's clothing was meant to frighten onlookers, and to communicate that something very, very wrong was nearby, and that they too might become infected. It's not known how often or widespread plague doctors were, or how effective they were in treatment of the disease. It's likely that while offering some protection to the wearer, they may have actually contributed more to the spreading of the disease than its treatment, in that the plague doctor unknowingly served as a vector for infected fleas to move from host to host.

Although the Black Death highlighted the shortcomings of medical science in the medieval era, it also led to positive changes in the field of medicine. As described by David Herlihy in *The Black Death and the Transformation of the West*, more emphasis was placed on “anatomical investigations” following the Black Death. How individuals studied the human body notably changed, becoming a process that dealt more directly with the human body in varied states of sickness and health. Further, at this time, the importance of surgeons became more evident.

A theory put forth by Stephen O'Brien says the Black Death is likely responsible, through natural selection, for the high frequency of the CCR5-Δ32 genetic defect in people of European descent. The gene affects T cell function and provides protection against HIV, smallpox, and possibly plague, though for the latter, no explanation as to how it would do that exists. This, however, seems unlikely, given that the CCR5-Δ32 gene has been found to be just as common in Bronze Age tissue samples.

The Black Death also inspired European architecture to move in two different directions; there was a revival of Greco-Roman styles that, in stone and paint, expressed Petrarch's love of antiquity and a further elaboration of the Gothic style. Late medieval churches had impressive structures centered on verticality, where one's eye is drawn up towards the high ceiling for a religious experience bordering on the mystical. The basic Gothic style was revamped with elaborate decoration in the late medieval period. Sculptors in Italian city-states emulated the work of their Roman forefathers while sculptors in northern Europe, no doubt inspired by the devastation they had witnessed, gave way to a heightened expression of emotion and an emphasis on individual differences. A tough realism came forth in architecture as in literature. Images of intense sorrow, decaying corpses, and individuals with faults as well as virtues emerged. North of the Alps, paintings reached a pinnacle in precise realism with the Flemish school of Jan Van Eyck (c. 1385-1440). The natural world was reproduced in these works with meticulous detail bordering on photography.

## Black Death in literature

### Contemporary

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The Black Death dominated art and literature throughout the generation that experienced it. Much of the most useful manifestations of the Black Death in literature, to historians, comes from the accounts of its chroniclers; contemporary accounts are often the only real way to get a sense of the horror of living through a disaster on such a scale. A few of these chroniclers were famous writers, philosophers and rulers (like Boccaccio and Petrarch). Their writings, however, did not reach the majority of the European population. For example, Petrarch's work was read mainly by wealthy nobles and merchants of Italian city-states. He wrote hundreds of letters and vernacular poetry of great distinction and passed on to later generations a revised interpretation of courtly love. There was, however, one troubadour, writing in the lyric style long out of fashion, who was active in 1348. Peire Lunel de Montech composed the sorrowful *sirventes* "Meravilhar no·s devo pas las gens" during the height of the plague in Toulouse.

Although romances continued to be popular throughout the period, the courtly tradition began to face increasing competition from ordinary writers who became involved in producing gritty realist literature, inspired by their Black Death experiences. This was a new phenomenon, made possible because vernacular education and literature, as well as the study of Latin and classical antiquity, flourished widely, making the written word steadily more accessible during the fourteenth century. For example, Agnolo di Tura, of Siena, records his experience:

Father abandoned child, wife husband, one brother another; for this illness seemed to strike through the breath and sight. And so they died. And none could be found to bury the dead for money or friendship. Members of a household brought their dead to a ditch as best they could, without priest, without divine offices ... great pits were dug and piled deep with the multitude of dead. And they died by the hundreds both day and night... And as soon as those ditches were filled more were dug ... And I, Agnolo di Tura, called the Fat, buried my five children with my own hands. And there were also those who were so sparsely covered with earth that the dogs dragged them forth and devoured many bodies throughout the city. There was no one who wept for any death, for all awaited death. And so many died that all believed it was the end of the world. This situation continued [from May] until September.

The scene Di Tura describes is repeated over and over again all across Europe. In Sicily, Gabriele de'Mussi, a notary, tells of the early spread from Crimea:

Alas! our ships enter the port, but of a thousand sailors hardly ten are spared. We reach our homes; our kindred... come from all parts to visit us. Woe to us for we cast at them the darts of death! ... Going back to their homes, they in turn soon infected their whole families, who in three days succumbed, and were buried in one common grave. Priests and doctors visiting... from their duties ill, and soon were... dead. O death! cruel, bitter, impious death! ... Lamenting our misery, we feared to fly, yet we dared not remain.

Henry Knighton tells of the plague's coming to England:

Then the grievous plague came to the sea coasts from Southampton, and came to Bristol, and it was as if all the strength of the town had died, as if they had been hit with sudden death, for there were few who stayed in their beds more than three days, or two days, or even one half a day.

Friar John Clyn witnessed its effects in Leinster, after its spread to Ireland in August 1348:

That disease entirely stripped vills, cities, castles and towns of inhabitants of men, so that scarcely anyone would be able to live in them. The plague was so contagious that those touching the dead or even the sick were immediately infected and died, and the one confessing and the confessor were together led to the grave ... many died from carbuncles and from ulcers and pustles that could be seen on shins and under the armpits; some died, as if in a frenzy, from pain of the head, others from spitting blood ... In the convent of Minors of Drogheda, twenty five, and in Dublin in the same order, twenty three died ... These



cities of Dublin and Drogheda were almost destroyed and wasted of inhabitants and men so that in Dublin alone, from the beginning of August right up to Christmas, fourteen thousand men died ... The pestilence gathered strength in Kilkenny during Lent, for between Christmas day and 6 March, eight Friars Preachers died. There was scarcely a house in which only one died but commonly man and wife with their children and family going one way, namely, crossing to death.

In addition to these personal accounts, many presentations of the Black Death have entered the general consciousness as great literature. For example, the major works of Boccaccio (*The Decameron*), Petrarch, Geoffrey Chaucer (*The Canterbury Tales*), and William Langland (*Piers Plowman*), which all discuss the Black Death, are generally recognized as some of the best works of their era.

*La Danse Macabre*, or the *Dance of death*, was a contemporary allegory, expressed as art, drama, and printed work. Its theme was the universality of death, expressing the common wisdom of the time: that no matter one's station in life, the dance of death united all. It consists of the personified Death leading a row of dancing figures from all walks of life to the grave – typically with an emperor, king, pope, monk, youngster, beautiful girl, all in skeleton-state. They were produced under the impact of the Black Death, reminding people of how fragile their lives were and how vain the glories of earthly life. The earliest artistic example is from the frescoed cemetery of the Church of the Holy Innocents in Paris (1424). There are also works by Konrad Witz in Basel (1440), Bernt Notke in Lübeck (1463) and woodcuts by Hans Holbein the Younger (1538). Israil Bercovici claims that the *Danse Macabre* originated among Sephardic Jews in fourteenth century Spain (Bercovici, 1992, p. 27).

The poem "The Rattle Bag" by the Welsh poet Dafydd ap Gwilym (1315-1350 or 1340-1370) has many elements that suggest that it was written as a reflection of the hardships he endured during the Black Death. It also reflects his personal belief that the Black Death was the end of humanity, the Apocalypse, as suggested by his multiple biblical references, particularly the events described in the Book of Revelation.

Thomas Nashe also wrote a sonnet about the plague entitled "A Litany in Time of Plague" which was part of *Summers last will and Testament* (1592). He made countryside visits to remove himself from London in fear of the plague.

Additionally see Aleksandr Pushkin's verse play, "Feast in the Time of the Plague".

The Black Death quickly entered common folklore in many European countries. In Northern Europe, the plague was personalized as an old, bent woman covered and hooded in black, carrying a broom and a rake. Norwegians told that if she used the rake, some of the population involved might survive, escaping through the teeth of the rake. If she on the other hand used the broom, then the entire population in the area were doomed. The Plague-hag, or *Pesta*, were vividly drawn by the painter Theodor Kittelsen.

Women during and after the Black Death also benefited from the growing importance of vernacular literature because a broader cultural forum became available to them which had previously been restricted to men by the Latin church. And so, they began writing and fostering through patronage the writings and translations of others. For example, in France, Christine de Pizan (1364-1430) became the first woman in Europe to support herself by writing. She wrote in many different literary forms, such as an autobiography and books of moral advice for men and women, as well as poetry on a wide range of topics. In her treatise *The Letter to the God of Love*, she effectively rebutted Jean de Meun's anti-feminist diatribes found in his conclusion of

*Adieu, farewell earths blisse,  
This world uncertaine is,  
Fond are lifes lustful joyes,  
Death proves them all but toyes,  
None from his darts can flye;  
I am sick, I must dye:  
Lord, have mercy on us.*

("A Litany in Time of Plague"  
by Thomas Nashe)



*Romance of the Rose*. Her rebuttal is important because it marked the first instance in European history where a woman wrote about the slanders women had long endured. It also led to a debate among de Meun and Pizan sympathizers which lasted until the sixteenth century.

## Modern

The Black Plague has been used as a subject or as a setting in modern literature and also media. This may be due to the era's resounding impact on ancient and modern history, and its symbolism and connotations.

Albert Camus's novel *La Peste* deals with the coming of a plague to Algeria.

Hermann Hesse's novel *Narcissus and Goldmund* depicts two monks living during the Black Death, one of whom leaves the monastery to wander around the country, seeing the epidemic's effects firsthand.

Norman F. Cantor's novel "In the Wake of the Plague" New York Times Bestseller "Cantor illuminates intricate connections that alter the course of culture, religion, and peace in incalculable ways." - Boston Globe

Alessandro Manzoni's novel *The Betrothed* contains an extraordinary description of the plague that struck Milan in 1630. Although a work of fiction, Manzoni's description of the conditions and events in plague-ravaged Milan are completely historical and extensively documented from primary sources researched by Manzoni.

Roger Zelazny's novel *Nine Princes in Amber* has his protagonist abducted from his birthland and taken to plague-torn England to die.

Edgar Allan Poe's short story "The Masque of the Red Death" (1842) is set in an unnamed country during a fictional plague that bears strong resemblance to the Black Death. This possibility is furthered by the climax of the story taking place in a black room.

Nobel prizewinner Sigrid Undset's novel *Kristin Lavransdatter* features the outbreak of the plague in 14th century Norway.

*Year of Wonders* by Geraldine Brooks (2001) is a NY Times and Washington Post Notable Book set in 1666 England. It chronicles the impact of the plague upon the residents of an isolated mountain village, who choose to quarantine themselves rather than contribute to the spread of the disease.

Connie Willis's Hugo Award-winning science fiction novel *Doomsday Book* imagines a future in which historians do field work by travelling into the past as observers. The protagonist, a historian, is sent to the wrong year, arriving in England just as the Black Death is starting. Also, In Michael Crichton's book *Timeline*, a character is transported through time to a village that is apparently affected by the Black Death.

In Kim Stanley Robinson's alternate history novel *The Years of Rice and Salt*, a Black Death with a virtually 100% mortality rate depopulates Medieval Europe; Western Christendom is utterly destroyed as a civilization and Europe plays no major role in world history.

Three novels by Ann Benson play on parallels between the Black Death and emerging diseases in the modern world. In *The Plague Tales* (1998), *Burning Road*

<http://cd3wd.com> [wikipedia-for-schools](http://wikipedia-for-schools) <http://gutenberg.org> page no: 51 of 541



(2000) and *The Physician's Tale* (2007), Benson shifts back and forth between the fourteenth century and a world in the near future that has been devastated by an antibiotic-resistant bacterium. She weaves in allusions to many of the contemporary sources, and even modern fiction like Geraldine Brooks' *Year of Wonders*.

*Eifelheim* by Michael Flynn depicts the interactions between an isolated German village and a group of stranded extraterrestrials as the plague advances (1348-9).

*Temple of the Winds*, the fourth book in the fantasy series *The Sword of Truth* by Terry Goodkind, centers around a plague that is very similar to the Black Death.

Melanie Rawn's fantasy novel, *Dragon Prince*, shows how a plague-like epidemic affects nobility somewhat less than commoners.

It has been alleged (since 1961) that the Black Death inspired one of the most enduring nursery rhymes in the English language, *Ring a Ring o' Roses, a pocket full of posies, / Ashes, ashes (or ah-tishoo ah-tishoo), we all fall down*. However, there are no written records of the rhyme before the late 19th century and not all of its many variants refer to ashes, sneezing, falling down or anything else that could be connected to the Black Death.

The relatively new medium of film has given writers and film producers an opportunity to portray the plague with more visual realism. One of the best known and most expansive depictions of the black plague as art is the movie classic *The Seventh Seal*, a 1957 film directed by Ingmar Bergman. The knight returns from the Crusades and finds that his home country is ravaged by the Black Death. To his dismay, but not surprise, he discovers that Death has come for him too. The final scene of *The Seventh Seal* depicts a kind of *Danse Macabre*. The 1988 science fiction film *The Navigator: A Medieval Odyssey* portrays a group of 14th-century English villagers who, with the aid of a boy's clairvoyant visions, dig a tunnel to 20th-century New Zealand to escape the Black Death.

*Panic in the Streets* is a black and white, 96-minute film directed by Elia Kazan and released in 1950 by 20th Century Fox. It is film noir semidocumentary shot exclusively on location in New Orleans, Louisiana and featuring numerous New Orleans citizens in speaking and non-speaking roles. The film tells the story of Clinton Reed, an officer of the U.S. Public Health Service (played by Richard Widmark) and a police captain ( Paul Douglas) who have only a day or two in which to prevent an epidemic of pneumonic plague after Reed determines a waterfront homicide victim is an index case. It was the film debut of Jack Palance and Zero Mostel.

The Black Metal band 1349 is named after the year the Black Death spread through Norway.

*Danse Macabre* by The Faint is a techno dance album alluding to the Black Death.

Piers Anthony's 1988 novel, *For Love of Evil*, is sixth in his Incarnations of Immortality series. In this series, several major forces in mankind's existence are offices held by mortals for various lengths of time before passing to a successor. The Black Death was brought to Europe by Satan to exact revenge on the office of Nature and also discomfited the offices of Death and Fate.

Ken Follett's 2007 novel, *World Without End*, deals with the lives of four children who live through the Black Death from 1327 to 1361.



The "Bring out your dead!" scene in the Monty Python movie *Monty Python and the Holy Grail* famously deals with the ubiquity of plague-related deaths in medieval villages, although the film is explicitly set in 932, and King Arthur would suggest an even earlier date than that.

In Garth Nix's book *Mister Monday* the main characters end up in the Black Death ridden streets. It depicts the roads as covered with piles of the dead.

In the beginning of the videogame *Neverwinter Nights* the player is in a city which suffers from a fictitious, epidemic disease called the "Howling Death", which bears some resemblance to the Black Death.

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# Boxer Rebellion

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The **Boxer Movement** or **Boxer Rebellion** was a Chinese uprising from November 1899 to September 7, 1901, against foreign influence in areas such as trade, politics, religion and technology that occurred in China during the final years of the Manchu rule (Qing Dynasty).

The Boxers began as an anti-foreign, anti-imperialist peasant-based movement in northern China. They attacked foreigners who were building railroads and violating Feng shui, as well as Christians, who were held responsible for the foreign domination of China. In June 1900, the Boxers invaded Beijing and killed 230 non-Chinese. Tens of thousands of Chinese Christians, Catholic and Protestant alike, were killed mostly in Shandong and Shanxi Provinces as part of the uprising.

The government of Empress Dowager Cixi was helpless as diplomats, foreign civilians, soldiers and some Chinese Christians retreated to the legation quarter and held out for fifty-five days as a multinational coalition rushed 20,000 troops to their rescue. The Chinese government was forced to indemnify the victims and make many additional concessions. Subsequent reforms implemented after the crisis of 1900 laid the foundation for the end of the Qing Dynasty and the establishment of the modern Chinese Republic.

## Perspective

In traditional Western histories, the Boxers were condemned as a product of irrationality and xenophobia among the common people. In Eastern histories, controversy still exists about the significance of the movement. Today, the Boxers are praised by the government of the PRC as patriotic and anti-imperialists.

## The Uprising

**中文** **This article contains Chinese text.**  
Without proper rendering support, you may see question marks, boxes, or other symbols instead of Chinese characters.

### The Boxer Rebellion

Boxer forces. (For a 1900's-era stereoscope)

<b>Date</b>	November 2, 1899 - September 7, 1901
<b>Location</b>	China
<b>Result</b>	Alliance victory

**Belligerents**

Eight-Nation Alliance (ordered by contribution):	Righteous Harmony Society Qing Dynasty (China)
-----------------------------------------------------	---------------------------------------------------

	Empire of Japan
	Russian Empire
	British Empire
	France
	United States
	German Empire



A Boxer rebel. His banner says (in translation) "By Imperial Order - Boxer Supply Commissariat".

The Boxer activity began in Shandong province in March 1898, in response to German occupation of the Jiao Zhou region, the British seizing of Weihai city, and the failure of the Imperial court's Self-Strengthening Movement. 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 Roman Catholic authorities. The Catholics claimed that the temple was originally a church abandoned for decades after the Kangxi Emperor banned Christianity in China. The local court ruled in favour of the church, and angered villagers who claimed the temple for rituals. After the local authorities turned over the temple to the Catholics, the villagers (led by the Boxers) attacked the church building.






The exemption from many Chinese laws of missionaries further alienated some Chinese. Marshall Broomhall pointed to the policy pursued by Catholic missionaries. In 1899, with the help of the French Minister in Peking, they obtained an edict from the Chinese Government granting official rank to each order in the Roman Catholic hierarchy. The Catholics, by means of this official status, were able to more powerfully support their people and oppose Mandarins.

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, though the process was reversed by several court reactionaries. After the Boxers were mauled by loyal Imperial troops in October 1898, they dropped their anti-government slogans and turned their attention to foreign missionaries (such as those of the China Inland Mission) and their converts, whom they saw as agents of foreign imperialist influence.

Veteran missionary Griffith John noted afterward:

“ *It is the height of folly to look at the present movement as anti-missionary. It is anti-missionary as it is anti-everything that is foreign. ..The movement is at first and last an anti-foreign movement, and has for its aim the casting out of every foreigner and all his belongings.* ”

The Imperial Court, now under the firm control of several conservative reactionaries, forced the Empress to issue edicts in defense of the Boxers, drawing heated complaints from foreign diplomats in January, 1900. In June 1900 the Boxers, now joined by elements of the Imperial army, attacked foreign compounds

 Kingdom of Italy	
 Austria-Hungary	
<b>Commanders</b>	
 Edward Seymour	 Ci Xi
 Alfred Graf von Waldersee	
<b>Strength</b>	
20,000 initially 49,000 total	50,000-100,000 Boxers 70,000 Imperial Troops
<b>Casualties and losses</b>	
2.500 Soldiers, 526 foreigner/Chinese christians	"All" Boxers, ? Imperial Troops
Civilians = 18,952+	



Boxers, drawn by Johannes Koekkoek circa 1900.



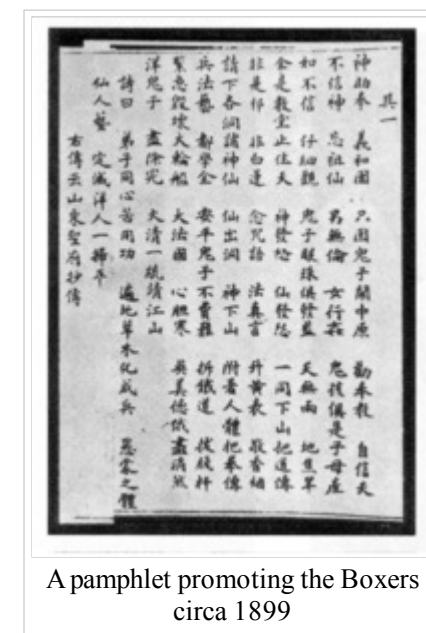
in the cities of Tianjin and Peking. The legations of the United Kingdom, France, Belgium, the Netherlands, the United States, Russia and Japan were all located on the Legation Quarter close to the Forbidden City. The legations were hurriedly linked into a fortified compound that became a refuge for foreign citizens in Peking. The Spanish and Belgian legations were a few streets away, and their staff were able to arrive safely at the compound. The German legation on the other side of the city was stormed before the staff could escape. When the Envoy for the German Empire, Klemens Freiherr von Ketteler, was murdered on June 20 by a Manchu banner man, the foreign powers demanded redress. On June 21st Cixi declared war against all Western powers, but regional governors refused to cooperate. Shanghai's Chinese elite supported the provincial governors of southeastern China in resisting the imperial declaration of war.

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; it was nicknamed the "International Gun" because the barrel was British, the carriage was Italian, the shells were Russian, and the crew were from the United States.

Foreign media described the fighting going on in Peking as well as the alleged torture and murder of captured foreigners. Whilst it is true that tens of thousands of Chinese Christians were massacred in north China, many horrible stories that appeared in world newspapers were based on a deliberate fraud. Nonetheless a wave of anti-Chinese sentiment arose in Europe, the United States and Japan.

The poorly armed Boxer rebels were unable to break into the compound, which was relieved by an international army of the Eight-Nation Alliance in July.

## Eight-Nation Alliance



A pamphlet promoting the Boxers circa 1899





## Reinforcements

Foreign navies started building up their presence along the northern China coast from the end of April 1900. On May 31, before the sieges had started and upon the request of foreign embassies in Beijing, 435 navy troops from eight countries were dispatched by train from Takou to the capital (75 French, 75 Russian, 75 British, 60 U.S., 50 German, 40 Italian, 30 Japanese, 30 Austrian); these troops joined the legations and were able to contribute to their defence.

## First intervention (Seymour column)



Contingent of Japanese marines who served under the British commander Seymour.

As the situation worsened, a second International force of 2,000 marines under the command of the British Vice Admiral Edward Seymour, the largest contingent being British, was dispatched from Takou to Beijing on June 10. The troops were transported by train from Takou to Tianjin (Tien-Tsin) with the agreement of the Chinese government, but the railway between Tianjin and Beijing had been severed. Seymour however resolved to move forward and repair the railway, or progress on foot as necessary, keeping in mind that the distance between Tianjin and Beijing was only 120 kilometers.

After Tianjin however, the convoy was surrounded, the railway behind and in front of them was destroyed, and they were attacked from all parts by Chinese irregulars and even Chinese governmental troops. News arrived on June 18 regarding attacks on foreign legations. Seymour decided to continue advancing, this time along the Pei-Ho river, towards Tong-Tcheou, 25 kilometers from Beijing. They had to abandon on the 19th due to stiff resistance, and started to retreat southward along the river. The wounded were so numerous that they had to be carried in junks along the river, pulled along with ropes by healthy combatants on the banks. The column managed to take-over the Chinese camps of Hsi-Kou, in which they were surrounded until June 25 when finally a regiment composed essentially of Russian troops from Port-Arthur arrived. They completed their retreat back to Tianjin 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 significantly. On June 17, they took the Taku Forts commanding the approaches to Tianjin, and from there brought increasing numbers of troops on shore.

The international force, with British Lieutenant-General Alfred Gaselee acting as the commanding officer, called the Eight-Nation Alliance, eventually numbered 54,000, with the main contingent being composed of



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.



Admiral Seymour returning to Tianjin with his wounded men, on June 26.

<b>Forces of the Eight-Nation Alliance (1900 Boxer Rebellion)</b>			
<b>Countries</b>	<b>Warships (units)</b>	<b>Marines (men)</b>	<b>Army (men)</b>



Japanese soldiers: Japanese (20,840), Russian (13,150), British (12,020), French (3,520), U.S.(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 centre, French troops on the right.

Notable exploits during the campaign were the seizure of the Taku Forts commanding the approaches to Tianjin, and the boarding and capture of four Chinese destroyers by Roger Keyes. The march from Tianjin to Beijing of about 120 km consisted of about 20,000 allied troops. On August 4 there were approximately 70,000 Imperial troops with anywhere from 50,000 to 100,000 Boxers along the way. They only encountered minor resistance and the battle was engaged in Yangcun, about 30 km outside Tianjin, where the 14th Infantry Regiment of the U.S. and British troops led the assault. However, the weather was a major obstacle, extremely humid with temperatures sometimes reaching 110 °F (43 Celsius).

Japan	18	540	20,300
Russia	10	750	12,400
United Kingdom	8	2,020	10,000
France	5	390	3,130
United States	2	295	3,125
Germany	5	600	300
Italy	2	80	
Austria	1	75	
<b>Total</b>	<b>51</b>	<b>4,750</b>	<b>49,255</b>

The International force reached and occupied Beijing on August 14. The United States was able to play a secondary, but significant role in suppressing the Boxer Rebellion largely due to the presence of U.S. ships and troops deployed in the Philippines since the U.S conquest of the Spanish American and Philippine-American War. In the United States military, the suppression of the Boxer Rebellion was known as the China Relief Expedition.

## The end of rebellion



Parade of the foreign armies in Beijing.

A large international expeditionary force under the command of German general Alfred Graf von Waldersee arrived too late to take part in the main fighting, but undertook several punitive expeditions against the Boxers. Troops from most nations 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:

“ *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.* ”

The *speech*, in which Wilhelm invoked the memory of the 5th century Huns, gave rise to the British derogatory name "Hun" for their German enemy during World War I and World War II.



Battle scene between Chinese forces and the Eight-Nation Alliance (front: British and Japanese troops).



## Reparations

On September 7, 1901, the Qing court was compelled to sign the "Boxer Protocol" also known as Peace Agreement between the Eight-Nation Alliance and China. The protocol ordered the execution of ten high-ranking officials linked to the outbreak, and other officials who were found guilty for the slaughter of Westerners in China.

China was fined war reparations of 450,000,000 tael of fine silver (around 67.5 million pounds/333 million US dollars) for the loss that it caused. The reparation would be paid within 39 years, and would be 982,238,150 taels with interests (4% per year) included. To help meet the payment, it was agreed to increase the existing tariff from an actual 3.18% to 5%, and to tax hitherto duty-free merchandise. The sum of reparation was estimated by the Chinese population (roughly 450 million in 1900), to let each Chinese pay one tael. Chinese custom income and salt tax were enlisted as guarantee of the reparation. Russia got 30% of the reparation, Germany 20%, France 15.75%, Britain 11.25%, Japan 7.7% and the US share was 7%.

China paid 668,661,220 taels of silver from 1901 to 1939. Some of the reparation 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 China Inland Mission lost more members than any other missionary agency: 58 adults and 21 children were killed. However, in 1901, when the allied nations were demanding compensation from the Chinese government, Hudson Taylor refused to accept payment for loss of property or life in order to demonstrate the meekness of Christ to the Chinese.

## Aftermath

The imperial government's humiliating failure to defend China against the foreign powers contributed to the growth of nationalist resentment against the "foreigner" Qing dynasty (who were descendants of the Manchu conquerors of China) and an increasing feeling for modernization, 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 cancelled in the 1930s and 1940s.

In October 1900, Russia was busy 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 an openness to commerce under the Open Door Policy. This behaviour led ultimately to the Russo-Japanese War, where Russia was defeated at the hands of an increasingly confident Japan.

## Results



Russian troops in Beijing during the Boxer rebellion.



U.S. troops in China during the Boxer Rebellion.



Murdered China Inland Mission missionaries  
Duncan, Caroline and  
Jennie Kay.

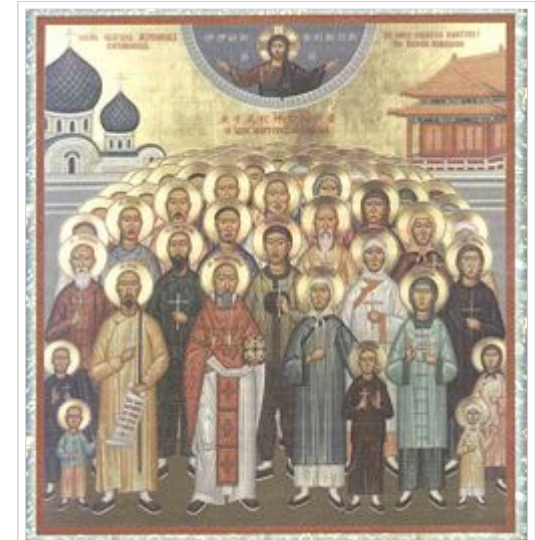
During the incident, 48 Catholic missionaries and 18,000 Chinese Catholics were murdered. 222 Chinese Eastern Orthodox Christians were also murdered, along with 182 Protestant missionaries and 500 Chinese Protestants known as the China Martyrs of 1900. More than 50,000 Chinese civilians were accused to be boxers and executed by foreign troops

The effect on China was a weakening of the dynasty as well as a weakened national defence. The structure was temporarily sustained by the Europeans who were under the impression that the Boxer Rebellion was anti-Qing. Besides the compensation, Empress Dowager Cixi realised that in order to survive, China had to reform despite her previous view of European opposition. Among the Imperial powers, Japan gained prestige due to its military aid in suppressing the Boxer Rebellion and was now seen as a power. Its clash with Russia over the Liaodong and other provinces in eastern Manchuria, 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 earned itself the nickname "Hun" and occupied Qingdao bay, consequently fortifying it 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 and members of the regiment (stationed in Camp Casey, South Korea) still do a commemorative 25 mile (40 km) 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. Likewise both the U.S. 14th Infantry Regiment, which calls itself "The Golden Dragons"; the 15th Infantry Regiment (United States); the U.S. 6th Cavalry Regiment; the US 3rd Artillery {see Coats of arms of U.S. Field Artillery Regiments} also have a Golden Dragon on their coat of Arms. Another U.S. unit involved in the rebellion was the first formation of "2d Regiment" of USMC detachments.

The impact on China was immense. Soon after the rebellion the Imperial examination system for government service was eliminated; as a result, the classical system of education was replaced with a Westernized system that led to a university degree. Eventually the spirit of revolution sparked a new nationalist revolution, ironically led by a Christian Sun Yat-sen, which overthrew the Manchu (Qing) Dynasty.

## Controversy in modern China



The Holy Chinese Martyrs of the Boxer Rebellion.



Cohen (1997) considers the ways in which the Boxer Rebellion has been mythologized within modern memory, pointing out not only the foundations for the myths but also those occasions when myth had to be modified so as to conform to changing intellectual, political, and cultural currents. He looks at mythologizing in the New Culture Movement from 1915 to 1925, which showed the Boxers as irrational and backward; in the anti-imperialist struggles of the 1920s, which depicted the Boxers as patriots; and in the Cultural Revolution of the 1960s, which insisted on a monolithic interpretation of the Boxers, not only stressing the Boxers' patriotic character but also drawing attention to the numbers of women involved.

Though the reaction of the Boxers against foreign imperialism in China is regarded by some as patriotic, the violence that they caused in committing acts of murder, robbery, vandalism and arson cannot be considered much different from the events of other rebellions in China, if not worse. Some Chinese considered this movement as a rebellion (亂; 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. However, the Chinese Communists have shifted the perception of the rebellion by referring to it as an uprising (起義; being upright; qǐyì), 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, a history professor at Zhongshan University, who claimed modern Chinese history textbooks were glossing over the atrocities committed by the Boxers.

## In fictional interpretations available in English

- The 1963 film *55 Days at Peking* was a dramatization of the Boxer rebellion. Shot in Spain, it needed thousands of extras, and the company sent scouts throughout Spain to hire as many as they could find.
- In 1975, Hong Kong's Shaw Brothers studio produced the film *Boxer Rebellion* (八國聯軍, Pa kuo lien chun) under director Chang Cheh with one of the highest budget to tell a sweeping story of disillusionment and revenge. It depicted followers of the Boxer clan being duped into believing they were impervious to attacks by firearms. The film starred Alexander Fu Sheng, Chi Kuan Chun and Wang Lung-Wei.
- The popular film series *Once Upon a Time in China*, starred Jet Li as the legendary martial artist/Chinese doctor Wong Fei Hung. The film conveyed the ambiance and tumult of the time period with many historic events woven into the plotlines, though it is mostly an entertainment, non-historical piece.
- In the movie *Shanghai Knights*, which takes place before the actual Boxer rebellion, the Boxers, led by Wu Chow and backed by British Lord Nelson Rathbone, killed Chon Wang and Chon Lin's father, attempt to assassinate Queen Victoria, and unite the Emperor's enemies and storm the Forbidden City in order for their leaders to become King of the United Kingdom and Emperor of China, but they fail.
- The novel *Moment In Peking* by Lin Yutang, opens during the Boxer Rebellion, and provides a child's-eye view of the turmoil through the eyes of the protagonist.



Signature page of the Boxer Protocol.

Image:55 Days.jpg  
Lobby Card for *55 Days at Peking*



- The novel *The Palace of Heavenly Pleasure*, by Adam Williams, describes the experiences of a small group of western missionaries, traders and railway engineers in a fictional town in Northern China shortly before and during the Boxer Rebellion.
- Parts I and II of C. Y. Lee's *China Saga* (1987) involve events leading up to and during the Boxer Rebellion, revolving around a character named Fong Tai.
- Neal Stephenson, in his award-winning sci-fi novel *The Diamond Age*, refers to the Boxer Rebellion in many ways, including "Fists of Righteous Harmony" as the name of uprising Chinese xenophobic faction.
- The novel for teenagers *Tulku*, by Peter Dickinson begins with a missionary from the United States being killed during the destruction of a village in China.
- In the cult television series *Buffy the Vampire Slayer*, vampires Spike, Darla, Drusilla, and Angelus wreak havoc during the Boxer Rebellion.
- The science fiction novel *For More Than Glory*, by William C. Dietz, was inspired by and loosely based on the Boxer Rebellion.
- The adventure/romance novel *Monraker's Bride*, by Madeleine Brent includes a spirited defence of a mission station towards the end of the Boxer Rebellion.
- The horror play *La Dernière torture (The Ultimate Torture)*, written by André de Lorde and Eugène Morel in 1904 for the Grand Guignol theatre (just four years following the events depicted), is set during the Boxer Rebellion, in the French area of the fortified legation compound, specifically on July 22, 1900, the thirty-second day of the Boxers' siege of the compound.

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# British Empire

2008/9 Schools Wikipedia Selection. Related subjects: British History; General history

The **British Empire** was the largest empire in history and for a time was the foremost global power. It was a product of the European age of discovery, which began with the maritime explorations of the 15th century, that sparked the era of the European colonial empires.

By 1921, the British Empire held sway over a population of about 458 million people, approximately one-quarter of the world's population. It covered about 36.6 million km<sup>2</sup> (14.2 million square miles), about a quarter of Earth's total land area. As a result, its legacy is widespread, in legal and governmental systems, economic practice, militarily, educational systems, sports, and in the global spread of the English language. At the peak of its power, it was often said that "the sun never sets on the British Empire" because its span across the globe ensured that the sun was always shining on at least one of its numerous colonies or subject nations.

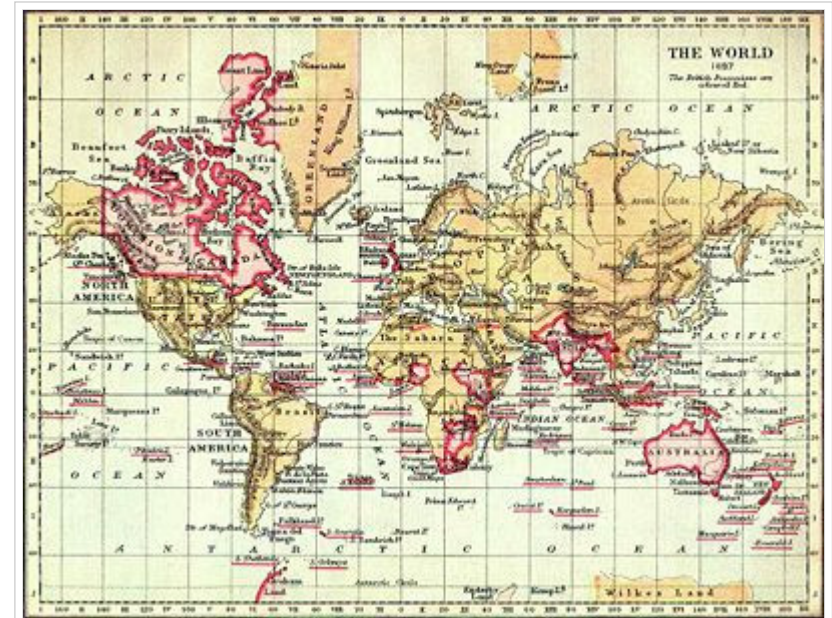
During the five decades following World War II, most of the territories of the Empire became independent. Many went on to join the Commonwealth of Nations, a free association of independent states.

## Origins of the British Empire (1497–1583)

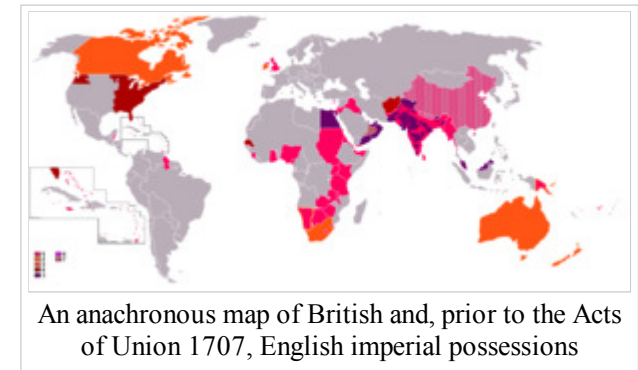
The foundations of the British Empire were laid at a time before Britain existed as a single political entity, when England and Scotland were separate kingdoms. In 1496, King Henry VII of England, following the successes of Portugal and Spain in overseas exploration, commissioned John Cabot to lead a voyage to discover a route to Asia via the North Atlantic. Cabot sailed in 1497, and though he successfully made landfall on the coast of Canada (mistakenly believing, like Christopher Columbus five years earlier, that he had reached Asia), no attempt at establishing a colony was made, and the voyage was unprofitable. Cabot led another voyage to the Americas the following year but nothing was heard from his ships again. In 1551, the Company of Merchant Adventurers, later renamed the Muscovy Company, was founded by Richard Chancellor and others, to open trade with Russia and probe the Northeast Passage to China.

Enmity and rivalry between Catholic Spain and Protestant England during the Anglo-Spanish Wars led to the Crown sanctioning English privateers such as John

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The British Empire in 1897, marked in pink, the traditional colour for Imperial British dominions on maps.



An anachronous map of British and, prior to the Acts of Union 1707, English imperial possessions



Hawkins and Sir Francis Drake to engage in piratical attacks on Spanish ports in the Americas and shipping that was returning across the Atlantic, laden with treasure from the New World. At the same time, influential writers such as Richard Hakluyt and John Dee (who was the first to use the term "British Empire") were beginning to press for the establishment of England's own empire, to rival those of Spain and Portugal. By this time, Spain was firmly entrenched in the Americas, Portugal had established a string of trading posts and forts from the coasts of Africa and Brazil to China, and France had begun to settle the Saint Lawrence River, later to become New France.

## Plantations of Ireland

Though a relative latecomer to overseas colonisation in comparison to Spain and Portugal, England had been engaged in a form of domestic colonisation in Ireland that had begun during Norman times and accelerated with the Tudor re-conquest of Ireland and Cromwellian conquest. The Plantations of Ireland, run by English colonists, were a precursor to the overseas Empire, and several people involved in these projects also had a hand in the early colonisation of North America, particularly a group known as the "West Country men", which included Sir Humphrey Gilbert, Sir Walter Raleigh, Sir Francis Drake, Sir John Hawkins, Sir Richard Grenville and Sir Ralph Lane. After the Cromwellian conquest of Ireland, Irish Catholics were dispossessed of their land, and replaced with a Protestant landowning class from England and Scotland. The new Protestant ruling class was known as the Protestant Ascendancy. Catholics and, to a lesser extent, Presbyterians were discriminated against under the Penal Laws.

## "First British Empire" (1583–1783)

In 1578 Sir Humphrey Gilbert was granted a patent by Queen Elizabeth for discovery and overseas exploration, and set sail for the West Indies with the intention of first engaging in piracy and on the return voyage, establishing a colony in North America. The expedition failed at the outset due to bad weather. In 1583 Gilbert embarked on a second attempt, on this occasion to the island of Newfoundland where he formally claimed for England the harbour of St. John's, though no settlers were left behind. Gilbert did not survive the return journey to England, and was succeeded by his half-brother, Walter Raleigh, who was granted his own patent by Elizabeth in 1584, in the same year founding the colony of Roanoke on the coast of present-day North Carolina. The colony did not survive due to lack of supplies.

In 1603, King James VI of Scotland succeeded to the English throne and in 1604 negotiated the Treaty of London, ending hostilities with Spain. Now at peace with its main rival, English attention shifted from preying on other nations' colonial infrastructure to the business of establishing its own overseas colonies. Although its beginnings were hit-and-miss, the British Empire began to take shape during the early 17th century, with the English settlement of North America and the smaller islands of the Caribbean, and the establishment of a private company, the English East India Company, to trade with Asia. This period, until the loss of the Thirteen Colonies after the United States Declaration of Independence towards the end of the 18th century, has subsequently been referred to as the "First British Empire".



Plaque in St. John's, Newfoundland, commemorating Gilbert's founding of the British overseas Empire

## The Americas





The Caribbean initially provided England's most important and lucrative colonies, but not before several attempts at colonisation failed. An attempt to establish a colony in Guiana in 1604 lasted only two years, and failed in its main objective to find gold deposits. Colonies in St Lucia (1605) and Grenada (1609) also rapidly folded, but settlements were successfully established in St. Kitts (1624), Barbados (1627) and Nevis (1628). The colonies soon adopted the system of sugar plantations successfully used by the Portuguese in Brazil, which depended on slave labour, and—at first—Dutch ships, to sell the slaves and buy the sugar. To ensure the increasingly healthy profits of this trade remained in English hands, Parliament decreed in 1651 that only English ships would be able to ply their trade in English colonies. This led to hostilities with the United Dutch Provinces—a series of Anglo-Dutch Wars—which would eventually strengthen England's position in the Americas at the expense of the Dutch. In 1655 England annexed the island of Jamaica from the Spanish, and in 1666 succeeded in colonising the Bahamas.

England's first permanent overseas settlement was founded in 1607 in Jamestown, led by Captain John Smith and managed by the Virginia Company, an offshoot of which established a colony on Bermuda, which had been discovered in 1609. The Company's charter was revoked in 1624 and direct control was assumed by the crown, thereby founding the Colony of Virginia. The Newfoundland Company was created in 1610 with the aim of creating a permanent settlement on Newfoundland, but was largely unsuccessful. In 1620, Plymouth was founded as a haven for puritan religious separatists, later known as the Pilgrims. Fleeing from religious persecution would become the motive of many English would-be colonists to risk the arduous trans-Atlantic voyage: Maryland was founded as a haven for Roman Catholics (1634), Rhode Island (1636) as a colony tolerant of all religions and Connecticut (1639) for congregationalists. The Province of Carolina was founded in 1663. In 1664, England gained control of the Dutch colony of New Amsterdam (renamed New York) via negotiations following the Second Anglo-Dutch War. In 1681, the colony of Pennsylvania was founded by William Penn.

In 1695 the Scottish parliament granted a charter to the Company of Scotland, which proceeded in 1698 to establish a settlement on the isthmus of Panama, with a view to building a canal there. Besieged by neighbouring Spanish colonists of New Granada, as well as by malaria, the colony was abandoned two years later. The Darien scheme was a financial disaster for Scotland as a quarter of Scottish capital was lost in the enterprise. This episode is viewed as a major factor in persuading the Scottish Parliament to accept the terms of the Treaty of Union 1707 as the new Kingdom of Great Britain would take responsibility for some of Scotland's debts.

The American colonies, which provided tobacco, cotton, and rice in the south and naval materiel and furs in the north, were less financially successful than those of the Caribbean, but had large areas of good agricultural land and attracted far larger numbers of English emigrants who were also more favorable of temperate climates.



British colonies in North America, c. 1750. 1: Newfoundland; 2: Nova Scotia; 3: The Thirteen Colonies; 4: Bermuda; 5: Bahamas; 6: Belize; 7: Jamaica; 8: Lesser Antilles



From the outset, slavery was a vital economic component of the British Empire in the Americas. Until the abolition of the slave trade in 1807, Britain was responsible for the transportation of 3.5 million African slaves to the Americas, a third of all slaves transported across the Atlantic. To facilitate this trade, forts were established on the coast of West Africa, such as James Island, Accra and Bunce Island. In the British Caribbean, the percentage of the population comprising blacks rose from 25% in 1650 to around 80% in 1780, and in the Thirteen Colonies from 10% to 40% over the same period (the majority in the south). For the slave traders, the trade was extremely profitable, and became a major economic mainstay for such cities as Bristol and Liverpool, which formed the third corner of the so-called triangular trade with Africa and the Americas. However, for the transportees, harsh and unhygienic conditions on the slaving ships and poor diets meant that the average mortality rate during the middle passage was one in seven. The profits of the slave trade and of West Indian plantations amounted to 5% of the British economy at the time of the Industrial Revolution.

## Asia

At the end of the 16th century, England and the Netherlands began to challenge Portugal's monopoly of trade with Asia, forming private joint-stock companies to finance the voyages—the English (later British) and Dutch East India Companies, chartered in 1600 and 1602 respectively. The primary aim of these companies was to tap into the lucrative spice trade, and focussed their efforts on the source, the Indonesian archipelago, and an important hub in the trade network, India. The proximity of London and Amsterdam and rivalry between England and the Netherlands inevitably led to conflict between the two companies, with the Dutch gaining the upper hand in the Moluccas (previously a Portuguese stronghold) after the withdrawal of the English in 1622, and the English enjoying more success in India, at Surat, after the establishment of a factory in 1613. Though England would ultimately eclipse the Netherlands as a colonial power, in the short term the Netherlands's more advanced financial system and the three Anglo-Dutch Wars of the 17th century left it with a stronger position in Asia. Hostilities ceased after the Glorious Revolution of 1688 when the Dutch William of Orange ascended the English throne, bringing peace between the Netherlands and England. A deal between the two nations left the spice trade of the Indonesian archipelago to the Netherlands and the textiles industry of India to England, but textiles soon overtook spices in terms of profitability, and by 1720, in terms of sales, the English company had overtaken the Dutch. The English East India Company shifted its focus from Surat—a hub of the spice trade network—to Fort St George (later to become Madras), Bombay (ceded by the Portuguese to Charles II of England in 1661 as dowry for Catherine de Braganza) and Sutanuti (which would merge with two other villages to form Calcutta).

## Global struggles with France

Peace between England and the Netherlands in 1688 meant that the two countries entered the Nine Years' War as allies, but the conflict—waged in Europe and overseas between France, Spain and the Anglo-Dutch alliance—left the English a stronger colonial power than the Dutch, who were forced to devote a larger proportion of their military budget on the costly land war in Europe. The 18th century would see England (after 1707, Britain) rise to be the world's dominant colonial power, and France becoming its main rival on the imperial stage.

The death of Charles II of Spain in 1700 and his bequeathal of Spain and its colonial empire to Philippe of Anjou, a grandson of the King of France, raised the prospect of the unification of France, Spain and their respective colonies, an unacceptable state of affairs for Britain and the other powers of Europe. In 1701,



*The Death of General Wolfe* by Benjamin West. The defeat of the French by Wolfe's forces foreshadowed British ascendancy in North America.



Britain, Portugal and the Netherlands sided with the Holy Roman Empire against Spain and France in the War of the Spanish Succession. The conflict, which France and Spain were to lose, lasted until 1714. At the concluding peace Treaty of Utrecht, Philip renounced his and his descendents' right to the French throne. Spain lost its empire in Europe, and though it kept its empire in the Americas and the Philippines, it was irreversibly weakened as a power. The British Empire was territorially enlarged: from France, Britain gained Newfoundland and Acadia, and from Spain, Gibraltar and Minorca. Gibraltar, which is still a British overseas territory to this day, became a critical naval base and allowed Britain to control the Atlantic entry and exit point to the Mediterranean. Minorca was returned to Spain at the Treaty of Amiens in 1802, after changing hands twice. Spain also ceded the rights to the lucrative asiento (permission to sell slaves in Spanish America) to Britain.

The Seven Years' War, which began in 1756, was the first war waged on a global scale, fought in Europe, India, North America, the Caribbean, the Philippines and coastal Africa. The signing of the Treaty of Paris (1763) had important consequences for Britain and its empire. In North America, France's future as a colonial power there was effectively ended with the ceding of New France to Britain (leaving a sizeable French-speaking population under British control) and Louisiana to Spain. Spain ceded Florida to Britain. In India, the Carnatic War had left France still in control of its enclaves but with military restrictions and an obligation to support British client states, effectively leaving the future of India to Britain. The British victory over France in the Seven Years' War therefore left Britain as the world's dominant colonial power.

## Rise of the "Second British Empire" (1783–1815)

### Loss of the Thirteen Colonies

During the 1760s and 1770s, relations between the Thirteen Colonies and Britain became increasingly strained, primarily because of resentment of the British Parliament's ability to tax American colonists without their consent. Disagreement turned to violence and in 1775 the American Revolutionary War began. The following year, the colonists declared the independence of the United States and, with economical and naval assistance from France, would go on to win the war in 1783.

The loss of the United States, at the time Britain's most populous colony, is seen by historians as the event defining the transition between the "first" and "second" empires, in which Britain shifted its attention away from the Americas to Asia, the Pacific and later Africa. Adam Smith's *Wealth of Nations*, published in 1776, had argued that colonies were redundant, and that free trade should replace the old mercantilist policies that had characterised the first period of colonial expansion, dating back to the protectionism of Spain and Portugal. The growth of trade between the newly independent United States and Britain after 1783 confirmed Smith's view that political control was not necessary for economic success.

Events in America influenced British policy in Canada, which had seen a large influx of loyalists during the Revolutionary War. The Constitutional Act of 1791 created the provinces of Upper Canada (mainly English-speaking) and Lower Canada (mainly French-speaking) to defuse tensions between the two communities,



*Surrender of Cornwallis at Yorktown* ( John Trumbull, 1797). The loss of the American colonies marked the end of the "first British Empire".



and implemented governmental systems similar to those employed in Britain, with the intention of asserting imperial authority and not allowing the sort of popular control of government that was perceived to have led to the American Revolution. The future of British North America was briefly threatened during the War of 1812, in which the United States unsuccessfully attempted to extend its border northwards. This was the last time that Britain and America went to war. The last major territorial dispute between the two countries, the Oregon boundary dispute, was settled peacefully in 1846.

## Company rule in India

During its first century of operation, the focus of the East India Company had been trade, not the building of an empire in India. Indeed, the Company was no match for the powerful Mughal Empire, which had granted the Company trading rights in 1617. Company interests turned from trade to territory during the 18th century as the Mughal Empire declined in power and the British East India Company struggled with its French counterpart, the *La Compagnie française des Indes orientales*, during the Carnatic Wars of the 1740s and 1750s. The Battle of Plassey, which saw the British, led by Robert Clive, defeat the French and their Indian allies, left the Company in control of Bengal and a major military and political power in India. In the following decades it gradually increased the size of the territories under its control, either ruling directly or indirectly via local puppet rulers under the threat of force of the Indian Army, 80% of which was composed of native Indian sepoys.

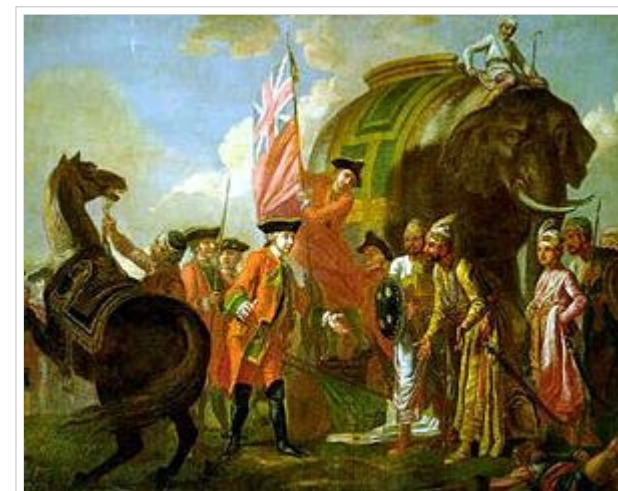
## Convicts and Empire

Since 1718, transportation to the American colonies had been a penalty for various criminal offences in Britain, with approximately one thousand convicts transported per year across the Atlantic. Forced to find an alternative location after the loss of the Thirteen Colonies in 1783, the British government turned to the newly discovered land of New Holland, later renamed Australia.

In 1770, James Cook had discovered the eastern coast of Australia whilst on a scientific voyage to the South Pacific. In 1778, Joseph Banks, Cook's botanist on the voyage, presented evidence to the government on the suitability of Botany Bay for the establishment of a penal settlement, and in 1787 the first shipment of convicts set sail, arriving in 1788. Matthew Flinders proved New Holland and New South Wales to be a single land mass by completing a circumnavigation of it in 1803. In 1826, Australia was formally claimed for the United Kingdom with the establishment of a military base, soon followed by a colony in 1829. The colonies later became self-governing colonies and became profitable exporters of wool and gold.

## Abolition of slavery

Under increasing pressure from the abolitionist movement, the United Kingdom outlawed the slave trade (1807) and soon began enforcing this principle on other nations. By the mid-19th century the United Kingdom had largely eradicated the world slave trade. An act making not just the slave trade but slavery itself illegal was passed in 1833 and became law on August 1, 1834.



Robert Clive's victory at the Battle of Plassey established the Company as a military as well as a commercial power.



The Battle of Waterloo marked the end of the Napoleonic Wars and the beginning of the *Pax Britannica*.

## War with Napoleonic France

Britain was challenged again by France under Napoleon, in a struggle that, unlike previous wars, represented a contest of ideologies between the two nations. It was not only Britain's position on the world stage that was threatened: Napoleon threatened invasion of Britain itself, and with it, a fate similar to the countries of continental Europe that his armies had overrun. The Napoleonic Wars were therefore ones that Britain invested large amounts of capital and resources to win. French ports were blockaded by the Royal Navy, which won a decisive victory over the French fleet at Trafalgar in 1805. Overseas colonies were attacked and occupied, including those of the Netherlands, which was annexed by Napoleon in 1810. France was finally defeated by a coalition of European armies in 1815. Britain and its empire were again the beneficiaries of peace treaties: France ceded the Ionian Islands (including Corfu) and Malta (which it had occupied in 1797 and 1798 respectively), St Lucia

and Mauritius; Spain ceded Trinidad and Tobago; the Netherlands Guyana and the Cape Colony. Britain returned Guadeloupe and Réunion to France, and Java and Surinam to the Netherlands.

## Britain's "imperial century" (1815–1914)

Between 1815 and 1914, a period referred to as Britain's "imperial century" by some historians, around 10 million square miles of territory and roughly 400 million people were added to the British Empire. Victory over Napoleon left Britain without any serious international rival, other than Russia in central Asia and, unchallenged at sea, Britain adopted the role of global policeman, a state of affairs later known as the *Pax Britannica*. Alongside the formal control it exerted over its own colonies, Britain's dominant position in world trade meant that it effectively controlled the economies of many nominally independent countries, such as in Latin America, China and Siam, which has been characterised by some historians as an "informal empire".



An 1876 political cartoon of Benjamin Disraeli (1804–1881) making Queen Victoria Empress of India. The caption was "New crowns for old ones!"

## Asia

Until its dissolution in 1858, the East India Company was key in the expansion of the British Empire in Asia. The Company's Army had first joined forces with the Royal Navy during the Seven Years' War, and the two continued to cooperate in arenas outside of India: the eviction of Napoleon from Egypt (1799), the capture of Java from the Netherlands (1811), the acquisition of Singapore (1819) and Malacca (1824) and the defeat of Burma (1826).

From its base in India, the Company had also been engaged in an increasingly profitable opium export trade to China since the 1730s. This trade, technically illegal since it was outlawed by the Qing dynasty in 1729, helped reverse the trade imbalances resulting from the British imports of tea, which saw large outflows of silver from Britain to China. In 1839, the seizure by the Chinese authorities at Canton of 20,000 chests of opium sparked the First Opium War, and the seizure by Britain of the island of Hong Kong (then a minor outpost) as a base.

The end of the Company was precipitated by a mutiny of sepoys against their British commanders over the rumoured introduction of rifle cartridges lubricated with animal fat. Use of the cartridges, which required biting open before use, would have been in violation of the religious beliefs of Hindus and Muslims (had the fat been that of cows or pigs, respectively). However, the Indian Rebellion of 1857 had causes that went beyond the introduction of bullets: at stake was Indian culture and religion, in the face of the steady encroachment of that of the British. The rebellion was suppressed by the British, but not before heavy loss of life on both sides. As a result of the war, the British government assumed direct control over India,

ushering in the period known as the British Raj. The East India Company was dissolved the following year, in 1858.

## The Cape Colony

The Dutch East India Company had founded the Cape Colony on the southern tip of Africa in 1652 as a way station for its ships travelling to and from its colonies in the East Indies. Britain formally acquired the colony, and its large Afrikaner (or Boer) population in 1806, having occupied it in 1795 after the Netherlands was invaded by France. British immigration began to rise after 1820, and pushed thousands of Boers, resentful of British rule, northwards to found the Transvaal and the Orange Free State during the Great Trek of the late 1830s and early 1840s.

## The Suez Canal

In 1875, the Conservative government of Benjamin Disraeli bought the indebted Egyptian ruler Ismail's 44% shareholding in the Suez Canal for £4 million to secure control of this strategic waterway, a channel for shipping between the United Kingdom and India since its opening six years earlier under Emperor Napoleon III. Joint Anglo-French financial control over Egypt ended in outright British occupation in 1882.

## Scramble for Africa



In 1875 the two most important European holdings in Africa were French-controlled Algeria and the United Kingdom's Cape Colony. By 1914 only Ethiopia and the republic of Liberia remained outside formal European control. The transition from an "informal empire" of control through economic dominance to direct control took the form of a "scramble" for territory by the nations of Europe. The United Kingdom tried not to play a part in this early scramble, being more of a trading empire rather than a colonial empire; however, it soon became clear it had to gain its own African empire to maintain the balance of power.

As French, Belgian and Portuguese activity in the lower Congo River region threatened to undermine orderly penetration of tropical Africa, the Berlin Conference of 1884–85 sought to regulate the competition between the powers by defining "effective occupation" as the criterion for international recognition of territorial claims, a formulation which necessitated routine recourse to armed force against indigenous states and peoples.

The United Kingdom's 1882 military occupation of Egypt (itself triggered by concern over the Suez Canal) contributed to a preoccupation over securing control of the Nile valley, leading to the conquest of the neighbouring Sudan in 1896–98 and confrontation with a French military expedition at Fashoda (September 1898).

In 1902 the United Kingdom completed its military occupation of the Transvaal and Free State by concluding a treaty with the two Boer Republics following the Second Boer War 1899-1902. The four colonies of Natal, Transvaal, Free State and Cape Province later merged in 1910 to form the Union of South Africa.

Cecil Rhodes was the pioneer of British expansion north into Africa with his privately owned British South Africa Company. Rhodes expanded into the land north of South Africa and established Rhodesia. Rhodes' dream of a railway connecting Cape Town to Alexandria passing through a British Africa covering the continent is what led to his company's pressure on the government for further expansion into Africa.

British gains in southern and East Africa prompted Rhodes and Alfred Milner, the United Kingdom's High Commissioner in South Africa, to urge a "Cape-to-Cairo" empire linking by rail the strategically important Canal to the mineral-rich South, though German occupation of Tanganyika prevented its realisation until the end of World War I. In 1903, the All Red Line telegraph system communicated with the major parts of the Empire.

Paradoxically, the United Kingdom, the staunch advocate of free trade, emerged in 1914 with not only the largest overseas empire thanks to its long-standing presence in India, but also the greatest gains in the "scramble for Africa", reflecting its advantageous position at its inception. Between 1885 and 1914 the United Kingdom took nearly 30% of Africa's population under its control, compared to 15% for France, 9% for Germany, 7% for Belgium and 1% for Italy: Nigeria alone contributed fifteen million subjects, more than in the whole of French West Africa or the entire German colonial empire.

## Home rule in white-settler colonies

The United Kingdom's empire had already begun its transformation into the modern Commonwealth with the extension of Dominion status to the already self-governing colonies of Canada (1867), Australia (1901), New Zealand (1907), Newfoundland (1907), and the newly created Union of South Africa (1910).

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*The Rhodes Colossus- Cecil Rhodes spanning "Cape to Cairo".*



Leaders of the new states joined with British statesmen in periodic Colonial (from 1907, Imperial) Conferences, the first of which was held in London in 1887.

The foreign relations of the Dominions were still conducted through the Foreign Office of the United Kingdom: Canada created a Department of External Affairs in 1909, but diplomatic relations with other governments continued to be channelled through the Governors-General, Dominion High Commissioners in London (first appointed by Canada in 1880 and by Australia in 1910) and British legations abroad.

But the Dominions did enjoy a substantial freedom in their adoption of foreign policy where this did not explicitly conflict with British interests: Canada's Liberal government negotiated a bilateral free-trade Reciprocity Agreement with the United States in 1911, but went down to defeat by the Conservative opposition.

In defence, the Dominions' original treatment as part of a single imperial military and naval structure proved unsustainable as the United Kingdom faced new commitments in Europe and the challenge of an emerging German High Seas Fleet after 1900. In 1909 it was decided that the Dominions should have their own navies, reversing an 1887 agreement that the then Australasian colonies should contribute to the Royal Navy in return for the permanent stationing of a squadron in the region.

## World War I (1914–1918)

Britain's declaration of war in 1914 on Germany and its allies, Austria-Hungary and the Ottoman Empire, also committed the colonies and Dominions, which provided invaluable military, financial and material support during the war. Soon after the outbreak of hostilities, Germany's overseas colonies in Africa were invaded and occupied, though German forces in German East Africa remained undefeated during the war. In the Pacific, Australia and New Zealand occupied German New Guinea and Samoa respectively. The contributions of Australian and New Zealand troops during the 1915 Battle of Gallipoli against the Ottoman Empire had a great impact on the national conscious at home, and marked a watershed in the transition of Australia and New Zealand from colonies to nations in their own right. The countries continue to commemorate this occasion on ANZAC Day. Canadians viewed the Battle of Vimy Ridge in a similar light. In 1917, the Imperial War Cabinet was set up, with representation from each of the Dominion Prime Ministers, to coordinate imperial policy. The first world war placed enormous financial strain on Britain and its empire with resources, cash and foreign assets being diverted for the war. In 1914 Britain had £750,000,000 invested in the United States, by 1918 much of this had been sold in order to pay for the war effort.

## Interwar period (1918–1939)





The aftermath of World War I saw the last major extension of British rule, with the United Kingdom gaining control through League of Nations Mandates in Palestine and Iraq after the collapse of the Ottoman Empire in the Middle East, as well as in the former German colonies of Tanganyika, South-West Africa (now Namibia) and New Guinea (the last two actually under South African and Australian rule respectively).

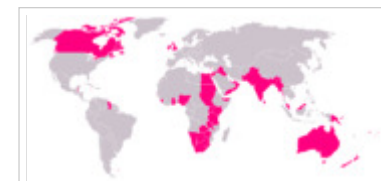
The 1920s saw a rapid transformation of Dominion status. Although the Dominions had had no formal voice in declaring war in 1914, each was included separately among the signatories of the 1919 peace Treaty of Versailles, which had been negotiated by a British-led united Empire delegation. In 1922 Dominion reluctance to support British military action against Turkey influenced the United Kingdom's decision to seek a compromise settlement. The League of Nations deputed former German colonies to come under the control of the United Kingdom's colonies. For example, New Zealand took over the mandate of Western Samoa, Australia that of Rabual and South Africa that of German South-West Africa.

Full Dominion independence was formalised in the 1931 Statute of Westminster: each Dominion was henceforth to be equal in status to the United Kingdom itself, free of British legislative interference and autonomous in international relations. The Dominions section created within the Colonial Office in 1907 was upgraded in 1925 to a separate Dominions Office and given its own Secretary of State in 1930.

Canada led the way, becoming the first Dominion to conclude an international treaty entirely independently (1923) and obtaining the appointment (1928) of a British High Commissioner in Ottawa, thereby separating the administrative and diplomatic functions of the Governor-General and ending the latter's anomalous role as the representative of the head of state and of the British Government. Canada's first permanent diplomatic mission to a foreign country opened in Washington, DC, in 1927: Australia followed in 1940.

Egypt, formally independent from 1922 but bound to the United Kingdom by treaty until 1936 (and under partial occupation until 1956) similarly severed all constitutional links with the United Kingdom. Iraq, which became a British Protectorate in 1922, also gained complete independence ten years later in 1932.

## The Irish Free State



Map showing British Empire in 1921 coloured pink.



Irish home rule was to be provided under the Home Rule Act 1914, but the onset of World War I delayed its implementation indefinitely. At Easter 1916 an unsuccessful armed uprising was staged in Dublin by a mixed group of nationalists and socialists. From 1919 the Irish Republican Army fought a guerrilla war to secede from the United Kingdom. This Anglo-Irish War ended in 1921 with a stalemate and the signing of the Anglo-Irish Treaty. The treaty confirmed the division of Ireland into two states. Most of the island (26 counties) became the Irish Free State, a dominion within the British Commonwealth. Meanwhile, the six counties in the north with a majority Protestant community remained a part of the United Kingdom as Northern Ireland. The Free State evolved into the Republic of Ireland, which withdrew from the Commonwealth when enacted in 1949.

Ireland's Constitution claimed Northern Ireland as a part of the Republic until 1998. The issue of whether Northern Ireland should remain in the United Kingdom or join the Republic of Ireland has divided Northern Ireland's people and was a factor in a long and bloody conflict known as the Troubles. The Good Friday Agreement of 1998 brought about a ceasefire between most of the major organisations on both sides.

## Second World War

see also: Allies of World War II

The United Kingdom's declaration of hostilities against Germany in September 1939 did not automatically commit the Dominions. All except Ireland declared a state of hostility with Germany. The Irish Free State had negotiated the removal of the Royal Navy from the Treaty Ports the year before, and chose to remain legally neutral throughout the war. Australia entered the war as a British ally. Australian prime minister Robert Menzies was concerned about Churchill's mis-handling of Australian forces in the Middle East.

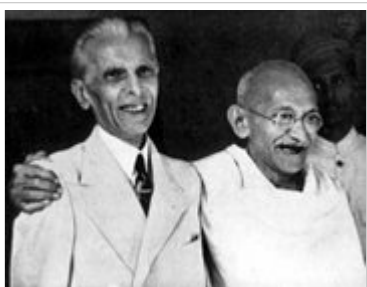
Sudan was a British Co-dominion with Egypt, Newfoundland controlled by the Colonial office.

The war would involve the whole of the Empire. Materiel and manpower would be drawn from all parts of the Empire. The dominions contributed large numbers of aircrew for the war in the air over Europe; many trained in Canada. The British Eighth Army fighting in North Africa was multi-national.

## Decolonisation and decline (1945–1997)



A memorial to the Irish War of Independence



Mohammad Ali Jinnah and Mahatma Gandhi, two of the leaders of the Indian independence movement.

Though the United Kingdom and its empire emerged victorious from World War II, the economic costs of the war were far greater than those of World War I. The United Kingdom was heavily bombed. The United Kingdom's already weakened commercial and financial leadership were further undermined, heightening the importance of the Dominions and the United States as a source of military assistance. The rise of anti-colonial nationalist movements in British colonies and the changing economic situation of the world in the first half of the 20th century challenged an imperial power now increasingly preoccupied with issues nearer home. Over the next two decades most of the former colonies would become independent.

## The Dominions

After the war, Australia and New Zealand joined with the United States in the ANZUS regional security treaty in 1951 (although the US repudiated its commitments to New Zealand following a 1985 dispute over port access for nuclear vessels). The United Kingdom's pursuit (from 1961) and attainment (in 1973) of European Community membership weakened the old commercial ties to the Dominions, ending their privileged access to the UK market.

In January 1947, Canada became the first Dominion to create its nationals as citizens in addition to their status as British subjects (which was retained until 1977). Canada became legally independent after the passing by the British Parliament of the Canada Act 1982, effecting the patriation of the national constitution.

## End of British Raj

The British Empire lost its most valuable colony when the British Raj came to an end in August 1947 after a forty-year-long campaign by the Indian National Congress, led by Mahatma Gandhi, first for self-government and later for full sovereignty. Another organization, called the Muslim League, led by Muhammad Ali Jinnah, led a successful movement for the creation of a separate Muslim-state called Pakistan (later East Pakistan gained independence and came to be known as Bangladesh). The Partition of India resulted in massive population exchanges and widespread violence and riots costing hundreds of thousands of lives and creating the Dominion of Pakistan (later Islamic Republic of Pakistan) and the Union of India (later Republic of India).

## Palestine

The United Kingdom's Palestine Mandate ended in 1948 in withdrawal and open warfare between the territory's Jewish and Arab populations.

## Southeast Asia and Ceylon

Burma achieved independence (1948) outside the Commonwealth, being the first colony since the United States to sever all

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Last Viceroy of India Louis Mountbatten in New Delhi with a countdown calendar to the *Transfer of Power* in the background.



ties with the British. Ceylon (1948) and Malaya (1957) achieved their independence within the Commonwealth.

Singapore became independent in two stages. The British did not believe that Singapore would be large enough to defend itself against others alone. Therefore, Singapore was joined with Malaya, Sarawak and North Borneo, Sabah to form the Federation of Malaysia upon independence from the Empire. This short-lived union was dissolved in 1965 when Singapore left Malaysia and achieved complete independence, although the United Kingdom continued to offer protection through the Five Power Defence Arrangements.

In 1984, the United Kingdom ended the protectorate status of Brunei, although the British Army continues to maintain a presence in the sultanate at the request of the government of Brunei.

## The Suez Crisis

Britain's limitations were exposed by the Suez Crisis of 1956, in which the United States and the Soviet Union opposed the British, French and Israeli intervention in Egypt. The British Prime Minister, Anthony Eden, had infuriated his US counterpart, President Dwight D. Eisenhower, by his lack of consultation, and Eisenhower refused to back the invasion. Another of Eisenhower's concerns was the possibility of a wider war with the Soviet Union after Nikita Khrushchev threatened to intervene on the Egyptian side. Eisenhower also applied financial leverage by threatening to sell US reserves of the British pound and thereby precipitate a collapse of the British currency. Though the invasion force had succeeded in its objective of recapturing the Canal, Britain was forced into a humiliating withdrawal of its forces due to UN intervention and US political pressure. The Suez Crisis marked a turning point in the history of Britain and its empire: Britain could no longer act unilaterally and was dependent on its alliance with the United States.

## The Mediterranean

A guerrilla war waged by Greek Cypriot advocates of union with Greece ended (1960) in an independent Cyprus, although the United Kingdom did retain two military bases - Akrotiri and Dhekelia. The Mediterranean islands of Malta and Gozo were given independence from the United Kingdom in 1964.

## Africa

The end of Britain's Empire in Africa came rapidly: Ghana's independence (1957) after a ten-year nationalist political campaign was followed by that of Nigeria and Somaliland (1960), Sierra Leone (1961), Uganda (1962), Kenya and Zanzibar (1963), Tanganyika (1964), The Gambia (1965), Lesotho (formerly Basutoland) (1966), Botswana (formerly Bechuanaland) (1967), and Swaziland (1968).

British withdrawal from the southern and eastern parts of Africa was complicated by the region's white settler populations: Kenya had already provided an example in the Mau Mau Uprising of violent conflict exacerbated by white landownership and reluctance to concede majority rule. White minority rule in South Africa remained a source of bitterness within the Commonwealth until the Union of South Africa left the Commonwealth in 1961.

Although the white-dominated Federation of Rhodesia and Nyasaland ended in the independence of Malawi (formerly Nyasaland) and Zambia (the former



Northern Rhodesia) in 1964, Southern Rhodesia's white minority (a self-governing colony since 1923) declared independence with their UDI rather than submit to the immediate majority rule of black Africans. The support of South Africa's apartheid government, and the Portuguese rule of Angola and Mozambique helped support the Rhodesian regime until 1979, when agreement was reached on majority rule, ending the Rhodesian Bush War and creating the new nation of Zimbabwe.

## The Caribbean

Most of the United Kingdom's Caribbean territories opted for eventual separate independence after the failure of the West Indies Federation (1958–62): Jamaica and Trinidad and Tobago (1962) were followed into statehood by Barbados (1966) and the smaller islands of the eastern Caribbean (1970s and 1980s), Antigua and Barbuda being the last in November 1981.

Guyana achieved independence from the United Kingdom in 1966 and became a republic on 23 February 1970.

The United Kingdom's last colony on the American mainland, British Honduras, became a self-governing colony in 1964 and was renamed Belize on 1 June 1973, achieving full independence in 1981.

## Rockall

As decolonisation and the Cold War were gathering momentum during the 1950s, an uninhabited rock in the Atlantic Ocean, Rockall, became the last territorial acquisition of the United Kingdom. Concerns that the Soviet Union might use the island to spy on a British missile test PDF (396 KiB) prompted the Royal Navy to land a party and officially claim the rock in the name of the Queen in 1955. In 1972 the Island of Rockall Act formally incorporated the island into the United Kingdom.

## The Falklands War

In 1982, the United Kingdom's resolve to defend her remaining overseas territories was put to the test when Argentina invaded the Falkland Islands, acting on a long-standing claim that dated back to the Spanish Empire. The United Kingdom's ultimately successful military response to retake the islands during the ensuing Falklands War prompted headlines in the US press that "the Empire strikes back", and was viewed by many to have contributed to reversing the downward trend in the UK's status as a world power.

## Handover of Hong Kong

In 1997, the United Kingdom's last major overseas territory, Hong Kong, became a Special Administrative Region of the People's Republic of China under the terms of the Sino-British Joint Declaration agreed some thirteen years previously.



## Legacy

The United Kingdom retains sovereignty over fourteen territories outside of the British Isles, collectively named the British overseas territories, which remain under British rule due to lack of support for independence among the local population or because the territory is uninhabited except for transient military or scientific personnel. British sovereignty of two of the overseas territories, Gibraltar and the Falkland Islands, is disputed by their nearest geographical neighbours, Spain and Argentina respectively. The British Antarctic Territory is subject to overlapping claims by Argentina and Chile, whilst many nations do not recognise any territorial claims to Antarctica.

Most former British colonies (and one former Portuguese colony) are members of the Commonwealth of Nations, a non-political, voluntary association of equal members, in which the United Kingdom has no privileged status. The head of the Commonwealth is currently Queen Elizabeth II. Fifteen members of the Commonwealth continue to share their head of state with the United Kingdom, the Commonwealth realms.

Many former British colonies share or shared certain characteristics:

- The English language as either the main or secondary language.
- A democratic parliamentary system of government modelled on the Westminster system.
- A legal system based upon English law. The Judicial Committee of the Privy Council, one of the United Kingdom's highest courts of appeal, still serves as the highest court of appeal for several former colonies.
- A military, police and civil service based upon British models.
- The English and later the imperial systems of measurement (The United States, which uses the older English system, Cyprus and Burma are the only former British colonies not to have officially adopted the metric system). However, the imperial system is still very much used in many "officially metric" countries, such as Canada, Belize, Sierra Leon, and Ireland.
- Educational institutions such as boarding schools and universities modelled on Oxford and Cambridge.
- Driving on the left hand side of the road, with some exceptions mainly in North America and North Africa.
- Popularity of rugby union and/or cricket, as well as related sports.

Several ongoing conflicts and disputes around the world can trace their origins to borders inherited by countries from the British Empire: the Guatemalan claim to Belize, the Kashmir conflict, the Israeli-Palestinian conflict, and within Africa, where political boundaries did not reflect homogeneous ethnicities or religions. The British Empire was also responsible for large migrations of peoples. Millions left the British Isles, with the founding settler populations of the United States,





Canada, Australia and New Zealand coming mainly from Britain and Ireland. Tensions remain between the mainly British-descended populations of Canada, Australia and New Zealand and the indigenous minorities in those countries, and between settler minorities and indigenous majorities in South Africa and Zimbabwe. British settlement of Ireland continues to leave its mark in the form of a divided Catholic and Protestant community. Millions of people also moved between British colonies, for example from India to the Caribbean and Africa, creating the conditions for the expulsion of Indians in Uganda in 1972. The makeup of Britain itself was irreversibly changed after the Second World War with immigration to the United Kingdom from the colonies to which it was granting independence.

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# Byzantine Empire

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The **Byzantine Empire** (a historiographical term used since the 19th century) and **Eastern Roman Empire** are expressions used to describe the Roman Empire of the Middle Ages, centered on its capital of Constantinople, referred to by its inhabitants simply as the **Roman Empire** (in Greek Βασιλεία Ῥωμαίων) or **Romania** (Ῥωμανία), its emperors continuing the unbroken succession of Roman emperors, preserving Greco-Roman legal and cultural traditions; to the Islamic world it was known primarily as روم ( Rûm, "land of the Romans"). Due to the dominance of Medieval Greek language, culture and population, it was known to many of its western European contemporaries as *Empire of the Greeks*.

As an outgrowth of the eastern portion of Empire founded in Rome, the Byzantine Empire's evolution into a separate culture from the West can be seen as a process beginning with Emperor Constantine's transferring the capital from Nicomedia in Anatolia to Byzantium on the Bosphorus (then renamed Nova Roma, and later Constantinople). By the 7th century under the reign of Emperor Heraclius, whose reforms changed the nature of the Empire's military and recognized Greek as the official language, the Empire had taken on a distinct new character.

During its existence the Empire suffered numerous setbacks and losses of territory but remained one of the most powerful economic, cultural and military forces in Europe. The empire's influence also spread into North Africa and the near East for much of the Middle Ages. After a final recovery under the Komnenian dynasty in the 12th century the Empire slipped into a long decline culminating in the capture of Constantinople and the remaining territories by the Ottoman Turks in the 15th century.

During her thousand-year reign, the Empire, a bastion of Christianity and one of the prime trade centers in the world, helped to shield Western Europe from early Muslim expansion, provided a stable gold currency for the Mediterranean region, influenced the laws, political systems, and customs of much of Europe and the Middle East, and preserved much of the literary works and scientific knowledge of ancient Greece, Rome, and many other cultures.

## Etymology

<b>Βασιλεία Ῥωμαίων</b> <b><i>Vasilia Roméon</i></b> <b>Imperium Romanum</b> <b>Roman Empire</b>	
← <input type="checkbox"/>	<b>330 – 1453</b>
	
Flag of the late Empire	Imperial Emblem (Palaiologoi)
	
The Byzantine Empire during its greatest territorial extent under Justinian. c. 550.	





<b>Capital</b>	Constantinople <sup>1</sup>
<b>Religion</b>	(Greek) Eastern Orthodox Christianity
<b>Government</b>	Monarchy
<b>Emperor</b>	
- 306–337	Constantine the Great
- 1449–1453	Constantine XI
<b>Legislature</b>	Byzantine Senate
<b>Historical era</b>	Middle Ages
- Foundation of Constantinople <sup>2</sup>	May 11, 330
- East-West Schism	1054
- Fall of Constantinople to the Fourth Crusade	1204
- Reconquest of Constantinople	1261
- Fall of Constantinople	May 29, 1453
<b>Population</b>	
- 4th cent <sup>3</sup> est.	34,000,000
- 8th cent (780 AD) est.	7,000,000
- 11th cent <sup>3</sup> (1025 AD) est.	12,000,000
- 12th cent <sup>3</sup> (1143 AD) est.	10,000,000
- 13th cent (1281 AD) est.	5,000,000



The term "Byzantine Empire" is an invention of historians and was never used during the Empire's lifetime. The Empire's name in Greek was *Basileia Rhōmaiōn* ( Greek: Βασιλεία Ῥωμαίων) — "The Empire of the Romans" — a translation of the Latin name of the Roman Empire (Latin: *Imperium Romanōrum*); or just *Rhōmania* ( Greek: Ῥωμανία).

The term "Byzantine" itself comes from " Byzantium", the name that the city of Constantinople had before it became the capital of Constantine. This older name of the city would rarely be used from this point onward except in historical or poetic contexts.

The designation of the Empire as "Byzantine" began in Western Europe in 1557, when German historian Hieronymus Wolf published his work *Corpus Historiæ Byzantinæ*, a collection of Byzantine sources. The publication in 1648 of the *Byzantine du Louvre* (*Corpus Scriptorum Historiæ Byzantinæ*), and in 1680 of Du Cange's *Historia Byzantina* further popularized the use of *Byzantine* among French authors, such as Montesquieu. It was not until the 19th century, however, with the birth of modern Greece, that the term "Byzantine" came into general use in the Western world.

Before this, the Empire was described by Western Europeans as *Imperium Graecorum* (Empire of the Greeks)—Byzantine claims to Roman inheritance had been actively contested from at least the time of the coronation of Charlemagne as *Imperator Augustus* by Pope Leo III in 800. Whenever the Popes or the rulers of the West wanted to make use of the name *Roman* to refer to the Byzantine emperors, they preferred the term *Imperator Romaniae* instead of *Imperator Romanorum*, a title that Westerners maintained applied only to Charlemagne and his successors.

## Origin

### The Tetrarchy

#### Currency

Solidus, Hyperpyron

<sup>1</sup> Constantinople (330–1204 and 1261–1453). The capital of the Empire of Nicaea, the empire after the Fourth Crusade, was at Nicaea, present day İznik, Turkey.

<sup>2</sup> Establishment date traditionally considered to be the re-founding of Constantinople as a capital of the Roman Empire although other dates are often used

<sup>3</sup> See Population of the Byzantine Empire for more detailed figures taken provided by *Mcevedy and Jones, "Atlas of world population history", 1978*, as well as *Angeliki E. Laiou, "The Economic History of Byzantium", 2002*.

#### Byzantine Empire Timeline

667 BC	The ancient city of Byzantium (the future Constantinople and future Istanbul) is founded.
27 BC	The rise of the Roman Empire.
ca. 235 - 284	The " crisis of the 3rd century".
292	The reforms of Diocletian ("The Tetrarchy")
330	Constantine makes Byzantium into his capital ( <i>Nova Roma</i> ), which is renamed "Constantinople" ( <i>The City of Constantine</i> ), sometime after Constantine's death in 337. It would remain the capital of the Byzantine Empire, with a half-century exception, for over a thousand years.
395	The Empire is permanently split into eastern and western halves, following on the death of Theodosius I.
527	Justinian I is crowned " emperor".
April 7, 529	The <i>Codex Justinianus</i> is promulgated.
532– 537	The Emperor, Justinian, builds the church of Hagia Sophia
533– 554	Justinian's generals reconquer North Africa and Italy from the Vandals and the Ostrogoths.



Map of the Roman Empire ca. 395, showing the dioceses and praetorian prefectures of Gaul, Italy, Illyricum and Oriens (east), roughly analogous to the four Tetrarchs' zones of influence after Diocletian's reforms.

During the 3rd century, three crises threatened the Roman Empire: external invasions, internal civil wars and an economy riddled with weaknesses and problems. The city of Rome gradually became less important as an administrative centre. The crisis of the 3rd century displayed the defects of the heterogeneous system of government that Augustus had established to administer his immense dominion. His successors had introduced some modifications, but events made it clearer that a new, more centralised and more uniform system was required.

Diocletian was responsible for creating a new administrative system (the tetrarchy). He associated himself with a co-emperor, or *Augustus*. Each Augustus was then to adopt a young colleague, or *Caesar*, to share in the rule and eventually to succeed the senior partner. After the abdication of Diocletian and Maximian, however, the tetrarchy collapsed, and Constantine I

replaced it with the dynastic principle of hereditary succession.

## Constantine I and his successors



*The Baptism of Constantine* painted by Raphael's pupils (1520–1524, fresco, Vatican City, Apostolic Palace).

Eusebius of Caesaria records that, as was customary among Christian converts at the time, Constantine delayed receiving baptism until shortly before his death.

Constantine moved the seat of the Empire, and introduced important changes into its civil and religious constitution. In 330, he founded Constantinople as a second Rome on the site of Byzantium, which was well-positioned astride the trade routes between East and West; it was a superb base from which to guard the Danube river, and was reasonably close to the Eastern frontiers. Constantine also began the building of the great fortified walls, which were expanded and rebuilt in subsequent ages. J. B. Bury asserts that "the foundation of Constantinople [...] inaugurated a permanent division between the Eastern and Western, the Greek and the Latin, halves of the Empire—a division to which events had already pointed—and affected decisively the whole subsequent history of Europe."

Constantine built upon the administrative reforms introduced by

568	The Lombard invasion results in the loss of most of Italy.
634– 641	The Arab armies conquer the Levant and Egypt. In the following decades, they take most of North Africa (and later conquer Sicily as well).
697	The Byzantine city of Carthage in North Africa (capital of the Exarchate of Africa) falls to the Arab invasion.
730– 787 and 813– 843	The Iconoclasm controversies result in the loss of most of the Empire's remaining Italian territories, aside from some of the territories of the <i>Mezzogiorno</i> .
843– 1025	The Macedonian dynasty is established and the Empire experiences a military and territorial revival. Byzantine scholars record and preserve many of the remaining ancient Greek and Roman texts.
960– 1042	The Byzantine Empire deals a string of defeats upon the forces of the Abassid and Fatimid Caliphate, reconquering parts of Mesopotamia, Syria and Palestine.
1002– 1018	The Emperor, Basil II, campaigns annually against the Bulgarians, with the object of annihilating the Bulgar state.
1014	The Bulgarian army is completely defeated at the Battle of Kleidon (Basil II becomes known as <i>The Bulgar Slayer</i> ).
1018	Bulgaria surrenders and is annexed to the empire. The whole of the Balkans is incorporated into the Byzantine Empire, with the Danube as the new Imperial frontier to the north.
1025	With the death of Basil II, the zenith of the Empire's power is passed and the long decline of the Byzantine Empire begins.
1054	The Schism (split between Church in Rome and the Church in Constantinople).
1071	The Emperor, Romanos IV, is defeated by the Seljuk Turks at the Battle of Manzikert, losing his position in most of Asia Minor. In the same year, the last Byzantine outpost in Italy ( Bari) is conquered by the



Diocletian. He stabilized the coinage (the gold solidus that he introduced became a highly prized and stable currency), and made changes to the structure of the army. To divide administrative responsibilities, Constantine replaced the single praetorian prefect, who had traditionally exercised both military and civil functions, with regional prefects enjoying civil authority alone. In the course of the 4th century, four great sections emerged from these Constantinian beginnings, and the practice of separating civil from military authority persisted until the 7th century.

Under Constantine, Christianity did not become the exclusive religion of the state, but enjoyed imperial preference, since the Emperor supported it with generous privileges: clerics were exempted from personal services and taxation, Christians were preferred for administrative posts, and bishops were entrusted with judicial responsibilities. Constantine established the principle that emperors should not settle questions of doctrine, but should summon general ecclesiastical councils for that purpose. The Synod of Arles was convened by Constantine, and the First Council of Nicaea showcased his claim to be head of the Church.

The state of the Empire in 395 may be described in terms of the outcome of Constantine's work. The dynastic principle was established so firmly that the emperor who died in that year, Theodosius I, could bequeath the imperial office jointly to his sons: Arcadius in the East and Honorius in the West. Theodosius was the last emperor to rule over the full extent of the empire in both its halves.

## Early history

	Normans.
1081	The Komnenos dynasty is established by Alexios I and Byzantium becomes involved in the Crusades. Economic prosperity generates new wealth; literature and the arts reach new heights. In Anatolia, the Turks become established.
1091	The Imperial armies defeat the Pechenegs at the Battle of Levounion.
1097	The recapture of Nicaea from the Turks by the Byzantine armies and the First Crusaders.
1097- 1176	The Byzantine armies recapture the coasts of Asia Minor from the Turks, and push east towards central Anatolia. The Crusader Principality of Antioch becomes a Byzantine protectorate.
1122	The Byzantines defeat the Pechenegs at the Battle of Beroia.
1167	The Byzantine armies win a decisive victory over the Hungarians at the Battle of Sirmium and Hungary subsequently becomes a Byzantine client state.
1176	Byzantine-Seljuk Wars: Manuel I Komnenos is defeated at the Battle of Myriokephalon; attempts to capture Konya, the capital of the Seljuk Turks are abandoned after the destruction of his siege equipment. Within a year Manuel recovers the situation <i>status quo ante bellum</i> .
1180	With the death of the Emperor, Manuel I Komnenos, the decline of the Empire recommences.
1185	A successful rebellion is organized in Bulgaria and other lands are lost in the Balkans.
1204	Constantinople is conquered by Crusaders, attempting to establish a Latin Empire.
1261	Constantinople is reconquered by the Patriarch of Constantinople sponsored Emperor of Nicaea, Michael VIII Palaiologos, re-establishing Greek rule of a terminally diminished empire.
1326	The city of Prusa in Asia Minor falls to the Ottoman Turks.



Leo I of the Byzantine Empire  
(401–474, reigned 457–474).

The Eastern Empire was largely spared the difficulties faced by the West in the third and fourth centuries, due in part to a more firmly established urban culture and greater financial resources, which allowed it to placate invaders with tribute and pay barbarian mercenaries. Throughout the fifth century, various invading armies overran the Western Empire but spared the east. Theodosius II further fortified the walls of Constantinople, leaving the city impenetrable to attacks; they were not breached until 1204. To fend off the Huns of Attila, Theodosius gave them subsidies (purportedly 300 kg (700 lb) of gold). Moreover, he favored merchants living in Constantinople who traded with the barbarians.

His successor, Marcian, refused to continue to pay this exorbitant sum. However, Attila had already diverted his attention to the Western Roman Empire. After he died in 453, his empire collapsed and Constantinople initiated a profitable relationship with the remaining Huns, who would eventually fight as mercenaries in Byzantine armies.

After the fall of Attila, the true chief in Constantinople was the Alan general Aspar. Leo I managed to free himself from the influence of the barbarian chief by supporting the rise of the Isaurians, a semi- barbarian tribe living in southern Anatolia.

Aspar and his son Ardabur were murdered in a riot in 471, and henceforth, Constantinople was freed from the influence of barbarian leaders for centuries.

Leo was also the first emperor to receive the crown not from a military leader, as was the Roman tradition, but from the Patriarch of Constantinople, representing the ecclesiastical hierarchy. This change became permanent, and in the Middle Ages the religious characteristic of the coronation completely supplanted the old military form. In 468, Leo unsuccessfully attempted to reconquer North Africa from the Vandals. By that time, the Western Roman Empire was restricted to Italy and the lands south of the Danube as far as the Balkans (the Angles and Saxons had invaded Britain as early as 410; the Visigoths and Suebi had possessed portions of Spain since 417, and the Vandals had entered Africa in 429; Gaul was contested by the Franks under Clovis I, Burgundians, Bretons, Visigoths and some Roman remnants; and Theodoric was destined to rule in Italy until 526).

In 466, as a condition of his Isaurian alliance, Leo married his daughter Ariadne to the Isaurian Tarasicodissa, who took the name Zeno. When Leo died in 474, Zeno and Ariadne's younger son succeeded to the throne as Leo II, with Zeno as regent. When Leo II died later that year, Zeno became emperor. The end of the Western Empire is sometimes dated to 476, early in Zeno's reign, when the barbarian general Odoacer deposed the titular Western Emperor Romulus Augustus, but declined to replace him with another puppet.

- |      |                                                                                                                                                                                                                            |
|------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1331 | The city of Nicaea, capital of the Empire only 100 years previously, falls to the Ottoman Turks.                                                                                                                           |
| 1453 | The Ottoman Turks conquer Constantinople, and with the death of Constantine XI Palaiologos, the last emperor of the Byzantine Empire, the Byzantine Empire comes to an end, marking final destruction of the Roman Empire. |



Eastern Roman Empire, c. AD 480 .

To recover Italy, Zeno could only negotiate with the Ostrogoths of Theodoric, who had settled in Moesia. He sent the barbarian king to Italy as *magister militum per Italiam* ("commander in chief for Italy"). After the fall of Odoacer in 493, Theodoric, who had lived in Constantinople during his youth, ruled Italy on his own. Thus, by suggesting that Theodoric conquer Italy as his Ostrogothic kingdom, Zeno maintained at least a nominal supremacy in that western land while ridding the Eastern Empire of an unruly subordinate.

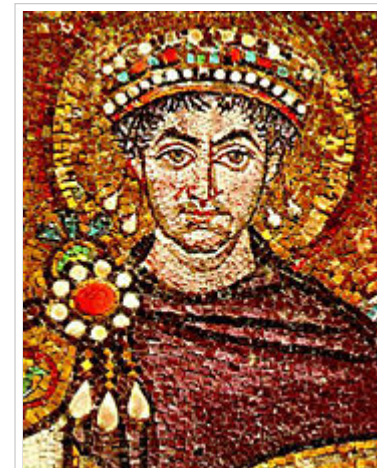
In 475, Zeno was deposed by Basiliscus, the general who led Leo I's 468 invasion of North Africa, but he recovered the throne twenty months later. However, he faced a new threat from another Isaurian, Leontius, who was also elected rival emperor. In 491 Anastasius I, an aged civil officer of Roman origin, became emperor, but it was not until 498 that the forces of the new emperor effectively took the measure of Isaurian resistance. Anastasius revealed himself to be an energetic reformer and an able administrator.

He perfected Constantine I's coinage system by definitively setting the weight of the copper *follis*, the coin used in most everyday transactions. He also reformed the tax system, and permanently abolished the hated chrysargyron tax. The State Treasury contained the enormous sum of 320,000 pounds of gold when he died.

## Justinian I and his successors

Justinian I, who assumed the throne in 527, oversaw a period of Byzantine expansion into former Roman territories. Justinian, the son of an Illyrian peasant, may already have exerted effective control during the reign of his uncle, Justin I (518–527). In 532, attempting to secure his eastern frontier, Justinian signed a peace treaty with Khosrau I of Persia agreeing to pay a large annual tribute to the Sassanids. In the same year, Justinian survived a revolt in Constantinople (the Nika riots) which ended with the death of (allegedly) thirty thousand rioters. This victory solidified Justinian's power. Pope Agapetus I was sent to Constantinople by the Ostrogoths king Theodahad, but failed in his mission to sign a peace with Justinian. However, he succeeded in having the Monophysite Patriarch Anthimus I of Constantinople denounced, despite Empress Theodora's support. The western conquests began in 533, as Justinian sent his general Belisarius to reclaim the former province of North Africa from the Vandals with a small army of about 15,000 men. Success came with surprising ease, but it was not until 548 that the major local independent tribes were subdued. In Ostrogothic Italy, the deaths of Theodoric the Great, his nephew and heir Athalaric, and his daughter Amalasantha had left her murderer Theodahad on the throne despite his weakened authority. In 535, a small Byzantine expedition sent to Sicily met with easy success, but the Goths soon stiffened their resistance, and victory did not come until 540, when Belisarius captured Ravenna, after successful sieges of Naples and Rome.

Nevertheless, the Ostrogoths were soon reunited under the command of Totila and captured Rome on December 17, 546; Belisarius was eventually recalled by Justinian in early 549. The arrival of the Armenian eunuch Narses in Italy (late 551) with an army of some 35,000 men marked another shift in Gothic fortunes. Totila was defeated and died at the Battle of Busta Gallorum. His successor, Teias, was likewise defeated at the Battle of Mons Lactarius (October 552). Despite continuing resistance from a few Goth garrisons and two subsequent invasions by the Franks and Alamanni, the war for the Italian peninsula was at an end. In 551, a noble of Visigothic Hispania, Athanagild,



Justinian depicted on one of the famous mosaics of the Basilica of San Vitale, Ravenna.



sought Justinian's help in a rebellion against the king, and the emperor dispatched a force under Liberius, who, although elderly, proved himself a successful military commander. The Byzantine empire held on to a small slice of the Spania coast until the reign of Heraclius.

In the east, Roman-Persian Wars continued until 561 when Justinian's and Khusro's envoys agreed on a 50-year peace. By the mid-550s, Justinian had won victories in most theatres of operation, with the notable exception of the Balkans, which were subjected to repeated incursions from the Slavs. In 559, the Empire faced a great invasion of Kutrigurs and Sclaveni. Justinian called Belisarius out of retirement, but once the immediate danger was over, the emperor took charge himself. The news that Justinian was reinforcing his Danube fleet made the Kutrigurs anxious, and they agreed to a treaty which gave them a subsidy and safe passage back across the river.



Theodora (here with her retinue, mosaic from Basilica of San Vitale, Ravenna), Justinian's influential wife, was a former mime actress, whose earlier life is vividly described by Procopius in *Secret History*.

Justinian became universally famous because of his legislative work, remarkable for its sweeping character. In 529 a ten-man commission chaired by John the Cappadocian revised the ancient Roman legal code, creating the new *Corpus Juris Civilis*, a collection of laws that came to be referred to as "Justinian's Code". In the *Pandects*, completed under Tribonian's direction in 533, order and system were found in the contradictory rulings of the great Roman jurists, and a textbook, the *Institutiones*, was issued to facilitate instruction in the law schools. The fourth book, the *Novellae*, consisted of collections of imperial edicts promulgated between 534 and 565. Because of his ecclesiastical policies, Justinian came into collision with the Jews, the pagans, and various Christian sects. The latter included the Manichaeans, the Nestorians, the Monophysites, and the Arians. In order to completely eradicate paganism, Justinian closed the famous philosophic school in Athens in 529.

During the 6th century, the traditional Greco-Roman culture was still influential in the Eastern empire with prominent representatives such as the natural philosopher John Philoponus. Nevertheless, the Christian philosophy and culture were in the ascendant and began to dominate the older culture. Hymns written by Romanos the Melode marked the development of the Divine Liturgy, while architects and builders worked to complete the new Church of the Holy Wisdom, Hagia Sophia, designed to replace an older church destroyed in the course of the Nika revolt. Hagia Sophia stands today as one of the major monuments of architectural history. During the 6th and 7th centuries the Empire was struck by a series of epidemics, which

would greatly devastate the population, contributing to a significant economic decline and weakening of the Empire.

Justinian's successor, Justin II, refused to pay the large tribute to the Persians. Meanwhile, the Germanic Lombards invaded Italy; by the end of the century only a third of Italy was in Byzantine hands. Justin's successor, Tiberius II, choosing between his enemies, awarded subsidies to the Avars while taking military action against the Persians. Although Tiberius' general, Maurice, led an effective campaign on the eastern frontier, subsidies failed to restrain the Avars. They captured the Balkan fortress of Sirmium in 582, while the Turks began to make inroads across the Danube. Maurice, who in the meantime had become emperor, made peace with the Sassanian Emperor Khosrau II, achieving access to Armenia, and forced the Avars and Slavs back across the Danube by 602.

## Heraclian dynasty and shrinking borders

After Maurice's murder by Phocas, Khosrau used the pretext to reconquer the Roman province of Mesopotamia. Phocas, an unpopular ruler who is invariably described in Byzantine sources as a "tyrant", was the target of a number of senate-led plots. He was eventually deposed in 610 by Heraclius, who sailed to



Constantinople from Carthage with an icon affixed to the prow of his ship. Following the accession of Heraclius the Sassanid advance pushed deep into Asia Minor, also occupying Damascus and Jerusalem and removing the True Cross to Ctesiphon. The counter-offensive of Heraclius took on the character of a holy war, and an acheiropoietos image of Christ was carried as a military standard. Similarly, when Constantinople was saved from an Avar siege in 626, the victory was attributed to the icons of the Virgin which were led in procession by Patriarch Sergius about the walls of the city. The main Sassanid force was destroyed at Nineveh in 627, and in 629 Heraclius restored the True Cross to Jerusalem in a majestic ceremony. The war had exhausted both the Byzantine and Sassanid Empire, and left them extremely vulnerable to the Arab forces which emerged in the following years. The Byzantines suffered a crushing defeat at the Battle of Yarmuk in 636, and Ctesiphon fell in 634.

Heraclius was the first emperor to replace the traditional Latin title for his office (*Augustus*) with the Greek *Basileus* (Βασιλεύς). This shift from Latin to Greek finds a parallel in the contemporary abandonment of Latin in official documents. In an attempt to heal the doctrinal divide between Chalcedonian and monophysite Christians, Heraclius proposed monotheletism as a compromise. In 638 the new doctrine was posted in the narthex of Hagia Sophia as part of a text called the *Ekthesis*, which also forbade further discussion of the issue. By this time, however, Syria and Palestine, both hotbeds of monophysite belief, had fallen to the Arabs, and another monophysite centre, Egypt, fell by 642. Ambivalence toward Byzantine rule on the part of monophysites may have lessened local resistance to the Arab expansion.

Heraclius did succeed in establishing a dynasty, and his descendants held onto the throne, with some interruption, until 711. Their reigns were marked both by major external threats, from the west and the east, which reduced the territory of the empire to a fraction of its 6th-century extent, and by significant internal turmoil and cultural transformation.



Byzantine Empire by 650 A.D., by this year it lost all of its Southern Provinces except the Exarchate of Carthage

The Arabs, now firmly in control of Syria and the Levant, sent frequent raiding parties deep into Anatolia, and between 674 and 678 laid siege to Constantinople itself. The Arab fleet was finally repulsed through the use of Greek fire, and a thirty-years' truce was signed between the empire and caliphate. The Anatolian raids continued unabated, and accelerated the demise of classical urban culture, with the inhabitants of many cities either refortifying much smaller areas within the old city walls, or relocating entirely to nearby fortresses. The void left by the disappearance of the old semi-autonomous civic institutions was filled by the theme system, which entailed the division of Anatolia into "provinces" occupied by distinct armies which assumed civil authority and answered directly to the imperial administration. This system may have had its roots in certain *ad hoc* measures taken by Heraclius, but over the course of the seventh century it developed into an entirely new system of imperial governance.





The withdrawal of massive amounts of troops from the Balkans to combat the Persians and then the Arabs in the east opened the door for the gradual southward expansion of Slavic peoples into the peninsula, and, as in Anatolia, many cities shrank to small fortified settlements. In the 670s the Bulgars were pushed south of the Danube by the arrival of the Khazars, and in 680 Byzantine forces which had been sent to disperse these new settlements were defeated. In the next year Constantine IV signed a treaty with the Bulgar khan Asparukh, and the new Bulgarian state assumed sovereignty over a number of Slavic tribes which had previously, at least in name, recognized Byzantine rule. In 687/8, emperor Justinian II led an expedition against the Slavs and Bulgars which made significant gains, although the fact that he had to fight his way from Thrace to Macedonia demonstrates the degree to which Byzantine power in the north Balkans had declined.

The one Byzantine city that remained relatively unaffected, despite a significant drop in population and at least two outbreaks of the plague, was Constantinople. However, the imperial capital was marked by its own variety of conflict, both political and religious. Constans II continued the monothelete policy of his grandfather, Heraclius, meeting with significant opposition from laity and clergy alike. The most vocal opponents, Maximus the Confessor and Pope Martin I were arrested, brought to Constantinople, tried, tortured, and exiled. Constans seems to have become immensely unpopular in the capital, and moved his residence to Syracuse, Sicily, where he was ultimately murdered by a member of his court. The Senate experienced a revival in importance in the seventh century and clashed with the emperors on numerous occasions. The final Heraclian emperor, Justinian II, attempted to break the power of the urban aristocracy through severe taxation and the appointment of "outsiders" to administrative posts. He was driven from power in 695, and took shelter first with the Khazars and then with the Bulgars. In 705 he returned to Constantinople with the armies of the Bulgar khan Tervel, retook the throne, and instituted a reign of terror against his enemies. With his final overthrow in 711, supported once more by the urban aristocracy, the Heraclian dynasty came to an end.

The 7th century was a period of radical transformation. The empire which had once stretched from Spain to Jerusalem was now reduced to Anatolia, Chersonesos, and some fragments of Italy and the Balkans. The territorial losses were accompanied by a cultural shift; urban civilization was massively disrupted, classical literary genres were abandoned in favour of theological treatises, and a new "radically abstract" style emerged in the visual arts. That the empire survived this period at all is somewhat surprising, especially given the total collapse of the Sassanid Empire in the face of the Arab expansion, but a remarkably coherent military reorganization helped to withstand the exterior pressures and laid the groundwork for the gains of the following dynasty.

## Isaurian dynasty and Iconoclasm



Greek fire, first used by the Byzantine Navy during the Byzantine-Arab Wars (from the Madrid Skylitzes, Biblioteca Nacional de España, Madrid).



Leo III the Isaurian turned back the Muslim assault in 718, and achieved a major victory at the expense of the Arabs in 740. He also addressed himself to the task of reorganizing and consolidating the themes in Asia Minor. His successor, Constantine V, won noteworthy victories in northern Syria, and thoroughly undermined Bulgar strength. In the beginning of the 9th century the Arabs captured Crete, and successfully attacked Sicily, but on September 3, 863, general Petronas attained a huge victory against the emir of Melitene. Under the leadership of Krum the Bulgar threat also reemerged, but in 814 Krum's son, Omortag, arranged a peace with the Byzantine Empire.

The 8th and 9th centuries were also dominated by controversy and religious division over Iconoclasm. Icons were banned by Leo and Constantine, leading to revolts by iconodules (supporters of icons) throughout the empire. After the efforts of Empress Irene, the Second Council of Nicaea met in 787, and affirmed that icons could be venerated but not worshipped. Irene is said to have endeavored to negotiate a marriage between herself and Charlemagne, but, according to Theophanes the Confessor, the scheme was frustrated by Aetios, one of her favourites. In 813 Leo V the Armenian restored the policy of iconoclasm, but in 843 Empress Theodora restored the veneration of the icons with the help of Patriarch Methodios. Iconoclasm played its part in the further alienation of East from West, which worsened during the so-called Photian Schism, when Pope Nicholas I challenged Photios' elevation to the patriarchate.

## Macedonian dynasty and resurgence

The Byzantine Empire reached its height under the Macedonian emperors (of Armenian and Greek descent) of the late 9th, 10th, and early 11th centuries, when it gained control over the Adriatic Sea, southern Italy, and all of the territory of tsar Samuil of Bulgaria. The cities of the empire expanded, and affluence spread across the provinces because of the new-found security. The population rose, and production increased, stimulating new demand while also helping to encourage trade. Culturally, there was considerable growth in education and learning. Ancient texts were preserved and patiently re-copied. Byzantine art flourished, and brilliant mosaics graced the interiors of the many new churches. Though the empire was significantly smaller than during the reign of Justinian, it was also stronger, as the remaining territories were less geographically dispersed and more politically and culturally integrated.

### Internal developments

Although traditionally attributed to Basil I (867–886), initiator of the Macedonian dynasty, the "Byzantine renaissance" has been more recently ascribed to the reforms of his predecessor, Michael III (842–867) and his wife's counsellor, the erudite Theoktistos. The latter in particular favoured culture at the court, and, with a careful financial policy, steadily increased the gold reserves of the Empire. The rise of the Macedonian dynasty coincided with internal developments which strengthened the religious unity of the empire. The iconoclast movement was experiencing a steep decline: this favoured its soft suppression by the emperors and the reconciliation of the religious strife that had drained the imperial resources in the previous centuries. Despite occasional tactical defeats, the administrative, legislative, cultural and economic situation continued to improve under Basil's successors, especially with Romanos I Lekapenos (920–944). The theme system reached its definitive form in this period. The church establishment began to loyally support the imperial cause, and the power of the landowning



The Byzantine Empire at the accession of Leo III, c. 717. Striped land shows land raided by the Arabs. Click on the image for names of provinces



class was limited in favour of agricultural small holders, who made up an important part of the military force of the Empire. These favourable conditions contributed to the increasing ability of the emperors to wage war against the Arabs.

## Wars against the Muslims

By 867, the empire had stabilised its position in both the east and the west, while the success of its defensive military structure had enabled the emperors to begin planning wars of reconquest in the east.

The process of reconquest began with variable fortunes. The temporary reconquest of Crete (843) was followed by a crushing Byzantine defeat on the Bosphorus, while the emperors were unable to prevent the ongoing Muslim conquest of Sicily (827–902). Using present day Tunisia as their launching pad, the Muslims conquered Palermo in 831, Messina in 842, Enna in 859, Syracuse in 878, Catania in 900 and the final Greek stronghold, the fortress of Taormina, in 902.

These drawbacks were later counterbalanced by a victorious expedition against Damietta in Egypt (856), the defeat of the Emir of Melitene (863), the confirmation of the imperial authority over Dalmatia (867) and Basil I's offensives towards the Euphrates (870s).

The threat from the Muslims was meanwhile reduced by inner struggles and by the rise of the Turks in the east. Muslims received assistance however from the Paulician sect, which had found a large following in the eastern provinces of the Empire and, facing persecution under the Byzantines, often fought under the Arab flag. It took several campaigns to subdue the Paulicians, who were eventually defeated by Basil I.

In 904, disaster struck the empire when its second city, Thessaloniki, was sacked by an Arab fleet led by a Byzantine renegade. The Byzantines responded by destroying an Arab fleet in 908, and sacking the city of Laodicea in Syria two years later. Despite this revenge, the Byzantines were still unable to strike a decisive blow against the Muslims, who inflicted a crushing defeat on the imperial forces when they attempted to regain Crete in 911.

The situation on the border with the Arab territories remained fluid, with the Byzantines alternatively on the offensive or defensive. The Varangians, who attacked Constantinople for the first time in 860, constituted another new challenge. In 941 they appeared on the Asian shore of the Bosphorus, but this time they were crushed, showing the improvements in the Byzantine military position after 907, when only diplomacy had been able to push back the invaders. The vanquisher of the Varangians was the famous general John Kourkouas, who continued the offensive with other noteworthy victories in Mesopotamia (943): these culminated in the reconquest of Edessa (944), which was especially celebrated for the return to Constantinople of the venerated *Mandylion*.

The soldier emperors Nikephoros II Phokas (reigned 963–969) and John I Tzimiskes (969–976) expanded the empire well into Syria, defeating the emirs of north-west Iraq and reconquering Crete and Cyprus. At one point under John, the empire's armies even threatened Jerusalem, far to the south. The emirate of Aleppo and its neighbours became vassals of the empire in the east, where the greatest threat to the empire was the Egyptian Fatimid kingdom.



Byzantine Empire, c. 867 AD



## Wars against the Bulgarians



Emperor Basil II the Bulgar Slayer  
(976–1025).

The traditional struggle with the See of Rome continued, spurred by the question of religious supremacy over the newly Christianized Bulgaria. This prompted an invasion by the powerful Tsar Simeon I in 894, but this was pushed back by the Byzantine diplomacy, which called on the help of the Hungarians. The Byzantines were in turn defeated, however, at the Battle of Bulgarophygon (896), and obliged to pay annual subsidies to the Bulgarians. Later (912) Simeon even had the Byzantines grant him the crown of *basileus* of Bulgaria and had the young emperor Constantine VII marry one of his daughters. When a revolt in Constantinople halted his dynastic project, he again invaded Thrace and conquered Adrianople.

A great imperial expedition under Leo Phocas and Romanos Lekapenos ended again with a crushing Byzantine defeat at the Battle of Anchialus (917), and the following year the Bulgarians were free to ravage northern Greece up to Corinth. Adrianople was captured again in 923 and in 924 a Bulgarian army laid siege to Constantinople. The situation in the Balkans improved only after Simeon's death in 927.

Under the emperor Basil II (reigned 976–1025), the Bulgarians, who had conquered much of the Balkans from the Byzantines since their arrival three hundred years previously, became the target of annual campaigns by the Byzantine army. The war was to drag on for nearly twenty years, but eventually at the Battle of Kleidon the Bulgarians were completely defeated. The

Bulgarian army was captured, and it is said that 99 out of every 100 men were blinded, with the remaining hundredth man left with one eye so as to lead his compatriots home. When Tsar Samuil saw the broken remains of his once gallant army, he died of shock. In 1018 Bulgaria surrendered and became part of the empire. This stunning victory restored the Danube frontier, which had not been held since the days of the emperor Heraclius.

The empire also gained a new ally at this time in the new Varangian state in Kiev, from which the empire received an important mercenary force, the famous Varangian Guard, in exchange for the marriage of Basil's sister Anna to Vladimir I of Kiev. During this period the Byzantine princess Theophanu, wife of the Holy Roman Emperor Otto II, served as regent of the Holy Roman Empire, paving the way for the westward spread of Byzantine culture.

## Triumph



The Empire under Basil II



The Byzantine Empire now stretched to Armenia in the east, to Calabria in Southern Italy in the west. Many successes had been achieved, ranging from the conquest of Bulgaria, to the annexation of parts of Georgia and Armenia, to the total annihilation of an invading force of Egyptians outside Antioch. Yet even these victories were not enough; Basil considered the continued Arab occupation of Sicily to be an outrage. Accordingly, he planned to reconquer the island, which had belonged to the empire for over 300 years (c. 550 – c. 900). However, his death in 1025 put an end to the project.

The 11th century was also momentous for its religious events. In 1054, relations between Greek-speaking Eastern and Latin-speaking Western traditions within the Christian Church reached a terminal crisis. Although there was a formal declaration of institutional separation, on July 16, when three papal legates entered the Hagia Sophia during Divine Liturgy on a Saturday afternoon and placed a bull of excommunication on the altar, the so-called Great Schism was actually the culmination of centuries of gradual separation. Although the schism was brought about by doctrinal disputes (in particular, Eastern refusal to accept the Western Church doctrine of the *filioque*, or double procession of the Holy Spirit), disputes over administration and political issues had simmered for centuries. The formal separation of the Byzantine Orthodox Church and the Western Catholic Church would have wide ranging consequences for the future of Byzantium.

## Crisis and fragmentation



The Byzantine Empire and its themata during the 11th century. At this point, the Empire was the most powerful in the mediterranean.



Byzantium soon fell into a period of difficulties, caused to a large extent by the undermining of the theme system and the neglect of the military. Nikephoros II, John Tzimiskes and Basil II changed the military divisions (*τάγματα*, *tagmata*) from a rapid response, primarily defensive, citizen army into a professional, campaigning army increasingly manned by mercenaries. Mercenaries, however, were expensive and as the threat of invasion receded in the 10th century, so did the need for maintaining large garrisons and expensive fortifications. Basil II left a burgeoning treasury upon his death, but neglected to plan for his succession. None of his immediate successors had any particular military or political talent and the administration of the Empire increasingly fell into the hands of the civil service. Efforts to revive the Byzantine economy only resulted in inflation and a debased gold coinage. The army was now seen as both an unnecessary expense and a political threat. Therefore, native troops were cashiered and replaced by foreign mercenaries on specific contract.



Map of Italy on the eve of the arrival of the Normans.

At the same time, the Empire was faced with new, ambitious enemies. Byzantine provinces in southern Italy faced the Normans, who arrived in Italy at the beginning of the 11th century. The allied forces of Melus of Bari and the Normans were defeated at the Battle of Cannae in 1018, and two decades later Michael IV the Paphlagonian equipped an expedition for the reconquest of Sicily from the Arabs. Although the campaign was initially successful, the reconquest of Sicily was not accomplished, mainly because George Maniaces, the commander of the Byzantine forces, was recalled when he was suspected of having ambitious schemes. During a period of strife between Byzantium and Rome which ended in the East-West Schism of 1054, the Normans began to advance, slowly but steadily, into Byzantine Italy.

It was in Asia Minor, however, that the greatest disaster would take place. The Seljuq Turks made their first explorations across the Byzantine frontier into Armenia in 1065 and in 1067. The emergency lent weight to the military aristocracy in Anatolia who, in 1068, secured the election of one of their own, Romanos Diogenes, as emperor. In the summer of 1071, Romanos undertook a massive eastern campaign to draw the Seljuks into a general engagement with the Byzantine army. At Manzikert Romanos not only suffered a surprise defeat at the hands of Sultan Alp Arslan, but was also captured. Alp Arslan treated him with respect, and imposed no harsh terms on the Byzantines. In Constantinople, however, a coup took place in favour of Michael Doukas, who soon faced the opposition of Nikephoros Bryennios and Nikephoros Botaneiates. By 1081 the Seljuks expanded their rule over virtually the entire Anatolian plateau from Armenia in the east to Bithynia in the west and founded their capital in Nicea.

## Komnenian dynasty and the crusaders

### Alexios I and the First Crusade



Diptych of Romanos and Eudocia Macrembolitissa crowned by Christ ( Bibliothèque nationale de France, Paris).



After Manzikert, a partial recovery (referred to as the Komnenian restoration) was made possible by the efforts of the Komnenian dynasty. The first emperor of this royal line was Isaac I (1057–1059) and the second Alexios I. At the very outset of his reign, Alexios faced a formidable attack by the Normans under Robert Guiscard and his son Bohemund of Taranto, who captured Dyrrhachium and Corfu, and laid siege to Larissa in Thessaly. Robert Guiscard's death in 1085 temporarily eased the Norman problem. The following year the Seljuq sultan died, and the sultanate was split by internal rivalries. By his own efforts, Alexios defeated the Pechenegs; they were caught by surprise and annihilated at the Battle of Levounion on 28 April 1091.

Having achieved stability in the West, Alexios could turn his attention to the severe economic difficulties and the disintegration of the empire's traditional defences. However, he still did not have enough manpower to recover the lost territories in Asia Minor, and to advance against the Seljuks. At the Council of Piacenza in 1095, Alexios' envoys spoke to Pope Urban II about the suffering of the Christians of the East, and underscored that without help from the West they would continue to suffer under Muslim rule. Urban saw Alexios' request as a dual opportunity to cement Western Europe and enhance papal power. On 27 November 1095, Pope Urban II called together the Council of Clermont, and urged all those present to take up arms under the sign of the Cross and launch an armed pilgrimage to recover Jerusalem and the East from the Muslims. The response in Western Europe was overwhelming.



The Byzantine Empire and the Sultanate of Rum before the Crusades



The very brief first coinage of the Thessaloniki mint, which Alexios opened as he passed through in September 1081 on his way to confront the invading Normans under Robert Guiscard.

Alexios had anticipated help in the form of mercenary forces from the West, but was totally unprepared for the immense and undisciplined force which soon arrived in Byzantine territory. It was no comfort to Alexios to learn that four of the eight leaders of the main body of the Crusade were Normans, among them Bohemund. Since the crusade had to pass through Constantinople, however, the Emperor had some control over it. He required its leaders to swear to restore to the empire any towns or territories they might conquer from the Turks on their way to the Holy Land. In return, he gave them guides and a military escort. Alexios was able to recover a number of important cities and islands, and in fact much of western Asia Minor. Nevertheless, the crusaders believed their oaths were invalidated when Alexios did not help them during the siege of Antioch (he had in fact set out on the road to Antioch, but had been persuaded to turn back by Stephen of Blois, who assured him that all was lost and that the expedition had already failed). Bohemund, who had set himself up as Prince of Antioch, briefly went to war with the Byzantines, but agreed to become Alexios' vassal under the Treaty of Devol in 1108, which marked the end of Norman threat during Alexios' reign.



Alexios reconstituted the army and navy, but only by means of stabilizing the gold coinage at one-third of its original value and by imposing supplementary taxes. The supply of native soldiers had virtually ceased with the disappearance or absorption of their military holdings. Alexios promoted an alternative source of native manpower by extending the system of granting estates in *pronoia* (by favour of the emperor) and tying the grant to a military obligation. Similarly, Alexios tried to promote more profitable development of the estates of the church by granting them to the management of laymen. The final years of Alexios's reign were marked by persecution of the followers of the Paulician and Bogomil heresies, and by anxieties as to the succession, which his wife Irene Doukaina wished to alter in favour of her daughter Anna's husband, Nikephoros Bryennios.

## John II, Manuel I and the Second Crusade



John II Komnenos left the imperial treasury full, and did not call for the execution or maiming of a single subject during his reign. Nicknamed 'John the Good', he is regarded by the Byzantine historian Niketas Choniates as the best emperor of the Komnenian dynasty.

Alexios' son John II Komnenos succeeded him in 1118, and was to rule until 1143. John was a pious and dedicated emperor who was determined to undo the damage his empire had suffered at the battle of Manzikert, half a century earlier. Famed for his piety and his remarkably mild and just reign, John was an exceptional example of a moral ruler, at a time when cruelty was the norm. For this reason, he has been called the Byzantine Marcus Aurelius. In the course of his twenty-five year reign, John made alliances with the Holy Roman Empire in the west, decisively defeated the Pechenegs at the Battle of Beroia, and personally led numerous campaigns against the Turks in Asia Minor. John's campaigns fundamentally changed the balance of power in the east, forcing the Turks onto the defensive and restoring to the Byzantines many towns, fortresses and cities right across the peninsula. He also thwarted Hungarian, and Serbian threats during the 1120s, and in 1130 allied himself with the German emperor Lothair III against the Norman King Roger II of Sicily. In the later part of his reign John focused his activities on the East. He defeated the Danishmend emirate of Melitene, and reconquered all of Cilicia, while forcing Raymond of Poitiers, Prince of Antioch, to recognize Byzantine suzerainty. In an effort to demonstrate the Byzantine emperor's role as the leader of the Christian world, John marched into the Holy Land at the head of the combined forces of Byzantium and the Crusader states; yet despite the great vigour with which he pressed the campaign, John's hopes were disappointed by the treachery of his Crusader allies. In 1142 John returned to press his claims to Antioch, but he died in the spring of 1143 following a hunting accident. Raymond was emboldened to invade Cilicia, but he was defeated and forced to go to Constantinople to beg mercy from the new emperor.



Medieval manuscript depicting the Capture of Jerusalem during the First Crusade.





John's chosen heir was his fourth son, Manuel I Komnenos, who campaigned aggressively against his neighbours both in the west and in the east. In Palestine, he allied himself with the Crusader Kingdom of Jerusalem and sent a large fleet to participate in a combined invasion of Fatimid Egypt. Manuel reinforced his position as overlord of the Crusader states, with his hegemony over Antioch and Jerusalem secured by agreement with Raynald, Prince of Antioch, and Amalric, King of Jerusalem respectively. In an effort to restore Byzantine control over the ports of southern Italy, he sent an expedition to Italy in 1155, but disputes within the coalition led to the eventual failure of the campaign. Despite this military setback, Manuel's armies successfully invaded the Kingdom of Hungary in 1167, defeating the Hungarians at the Battle of Sirmium. By 1168 nearly the whole of the eastern Adriatic coast lay in Manuel's hands. Manuel made several alliances with the Pope and Western Christian kingdoms, and successfully handled the passage of the Second Crusade through his empire. Although hopes for a lasting Papal-Byzantine alliance came up against insuperable problems, Pope Innocent III clearly had a positive view of Manuel when he told Alexios III that he should imitate "your predecessor Manuel of famous memory" who "always replied favourably to ourselves and our predecessors".

In the east, however, Manuel suffered a major defeat at the Battle of Myriokephalon, in 1176, against the Turks. Yet the losses were quickly made good, and in the following year Manuel's forces inflicted a defeat upon a force of "picked Turks". John Vatatzes, who was sent by the Emperor to repel the Turkish invasion, not only brought troops from the capital but also was able to gather an army along the way; a sign that the Byzantine army remained strong and that the defensive program of western Asia Minor was still successful.

## 12th century Renaissance

John and Manuel pursued active military policies, and both deployed considerable resources on sieges and on city defenses; aggressive fortification policies were at the heart of their imperial military policies. Despite the defeat at Myriokephalon, the policies of Alexios, John and Manuel resulted in vast territorial gains, increased frontier stability in Asia Minor, and secured the stabilization of the empire's European frontiers. From c.1081 to c.1180, the Komnenian army assured the empire's security, enabling Byzantine civilization to flourish.



Byzantine Empire in purple, c.1180, at the end of the Komnenian period.



This allowed the Western provinces to achieve an economic revival which continued until the close of the century. It has been argued that Byzantium under the Komnenian rule was more prosperous than at any time since the Persian invasions of the 7th century. During the 12th century population levels rose and extensive tracts of new agricultural land were brought into production. Archaeological evidence from both Europe and Asia Minor shows a considerable increase in the size of urban settlements, together with a notable upsurge in new towns. Trade was also flourishing; the Venetians, the Genoese and others opened up the ports of the Aegean to commerce, shipping goods from the Crusader kingdoms of Outremer and Fatimid Egypt to the west and trading with the Byzantine Empire via Constantinople.

In artistic terms, there was a revival in mosaic, and regional schools of architecture began producing many distinctive styles that drew on a range of cultural influences. During the 12th century the Byzantines provided their model of early humanism as a renaissance of interest in classical authors. In Eustathius of Thessalonica Byzantine humanism found its most characteristic expression.

## Decline and disintegration

### Dynasty of the Angeloi and Third Crusade

"Whatever paper might be presented to the Emperor (Alexios III) for his signature, he signed it immediately; it did not matter that in this paper there was a senseless agglomeration of words, or that the supplicant demanded that one might sail by land or till the sea, or that mountains should be transferred into the middle of the seas or, as a tale says, that Athos should be put upon Olympus."

*Nicetas Choniates*

Manuel's death on 24 September 1180 left his 11-year-old son Alexios II Komnenos on the throne. Alexios was highly incompetent at the office, but it was his mother, Maria of Antioch, and her Frankish background that made his regency unpopular. Eventually Andronikos I Komnenos, a grandson of Alexios I, launched a revolt against his younger relative and managed to overthrow him in a violent *coup d'état*. Utilizing his good looks and his immense popularity with the army, he marched on to Constantinople in August 1182, and incited a massacre of the Latins. After eliminating his potential rivals, he had himself crowned as co-emperor in September 1183; he eliminated Alexios II and even took his 12-year-old wife Agnes of France for himself.

This troubled succession weakened the dynastic continuity and solidarity on which the strength of the Byzantine state had come to rely. The new emperor was a man of astounding contrasts. Handsome and eloquent, Andronikos was at the same time known for his licentious exploits. Energetic, able and determined, he had been called a "true Komnenos". However, he was also capable of terrifying brutality, violence and cruelty.

Andronikos began his reign well; in particular, the measures he took to reform the government of the empire have been praised by historians. According to George Ostrogorsky, Andronikos was determined to root out corruption: Under his rule the sale of offices ceased; selection was based on merit, rather than favoritism; officials were paid an adequate salary so as to reduce the temptation of bribery. In the provinces Andronikos' reforms produced a speedy and marked improvement. The people felt the severity of his laws, but acknowledged their justice, and found themselves protected from the rapacity of their



The most famous of the surviving Byzantine mosaics of the Hagia Sophia - Christ Pantocrator flanked by the Virgin Mary and John the Baptist. The mosaics were made in the 12th century.



superiors. Andronikos' efforts to rein in the oppressive tax collectors and officials of the empire did much to alleviate the lot of the peasantry, but his attempt to check the power of the nobility was considerably more problematic. The aristocrats were infuriated against him, and to make matters worse, Andronikos seems to have become increasingly unbalanced; executions and violence became increasingly common, and his reign turned into a reign of terror. Andronikos seemed almost to seek the extermination of the aristocracy as a whole. The struggle against the aristocracy turned into wholesale slaughter, while the emperor resorted to ever more ruthless measures to shore up his regime.

Despite his military background, Andronikos failed to deal with Isaac Komnenos, Béla III who reincorporated Croatian territories into Hungary, and Stephen Nemanja of Serbia who declared his independence from Byzantium. Yet none of these troubles would compare to William II of Sicily's invasion force of 300 ships and 80,000 men, arriving in 1185. Andronikos mobilized a small fleet of 100 ships to defend the capital but other than that he was indifferent to the populace. He was finally overthrown when Isaac Angelos, surviving an imperial assassination attempt, seized power with the aid of the people and had Andronikos killed.

The reign of Isaac II, and, still more, that of his brother Alexios III, saw the collapse of what remained of the centralized machinery of Byzantine government and defense. Although, the Normans were driven out of Greece, in 1186 the Bulgars began a rebellion that was to lead to the formation of the Second Bulgarian Empire. The mismanagement of the Third Crusade clearly demonstrated Byzantium's weaknesses under the Angeli. When Richard I of England appropriated Cyprus from its ruler, Isaac Komnenos, he refused to hand it back to the Empire, and when Frederick Barbarossa conquered Iconium, Isaac failed to seize the initiative. The internal policy of the Angeloi was characterized by the squandering of the public treasure, and the fiscal maladministration. Byzantine authority was severely weakened, and the growing power vacuum at the centre of the empire encouraged fragmentation. There is evidence that some Komnenian heirs had set up a semi-independent state in Trebizond before 1204. According to Alexander Vasiliev, "the dynasty of the Angeloi, Greek in its origin, [...] accelerated the ruin of the Empire, already weakened without and disunited within."



Iconium is won by the Third Crusade.

## Fourth Crusade



*The Entry of the Crusaders into Constantinople*, by Eugène Delacroix (1840, oil on canvas, 410 x 498 cm, Louvre, Paris).

In 1198, Pope Innocent III broached the subject of a new crusade through legates and encyclical letters. The stated intent of the crusade was to conquer Egypt, now the centre of Muslim power in the Levant. The crusader army that arrived at Venice in the summer of 1202 was somewhat smaller than had been anticipated, and there were not sufficient funds to pay the Venetians, whose fleet was hired by the crusaders to take them to Egypt. Venetian policy under the aging and blind but still ambitious Doge Enrico Dandolo was potentially at variance with that of the Pope and the crusaders, because Venice was closely related commercially with Egypt. The crusaders accepted the suggestion that in lieu of payment they assist the Venetians in the capture of the (Christian) port of Zara in Dalmatia (vassal city of Venice, which had rebelled and placed itself under Hungary's protection in 1186). The city fell in November 1202 after a brief siege. Innocent, who was informed of the plan, but his veto was disregarded, was reluctant to jeopardize the Crusade, and gave conditional absolution to the crusaders—not, however, to the Venetians.

After the death of Theobald III, Count of Champagne, the leadership of the Crusade passed to Boniface of Montferrat, a friend of the Hohenstaufen Philip of Swabia. Both Boniface and Philip had married into the Byzantine imperial family. In fact, Philip's brother-in-law, Alexios Angelos, son of the deposed and blinded emperor Isaac II Angelos, had appeared in Europe seeking aid and had made contacts with the crusaders. Alexios offered to reunite the Byzantine church with Rome, pay the crusaders 200,000 silver marks, and join the crusade with 200,000 silver marks and all the supplies they needed to get to Egypt. Innocent was aware of a plan to divert the Crusade to Constantinople, and forbade any attack on the city; but the papal letter arrived after the fleets had left Zara.

Alexios III made no preparations for the defense of the city; thus, when the Venetian fleet entered the waters of Constantinople on June 24, 1203, they encountered little resistance. In the summer of 1203 Alexios III fled, and Alexios Angelos was elevated to the throne as Alexios IV along with his blind father Isaac. Innocent reprimanded the leaders of the crusaders, and ordered them to proceed forthwith to the Holy Land.

"None of you should therefore dare to assume that it is permissible for you to seize or to plunder the land of the Greeks, even though the latter may be disobedient to the Apostolic See, or on the grounds that the Emperor of Constantinople has deposed and even blinded his brother and usurped the imperial throne. For though this same emperor and the men entrusted to his rule may have sinned, both in these and in other matters, it is not for you to judge their faults, nor have you assumed the sign of the cross to punish this injury; rather you specifically pledged your self to the duty of avenging the insult to the cross."

*Innocent III to Boniface I of Montferrat, Baldwin IX, Count of Flanders, and Louis I, Count of Blois (Ferentino, summer 1203, c. June 20).*

When in late November 1203 Alexios IV announced that his promises were hard to keep as the empire was short on funds (he had managed to pay roughly half of the promised amount of 200,000 silver marks, and could not fulfil his promise that he would cover the Venetians' rent of the fleet for the crusaders.), the crusaders declared war on him. Meanwhile, internal opposition to Alexios IV grew, and, on January 25, 1204, one of his courtiers, Alexios Doukas killed him, and took the throne himself as Alexios V; Isaac died soon afterwards, probably naturally. The crusaders and Venetians, incensed at the murder of their supposed patron, prepared to assault the Byzantine capital. They decided that 12 electors (six Venetians and six crusaders) should choose a Latin emperor.



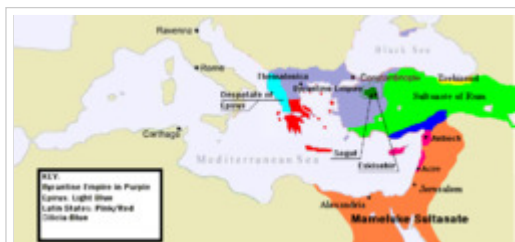
Eventually, the crusaders took the city on April 13, 1204. Constantinople was subjected by the rank and file to pillage and massacre for three days. Many priceless icons, relics, and other objects later turned up in Western Europe, a large number in Venice. According to Choniates, a prostitute was even set up on the Patriarchal throne. When Innocent III heard of the conduct of his crusaders, he castigated them in no uncertain terms. But the situation was beyond his control, especially after his legate, on his own initiative, had absolved the crusaders from their vow to proceed to the Holy Land. When order had been restored, the crusaders and the Venetians proceeded to implement their agreement; Baldwin of Flanders was elected emperor and the Venetian Thomas Morosini chosen patriarch. The lands parcelled out among the leaders did not include all the former Byzantine possessions. The Byzantine rule continued in Nicaea, Trebizond, and Epirus. (Capital cities of the latter, Nicaea, Trebizond, Ioannina).



Map to show the partition of the empire following the Fourth Crusade, c.1204.

## Fall

### Empire in exile



Middle East c. 1263

After the sack of Constantinople in 1204 by Latin Crusaders, three Byzantine successor states were established: the Empire of Nicaea, the Empire of Trebizond and the Despotate of Epirus. Of these three successor states, Epirus and Nicaea stood the best chance of reclaiming Constantinople. The Nicaean Empire struggled, however, to survive the next few decades, and by the mid 13th century it lost much of southern Anatolia. The weakening of the Sultanate of Rum following the Mongol Invasion in 1242-43 allowed many Beyliks and fanatical *ghazis* to set up their own principalities in Anatolia, weakening the Byzantine hold on Asia Minor. In time, one of the Beys, Osman I, created an empire that would conquer Byzantium. However, the Mongol Invasion also gave Nicaea a temporary respite from Seljuk attacks allowing it to concentrate on the Latin Empire only north of its position.

### Reconquest of Constantinople



The Empire of Nicaea, founded by the Laskaris, managed to reclaim Constantinople from the Latins in 1261 and defeat Epirus. This led to a short lived revival of Byzantine fortunes under Michael VIII, but the war-ravaged empire was ill-equipped to deal with the enemies that now surrounded it. In order to maintain his campaigns against the Latins, Michael pulled troops from Asia Minor, and levied crippling taxes on the peasantry, causing much resentment. Massive construction projects were completed in Constantinople to repair the damages of the Fourth Crusade, but none of these initiatives was of any comfort to the farmers in Asia Minor, suffering raids from fanatical ghazis.

Rather than holding on to his possessions in Asia Minor, Michael chose to expand the Empire, gaining only short-term success. To avoid another sacking of the capital by the Latins, he forced the Church to submit to Rome, again a temporary solution for which the peasantry hated Michael and Constantinople. The efforts of Andronikos II and later his grandson Andronikos III marked Byzantium's last genuine attempts in restoring the glory of the empire. However, the use of mercenaries by Andronikos II would often backfire, with the Catalan Company ravaging the countryside and increasing resentment towards Constantinople. By 1390, Philadelphia, the last Byzantine stronghold in inner Asia Minor, fell to the Turks.

Civil war wrecked the empire during the 14th century, since Andronikos III's successor was far too young to rule and the resulting regency's rivalry tore the Empire. The Asian provinces were lost to the Turks, while the Serbians and Bulgarians conquered the Empire's remaining territory in Europe. For a while, the empire survived simply because the Turks of Anatolia were too divided to attack. Nevertheless, the unifying influence of Osman I (1258–1326) allowed the newly founded Ottoman Empire to deprive the Byzantines of all but a handful of port cities.

Things went worse for Byzantium, when, during the civil war, an earthquake at Gallipoli in 1354 devastated the fort, allowing the Turks the very next day to cross into Europe. By the time the Byzantine civil war had ended, the Ottomans had defeated the Serbians and subjugated them as vassals. Following the Battle of Kosovo, much of the Balkans became dominated by the Ottomans.



Map of the Middle East c. 1355. Byzantium has lost its territory in Asia Minor and Epirus has been reduced significantly by Serbia. Ottoman lands are in purple, and Red Byzantium.



Eastern Mediterranean just before the fall of Constantinople.

The Emperors appealed to the west for help, but the Pope would only consider sending aid in return for a reunion of the Eastern Orthodox Church with the See of Rome. Church unity was considered, and occasionally accomplished by imperial decree, but the Orthodox citizenry and clergy intensely resented Roman authority and the Latin Rite. Some western mercenaries arrived to bolster the Christian defence of Constantinople, but most Western rulers, distracted by their own affairs, did nothing as the Ottomans picked apart the remaining Byzantine territories.

Constantinople by this stage was underpopulated and dilapidated. The population of the city had collapsed so severely that it was now little more than a cluster of villages separated by fields. On April 2, 1453, the Sultan's army of some 80,000 men and his hordes of irregulars laid siege to the city. Despite a desperate last-ditch defense of the city by the massively outnumbered Christian forces (c. 7,000 men, 2,000 of whom were foreign mercenaries), Constantinople finally fell to the Ottomans after a two-month siege on May 29, 1453. The last Byzantine emperor, Constantine XI Palaiologos, was last seen casting off his imperial regalia and throwing himself into hand-to-hand combat after the walls of the city were taken.

## Aftermath

Mehmed II went on to conquer the Greek statelets of Mistra in 1460 and Trebizond in 1461. The nephew of the last Emperor, Constantine XI, Andreas Palaeologos had inherited the defunct title of Byzantine Emperor and used it from 1465 until his death in 1503. By the end of the 15th century, the Ottoman Empire had established its firm rule over Asia Minor and parts of the Balkan peninsula. Mehmed II and his successors continued to consider themselves proper heirs to the Byzantine Empire until the demise of the Ottoman Empire in the early 20th century. Meanwhile, the Danubian Principalities harbored Orthodox refugees, including some Byzantine nobles.

At his death, the role of the emperor as a patron of Eastern Orthodoxy was claimed by Ivan III, Grand Duke of Muscovy. He had married Andreas' sister, Sophia Paleologue, whose grandson, Ivan IV, would become the first Tsar of Russia (*tsar*, or *czar*, meaning *caesar*, is a term traditionally applied by Slavs to the Byzantine Emperors). Their successors supported the idea that Moscow was the proper heir to Rome and Constantinople. The idea of the Russian Empire as the new, Third Rome was kept alive until its demise with the Russian Revolution of 1917.

## Culture

## Economy

The Byzantine economy was among the most advanced in Europe and the Mediterranean for many centuries.

Europe, in particular, was unable to match Byzantine economic strength until late in the Middle Ages. Constantinople was a prime hub in a



The siege of Constantinople in 1453 according to a 15th century French miniature.



Byzantine Culture Art



trading network that at various times extended across nearly all of Eurasia and North Africa, in particular being the primary western terminus of the famous *silk road*. Some scholars argue that, up until the arrival of the Arabs in the 7th century, the Empire had the most powerful economy in the world. The Arab conquests, however, would represent a substantial reversal of fortunes contributing to a period of decline and stagnation. Constantine V's reforms (c. 765) marked the beginning of a revival that continued until 1204. From the 10th century until the end of the 12th, the Byzantine Empire projected an image of luxury, and the travelers were impressed by the wealth accumulated in the capital. All this changed with the arrival of the Fourth Crusade, which was an economic catastrophe. The Palaiologoi tried to revive the economy, but the late Byzantine state would not gain full control of either the foreign or domestic economic forces. Gradually, it also lost its influence on the modalities of trade and the price mechanisms, and its control over the outflow of precious metals and, according to some scholars, even over the minting of coins.



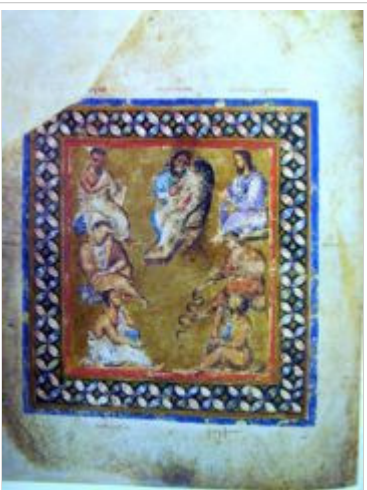
*Solidus* of Justinian II, second reign, after 705

One of the economic foundations of the empire was trade. Textiles must have been by far the most important item of export; silks were certainly imported into Egypt, and appeared also in Bulgaria, and the West. The state strictly controlled both the internal and the international trade, and retained the monopoly of issuing coinage. The government exercised formal control over interest rates, and set the parameters for the activity of the guilds and corporations, in which it had a special interest. The emperor and its officials intervened at times of crisis to ensure the provisioning of the capital, and to keep down the price of cereals. Finally, the government often collected part of the surplus through taxation, and put it back into circulation, through redistribution in the form of salaries to state officials, or in the form of investment in public works.

**Aristocracy &  
Bureaucracy**  
**Army**  
**Architecture**  
**Coinage**  
**Cuisine**  
**Dance**  
**Diplomacy**  
**Dress**  
**Economy**  
**Gardens**  
**Law**  
**Literature**  
**Music**  
**Medicine**  
**Navy**  
**Science**

## Science, Medicine, Law





The frontispiece of the Vienna Dioscurides, which shows a set of seven famous physicians.

The writings of Classical antiquity never ceased to be cultivated in Byzantium. Therefore, Byzantine science was in every period closely connected with ancient philosophy, and metaphysics. Although at various times the Byzantines made magnificent achievements in the application of the sciences (notably in the construction of the Hagia Sophia), after the 6th century Byzantine scholars made few novel contributions to science in terms of developing new theories or extending the ideas of classical authors. Scholarship particularly lagged during the dark years of plague and the Arab conquests, but then during the so-called *Byzantine Renaissance* at the end of the first millennium Byzantine scholars re-asserted themselves becoming experts in the scientific developments of the Arabs and Persians, particularly in astronomy and mathematics.

In the final century of the Empire, Byzantine grammarians were those principally responsible for carrying, in person and in writing, ancient Greek grammatical and literary studies to early Renaissance Italy. During this period astronomy and other mathematical sciences were taught in Trebizond; medicine attracted the interest of almost all scholars.

In the field of law, Justinian I's reforms had a clear effect on the evolution of jurisprudence, and Leo III's *Ecloga* influenced the formation of legal institutions in the Slav world.

## Religion

According to Joseph Raya, "Byzantine culture and Orthodoxy are one and the same." The survival of the Empire in the East assured an active role of the Emperor in the affairs of the Church. The Byzantine state inherited from pagan times the administrative, and financial routine of administering religious affairs, and this routine was applied to the Christian Church. Following the pattern set by Eusebius of Caesarea, the Byzantines thought of the Emperor as a representative or messenger of Christ, responsible particularly for the propagation of Christianity among pagans, and for the "externals" of the religion, such as administration and finances. The imperial role, however, in the affairs of the Church never developed into a fixed, legally defined system.

With the decline of Rome, and internal dissension in the other Eastern patriarchates, the church of Constantinople became, between the 6th and 11th centuries, the richest and most influential centre of Christendom. Even when the Empire was reduced to only a shadow of itself, the Church, as an institution, had never exercised so much influence both inside and outside of the imperial frontiers. As George Ostrogorsky points out:

The Patriarchate of Constantinople remained the centre of the Orthodox world, with subordinate metropolitan sees and archbishoprics in the territory of Asia Minor and the Balkans, now lost to Byzantium, as well as in Caucasus, Russia and Lithuania. The Church remained the most stable element in the Byzantine Empire.

However, there were some non-Christian minorities in Byzantium, most notably Jews.

## Art and literature

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As a symbol and expression of the universal prestige of the Patriarchate of Constantinople, Justinian built the Church of the Holy Wisdom of God, Hagia Sophia, which was completed in the short period of four and a half years (532–537).



Miniatures of the 6th-century Rabula Gospel display the more abstract and symbolic nature of Byzantine art.

Architecture, painting, and other visual arts produced in the Byzantine Empire and in various areas that came under its influence. Byzantine art is almost entirely concerned with religious expression and, more specifically, with the impersonal translation of carefully controlled church theology into artistic terms. Byzantine forms were spread by trade and conquest to Italy and Sicily, where they persisted in modified form through the 12th century, and became formative influences on Italian Renaissance art. By means of the expansion of the Eastern Orthodox church, Byzantine forms spread to eastern European centers, particularly Russia. Influences from Byzantine architecture, particularly in religious buildings, can be found in diverse regions from Egypt and Arabia to Russia and Romania.

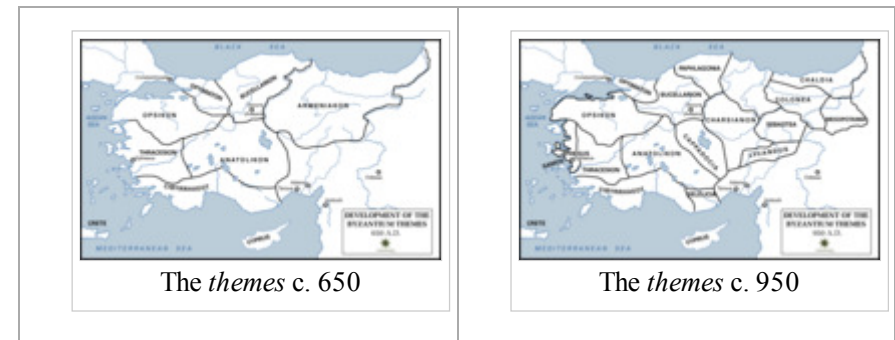
In Byzantine literature, therefore, four different cultural elements are to be reckoned with: the Greek, the Christian, the Roman, and the Oriental. Byzantine literature is often classified in five groups: historians and annalists, encyclopedists (Patriarch Photios, Michael Psellos, and Michael Choniates are regarded as the greatest encyclopedists of Byzantium) and essayists, and writers of secular poetry (The only genuine heroic epic of the Byzantines is the *Digenis Acritas*). The remaining two groups include the new literary species: ecclesiastical and theological literature, and popular poetry. Of the approximately two to three thousand volumes of Byzantine literature that survive, only three hundred and thirty consist of secular poetry, history, science and pseudo-science. While the most flourishing period of the secular literature of Byzantium runs from the ninth to the twelfth century, its religious literature ( sermons, liturgical books and poetry, theology, devotional treatises etc.) developed much earlier with Romanos the Melodist being its most prominent representative.

## Government and bureaucracy

In the Byzantine state, the emperor was the sole and absolute ruler, and his power was regarded as having divine origin. By the end of the 8th century, a civil administration focused on the court was formed as part of a large-scale consolidation of power in the capital (the rise to pre-eminence of the position of *sakellarios* is related to this change). The most important reform of this period is the creation of themes, where civil and military administration is exercised by one person, the *strategos*.

Despite the occasionally derogatory use of the word "Byzantine", the Byzantine bureaucracy had a distinct ability for reinventing itself in accordance with the Empire's situation. The Byzantine system of titlature and precedence makes the imperial administration look like an ordered bureaucracy to modern observers.

Officials were arranged in strict order around the emperor, and depended upon the imperial will for their ranks. There were also actual administrative jobs, but authority could be vested in individuals rather than offices. In the 8th and 9th centuries civil service constituted the clearest path to aristocratic status, but, starting in the 9th century, the civil aristocracy was rivaled by an aristocracy of nobility. According to some studies of Byzantine government, 11th-century politics were dominated by competition between the civil and the military aristocracy. During this period, Alexios I undertook important administrative reforms, including the creation of new courtly dignities and offices.





## Diplomacy



Olga, ruler of Kievan Rus', along with her escort in Constantinople (Madrid Skylitzes, Biblioteca Nacional de España, Madrid)

After the fall of Rome, the key challenge to the Empire was to maintain a set of relations between itself and its sundry neighbors. When these nations set about forging formal political institutions, they were dependent on Constantinople. Byzantine diplomacy soon managed to draw its neighbors into a network of international and inter-state relations. This network revolved around treaty making, and included the welcoming of the new ruler into the family of kings, and the assimilation of Byzantine social attitudes, values and institutions. Byzantines regarded diplomacy as a form of war by other means: the *Bureau of Barbarians* was the first foreign intelligence agency, gathering information on the empire's rivals from every imaginable source.

Byzantines availed themselves of a number of diplomatic practices. For example, embassies to the capital would often stay on for years. A member of other royal houses would routinely be requested to stay on in Constantinople, not only as a potential hostage, but also as a useful pawn in case political conditions where he came from changed. Another key practice was to overwhelm visitors by sumptuous displays. According to Dimitri Obolensky, the preservation of civilization in Eastern Europe

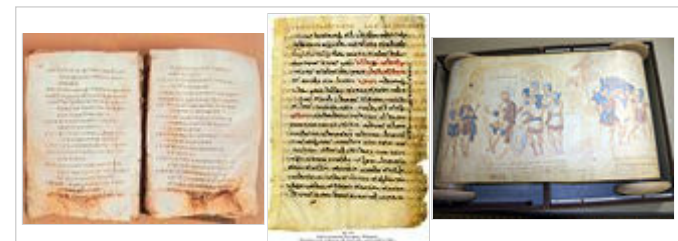
was due to the skill and resourcefulness of Byzantine diplomacy, which remains one of Byzantium's lasting contributions to the history of Europe.

## Language

Owing its origins to Rome the original language of the Empire was Latin and this continued to be its official language until the 7th century AD when it was changed to Greek by Heraclius. Scholarly Latin would rapidly fall into disuse among the educated classes although the language would continue to be at least a ceremonial part of the Empire's culture for some time. Additionally common Latin continued to be a minority language in the Empire which many scholars believe gave birth to the Vlach languages.

Apart from the Imperial court, though, the primary language used in the eastern Roman provinces (i.e. the Eastern Roman Empire) even before the decline of the Western Empire had always been Greek. Indeed early on in the life of the Roman Empire Greek had become the common language in the Christian Church, the language of scholarship and the arts, and, to a large degree, the lingua franca for trade between provinces and with other nations. The language itself for a time gained a dual nature with the primary spoken language, Koine, existing alongside an older literary language with Koine eventually evolving into the standard dialect.

Many other languages existed in the multi-ethnic Empire as well, and some of these were given limited official status in their provinces at various times. Notably, by the beginning of the Middle Ages, Syriac and Aramaic had become more widely used by the educated classes in the far eastern provinces. Similarly Coptic, Armenian, and Georgian became significant among the educated in their provinces,



Left: The Mudil Psalter, the oldest complete psalter in the Coptic language ( Coptic Museum, Egypt, Coptic Cairo).

Middle: The Codex Armenicus Rescriptus, a 6th/10th century parchment containing Armenian and Syriac liturgy (The Schøyen Collection).

Right: The Joshua Roll, a 10th century illuminated Greek manuscript probably made in Constantinople ( Vatican Library, Rome).



and later foreign contacts made the Slavonic, Vlach, and Arabic languages important in the Empire and its sphere of influence.

Aside from these, since Constantinople was a prime trading centre in the Mediterranean region and beyond, virtually every known language of the Middle Ages was spoken in the Empire at some time, even Chinese. As the Empire entered its final decline the Empire's citizens became more culturally homogeneous and the Greek language became synonymous with their identity and their religion.

## Legacy

As the only stable long-term state in Europe during the Middle Ages, Byzantium isolated Western Europe from newly emerging forces to the East. Constantly under attack, it distanced Western Europe from Persians, Arabs, Seljuk Turks, and for a time, the Ottomans. The Byzantine-Arab Wars, for example, are recognized by some historians as being a key factor behind the rise of Charlemagne, and a huge stimulus to feudalism and economic self-sufficiency.

For centuries, Western historians have used the terms *Byzantine* and *Byzantinism* as bywords for decadence, duplicitous politics and complex bureaucracy, and there was a strongly negative assessment of Byzantine civilization and its legacy in Southeastern Europe. *Byzantinism* in general was defined as a body of religious, political, and philosophical ideas which ran contrary to those of the West. Similarly until the 20th century the term *East*, in the context of *Eastern* and *Western* culture, was commonly used to refer to cultures that had strong influences from the Byzantine Empire (including by extension the Arabs and the Ottomans). The 20th and 21st centuries, however, have seen attempts by historians in the West to understand the Empire in a more balanced and accurate fashion including its influences on the West, and as a result the complex character of Byzantine culture has received more attention and a more objective treatment than previously.

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# Dark Ages

## 2008/9 Schools Wikipedia Selection. Related subjects: General history

*This article is about the phrase *Dark Age(s)* as a characterization of the (Early) Middle Ages in Western Europe.*

In European historiography, the term **Dark Age** or **Dark Ages** refers to the Early Middle Ages, the period encompassing (roughly) 476 to 1000 AD.

This concept of a Dark Age was created by the Italian scholar Petrarch ( Francesco Petrarca) in the 1330s and was originally intended as a sweeping criticism of the character of Late Latin literature. Later historians expanded the term to refer to the transitional period between Classical Roman Antiquity and the High Middle Ages, including not only the lack of Latin literature, but also a lack of contemporary written history, general demographic decline, limited building activity and material cultural achievements in general. Popular culture has further expanded on the term as a vehicle to depict the Middle Ages as a time of backwardness, extending its pejorative use and expanding its scope.

The rise of archaeology and other specialties in the 20th century has shed much light on the period and offered a more nuanced understanding of its positive developments. Other terms of periodization have come to the fore: Late Antiquity, the Early Middle Ages, and the Great Migrations, depending on which aspects of culture are being emphasized.

When modern scholarly study of the Middle Ages arose in the 19th century, the term "Dark Ages" was at first kept, with all its critical overtones. When the term "Dark Ages" is used by historians today, it is intended to be neutral, namely, to express the idea that the events of the period often seem "dark" to us only because of the paucity of artistic and cultural output, including historical records, when compared with later times.

## Petrarch



Petrarch, who conceived the idea of a European "Dark Age." From *Cycle of Famous Men and Women*, Andrea di Bartolo di Bargillac, c.1450



It is generally accepted that the concept was created by Petrarch in the 1330s. Writing of those who had come before him, he said, "Amidst the errors there shone forth men of genius, no less keen were their eyes, although they were *surrounded by darkness* and dense gloom. Christian writers had traditional metaphors of "light versus darkness" to describe "good versus evil". Petrarch was the first to co-opt the metaphor and give it secular meaning by reversing its application. Classical Antiquity, so long considered the "dark" age for its lack of Christianity, was now seen by Petrarch as the age of "light" because of its cultural achievements, while Petrarch's time, lacking such cultural achievements, was seen as the age of darkness.

As an Italian, Petrarch saw the Roman Empire and the classical period as expressions of Italian greatness. He spent much of his time traveling through Europe rediscovering and republishing the classic Latin and Greek texts. He wanted to restore the classical Latin language to its former purity. Humanists saw the preceding 900-year period as a time of stagnation. They saw history unfolding, not along the religious outline of St. Augustine's Six Ages of the World, but in *cultural* (or secular) terms through the progressive developments of classical ideals, literature, and art.

Petrarch wrote that history had had two periods: the classic period of the Greeks and Romans, followed by a time of darkness, in which he saw himself as still living. Humanists believed one day the Roman Empire would rise again and restore classic cultural purity, and so by the late 14th and early 15th century, humanists such as Leonardo Bruni believed they had attained this new age, and that a third, Modern Age had begun. The age before their own, which Petrarch had labeled dark, thus became a "middle" age between the classic and the modern. The first use of the term "Middle Age" appeared with Flavio Biondo around 1439.

## After the Renaissance

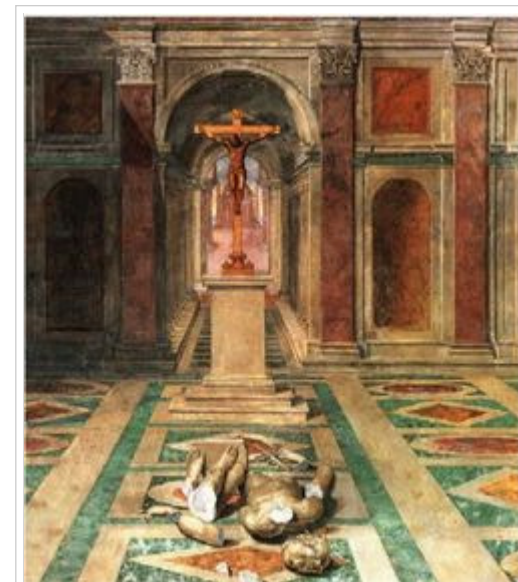
Historians prior to the 20th century wrote about the Middle Ages from a mix of perspectives. Most of them expressed negative sentiments.

### Reformation

During the Protestant Reformation of the 16th and 17th centuries, Protestants wrote of the Middle Ages as a period of Catholic corruption. Just as Petrarch's writing was not an attack on Christianity per se—in addition to his humanism, he was deeply occupied with the search for God—neither was this an attack on Christianity, but the opposite: it was a drive to restore what Protestants saw as a "purer" Christianity. In response to these attacks, Roman Catholic reformers developed a counter image, depicting the age as a period of social and religious harmony, and not "dark" at all.

### Enlightenment

During the 17th and 18th centuries, in the Age of Enlightenment, religion was seen as antithetical to reason. Because the Middle Ages were seen as the "Age of



*Triumph of Christianity* by Tommaso Laureti (1530-1602), ceiling painting in the Sala di Costantino, Vatican Palace. Images like this one celebrate the destruction of ancient pagan culture and the victory of Christianity.



Faith", it was seen as a period contrary to reason, and thus contrary to the Age of Reason. Immanuel Kant and Voltaire were two Enlightenment writers who were vocal in attacking the religiously dominated Middle Ages as a period of social decline. Many modern negative conceptions of the age come from Enlightenment authors. Yet just as Petrarch, seeing himself on the threshold of a "new age", was criticizing the centuries up until his own time, so too were the Enlightenment writers criticizing the centuries up until their own. These extended well after Petrarch's time, since religious domination and conflict were still common into the 17th century and beyond, albeit diminished in scope.

Consequently, an evolution had occurred in at least three ways. Petrarch's original metaphor of light versus dark had been expanded in time, implicitly, at least. Even if the early humanists after him no longer saw themselves living in a *dark* age, their times were still not *light* enough for 18th-century writers who saw themselves as living in the real Age of Enlightenment, while the period covered by their own condemnation had been extended and was focused also on what we now call Early Modern times. Additionally, Petrarch's metaphor of darkness, which he used mainly to deplore what he saw as a lack of secular achievements, was sharpened to take on a more explicitly antireligious meaning in light of the draconian tactics of the Catholic clergy.

In spite of this, the term "Middle Ages", used by Biondo and other early humanists after Petrarch, was the name in general use before the 18th century to denote the period up until the Renaissance. The earliest recorded use of the English word "medieval" was in 1827. The term "Dark Ages" was also in use, but by the 18th century, it tended to be confined to the earlier part of this medieval period. Starting and ending dates varied: the Dark Ages were considered by some to start in 410, by others in 476 when there was no longer an emperor in Rome, and to end about 800, at the time of the Carolingian Renaissance under Charlemagne, or to extend through the rest of the first millennium up until about the year 1000.

## Romantics

In the early 19th century, the Romantics reversed the negative assessment of Enlightenment critics. The word "Gothic" had been a term of opprobrium akin to "Vandal" until a few self-confident mid-18th-century English "goths" like Horace Walpole initiated the Gothic Revival in the arts—which for the following Romantic generation began to take on an idyllic image of the Age of Faith. This image, in reaction to a world dominated by Enlightenment rationalism in which reason trumped emotion, expressed a romantic view of a Golden Age of chivalry. The Middle Ages were seen with romantic nostalgia as a period of social and environmental harmony and spiritual inspiration, in contrast to the excesses of the French Revolution and, most of all, to the environmental and social upheavals and sterile utilitarianism of the emerging industrial revolution. The Romantics' view of these earlier centuries can still be seen in modern-day fairs and festivals celebrating the period with costumes and events.

Just as Petrarch had turned the meaning of light versus darkness, so had the Romantics turned the judgment of Enlightenment critics. However, the period idealized by the Romantics focused largely on what is now known as the High Middle Ages, extending into Early Modern times. In one respect, this was a reversal of the religious aspect of Petrarch's judgment, since these later centuries were those when the universal power and prestige of the Church was at its height. To many users of the term, the scope of the Dark Ages was becoming divorced from this period, denoting mainly the earlier centuries after the fall of Rome.

## Modern academic use



When modern scholarly study of the Middle Ages arose in the 19th century, the term "Dark Ages" was at first kept, with all its critical overtones. Although it was never the more formal term (universities named their departments "medieval history" not "Dark Age history"), it was widely used, including in such classics as Gibbon's *The History of the Decline and Fall of the Roman Empire*, where it expressed the author's contempt for priest-ridden, superstitious, dark times. However, the early 20th century saw a radical reevaluation of the Middle Ages, and with it a calling into question of the terminology of darkness. A.T. Hatto, translator of many medieval works, exemplified this when he spoke ironically of "the lively centuries which we call dark". It became clear that serious scholars would either have to redefine the term or abandon it.

When the term "Dark Ages" is used by historians today, it is intended to be neutral, namely, to express the idea that the events of the period often seem "dark" to us only because of the paucity of historical records compared with later times. The darkness is ours, not theirs. However, since there is no shortage of information on the High and Late Middle Ages, this required a narrowing of the reference to the Early Middle Ages. Late 5th- and 6th-century Britain, for instance, at the height of the Saxon invasions, might well be numbered among "the darkest of the Dark Ages", with the equivalent of a near-total news blackout in terms of historical records, compared with either the Roman era before or the centuries that followed. Further east, the same was true in the formerly Roman province of Dacia, where history after the Roman withdrawal went unrecorded for centuries, as Slavs, Avars, Bulgars, and others struggled for supremacy in the Danube basin, and events there are still disputed. However, at this time the Byzantine Empire and especially the Arab Empire experienced Golden Ages rather than Dark Ages; consequently, this usage of the term must also differentiate geographically. While Petrarch's concept of a Dark Age corresponded to a mostly Christian period following pre-Christian Rome, the neutral use of the term today applies mainly to those cultures least Christianized and thus most sparsely covered by the Catholic Church's historians.

However, from the mid-20th century onwards, other scholars began to critique even this nonjudgmental use of the term. There are two main criticisms. First, it is questionable whether it is possible to use the term "Dark Ages" effectively in a neutral way; scholars may intend this, but it does not mean that ordinary readers will so understand it. Second, the explosion of new knowledge and insight into the history and culture of the Early Middle Ages, which 20th-century scholarship has achieved, means that these centuries are no longer dark even in the sense of "unknown to us". Consequently, many academic writers prefer not to use the expression at all.

## Modern popular use





Films and novels often use the term "Dark Age" with its implied meaning of a time of backwardness. The movie *Monty Python and the Holy Grail* humorously portrays knights and chivalry, following the tradition begun with *Don Quixote*. A 2007 television show on The History Channel called the Dark Ages "600 years of degenerate, godless, inhuman behaviour."

The public idea of the Middle Ages as a supposed "Dark Age" is also reflected in misconceptions regarding the study of nature during this period. The contemporary historians of science David C. Lindberg and Ronald Numbers discuss the widespread popular belief that the Middle Ages was a "time of ignorance and superstition", the blame for which is to be laid on the Christian Church for allegedly "placing the word of religious authorities over personal experience and rational activity", and emphasize that this view is essentially a caricature. For instance, a claim that was first propagated in the 19th century and is still very common in popular culture is the supposition that the people from the Middle Ages believed that the Earth was flat. According to Lindberg and Ronald L. Numbers, this claim was mistaken, as "there was scarcely a Christian scholar of the Middle Ages who did not acknowledge [Earth's] sphericity and even know its approximate circumference." Ronald Numbers states that misconceptions such as "the Church prohibited autopsies and dissections during the Middle Ages", "the rise of Christianity killed off ancient science", and "the medieval Christian church suppressed the growth of natural philosophy", are examples of widely popular myths that still pass as historical truth, even though he says that they are not supported by current historical research.

## Quotations

- "What else, then, is all history, but the praise of Rome?"—Petrarch
- "Each famous author of antiquity whom I recover places a new offence and another cause of dishonour to the charge of earlier generations, who, not satisfied with their own disgraceful barrenness, permitted the fruit of other minds, and the writings that their ancestors had produced by toil and application, to perish through insufferable neglect. Although they had nothing of their own to hand down to those who were to come after, they robbed posterity of its ancestral heritage."—Petrarch
- "My fate is to live among varied and confusing storms. But for you perhaps, if as I hope and wish you will live long after me, there will follow a better age. When the darkness has been dispersed, our descendants can come again in the former pure radiance."—Petrarch
- "Between the far away past history of the world, and that which lies near to us; in the time when the wisdom of the ancient times was dead and had passed away, and our own days of light had not yet come, there lay a great black gulf in human history, a gulf of ignorance, of superstition, of cruelty, and of wickedness. That time we call the dark or Middle Ages. Few records remain to us of that dreadful period in our world's history, and we only know of it through broken and disjointed fragments that have been handed down to us through the generations."— Howard Pyle, *Otto of the Silver Hand* (1888)
- "The Middle Ages is an unfortunate term. It was not invented until the age was long past. The dwellers in the Middle Ages would not have recognized it. They did not know that they were living in the middle; they thought, quite rightly, that they were time's latest achievement."— Morris Bishop, *The Middle Ages* (1968)
- "If it was dark, it was the darkness of the womb." — Lynn White



Medieval artistic illustration of the spherical Earth in a 14th century copy of *L'Image du monde* (ca. 1246)

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# Edward Gibbon

## 2008/9 Schools Wikipedia Selection. Related subjects: Historians, chroniclers and history books

**Edward Gibbon** ( April 27, 1737 – January 16, 1794) was an English historian and Member of Parliament. His most important work, *The History of the Decline and Fall of the Roman Empire*, was published in six volumes between 1776 and 1788. *The History* is known principally for the quality and irony of its prose, its use of primary sources, and its open denigration of organized religion, though the extent of this is disputed by some critics.

## Childhood

Edward Gibbon was born in 1737, the son of Edward and Judith Gibbon at Lime Grove, in the town of Putney, near London, England. He had six siblings: five brothers and one sister, all of whom died in infancy. His grandfather, also named Edward, had lost all in the notorious South Sea Bubble scandal, but eventually regained nearly all of it, so that Gibbon's father was able to inherit a substantial estate.

As a youth, his health was under constant threat. He described himself as "a puny child, neglected by my Mother, starved by my nurse." At age nine, Gibbon was sent to Dr. Woddeson's school at Kingston-on-Thames, shortly after which his mother died. He then took up residence in the Westminster School boarding house, owned by his adored "Aunt Kitty," Catherine Porten. Soon after she died in 1786, he remembered her as rescuing him from his mother's disdain, and imparting "the first rudiments of knowledge, the first exercise of reason, and a taste for books which is still the pleasure and glory of my life." By 1751, Gibbon's reading was already voracious and certainly pointed toward his future pursuits: Laurence Echard's *Roman History* (1713), William Howel(l)'s *An Institution of General History* (1680–85), and several of the 65 volumes of the acclaimed *Universal History from the Earliest Account of Time* (1747–1768).

## Oxford, Lausanne, and a religious journey

Following a stay at Bath to improve his health, Gibbon in 1752 at the age of 15, was sent by his father to Magdalen College, Oxford, where he was enrolled as a gentleman-commoner. He was ill-suited, however, to the college atmosphere and later rued his 14 months there as the "most idle and unprofitable" of his life.

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### Edward Gibbon



Edward Gibbon (1737–1794)

<b>Born</b>	April 27, 1737 Putney, England, UK
<b>Died</b>	January 16, 1794 (aged 56) London, England, UK



But his penchant for "theological controversy," (his aunt's influence), fully bloomed when he came under the spell of rationalist theologian Conyers Middleton (1683–1750) and his *Free Inquiry into the Miraculous Powers* (1749). In that tract, Middleton denied the validity of such powers; Gibbon promptly objected. The product of that disagreement, with some assistance from the work of Catholic Bishop Jacques-Bénigne Bossuet (1627–1704), and that of the Elizabethan Jesuit Robert Parsons (1546–1610), yielded the most memorable event of his time at Oxford: his conversion to Roman Catholicism on June 8, 1753. He was further "corrupted" by the 'free thinking' deism of the playwright/poet couple David and Lucy Mallet; and finally Gibbon's father, already "in despair," had had enough.

Within weeks of his conversion, the youngster was removed from Oxford and sent to live under the care and tutelage of David Pavillard, Reformed pastor of Lausanne, Switzerland. It was here that he made one of his life's two great friendships, that of Jacques Georges Deyverdun; the other being John Baker Holroyd (later Lord Sheffield). Just a year and a half later, on Christmas Day 1754, he reconverted to Protestantism. "The articles of the Romish creed," he wrote, "disappeared like a dream." He remained in Lausanne for five intellectually productive years, a period that greatly enriched Gibbon's already immense aptitude for scholarship and erudition: he read Latin literature; traveled throughout Switzerland studying its cantons' constitutions; and aggressively mined the works of Hugo Grotius, Samuel von Pufendorf, John Locke, Pierre Bayle, and Blaise Pascal.

## Thwarted romance

He also met the one romance in his life: the pastor of Crassy's daughter, a young woman named Suzanne Curchod, who would later become the wife of Louis XVI's finance minister Jacques Necker, and the mother of Madame de Staël. The two developed a warm affinity; Gibbon proceeded to propose marriage, but ultimately wedlock was out of the question, blocked both by his father's staunch disapproval and Curchod's equally staunch reluctance to leave Switzerland. Gibbon returned to England in August 1758 to face his father's steely scowl. There could be no refusal of the elder's wishes. Gibbon put it this way: "After a painful struggle I yielded to my fate: I sighed as a lover, I obeyed as a son." He proceeded to cut off all contact with Curchod, even as she vowed to wait for him. Their final emotional break apparently came at Ferney, France in the spring of 1764, though they did see each other at least one more time a year later.

## First fame and the grand tour

Upon his return to England, Gibbon published his first book, *Essai sur l'Étude de la Littérature* in 1761, which produced an initial taste of celebrity and distinguished him, in Paris at least, as a man of letters. From 1759 to 1770, Gibbon served on active duty and in reserve with the South Hampshire militia, his deactivation in December 1762 coinciding with the militia's dispersal at the end of the Seven Years' War. The following year he embarked on the Grand Tour (of continental Europe), which included a visit to Rome. The *Memoirs* vividly record Gibbon's rapture when he finally neared "the great object of [my] pilgrimage":

I can neither forget nor express the strong emotions which agitated my mind as I first approached and entered the *eternal [C]ity*. After a sleepless night, I trod, with a lofty step, the ruins of the Forum; each memorable spot where Romulus *stood*, or Tully spoke, or Caesar fell, was at once present to my eye; and several days of intoxication were lost or enjoyed before I could descend to a cool and minute investigation.

And it was here that Gibbon first conceived the idea of composing a history of the city, later extended to the entire empire, a moment known to history as the



"Capitoline vision":

It was at Rome, on the [fifteenth] of October[,] 1764, as I sat musing amidst the ruins of the Capitol, while the bare[-]footed fryars were singing [V]espers in the temple of Jupiter, that the idea of writing the decline and fall of the [C]ity first started to my mind.

## *Magnum opus*

His father died in 1770, and after tending to the estate, which was by no means in good condition, there remained quite enough for Gibbon to settle fashionably in London at 7 Bentinck Street, independent of financial concerns. By February 1773 he was writing in earnest, but not without the occasional self-imposed distraction. He took to London society quite easily, joined the better social clubs, including Dr. Johnson's literary **Club**, and looked in from time to time on his friend Holroyd in Sussex. He succeeded Oliver Goldsmith at the Royal Academy as 'professor in ancient history' (honorary but prestigious). In late 1774, he was initiated a freemason of the Premier Grand Lodge of England. And, perhaps least productively in that same year, he was returned to the House of Commons for Liskeard, Cornwall through the intervention of his relative and patron, Edward Eliot. He became the archetypal back-bencher, benignly "mute" and "indifferent," his support of the Whig ministry routinely automatic. Gibbon's indolence in that position, perhaps fully intentional, subtracted little from the progress of his writing.

After several rewrites, and Gibbon "often tempted to throw away the labours of seven years," the first volume of what would become his life's major achievement, *The History of the Decline and Fall of the Roman Empire*, was published on February 17, 1776. Through 1777, the reading public eagerly consumed three editions for which Gibbon was rewarded handsomely: two-thirds of the profits amounting to approx. £1000. Biographer Leslie Stephen wrote that thereafter, "His fame was as rapid as it has been lasting." And as regards this first volume, "Some warm praise from [David] Hume overpaid the labour of ten years."

Volumes II and III appeared on March 1, 1781, eventually rising "to a level with the previous volume in general esteem." Volume IV was finished in June 1784; the final two were completed during a second Lausanne sojourn (Sept. 1783 to Aug. 1787) where Gibbon reunited with his friend Deyverdun in leisurely comfort. By early 1787, he was "straining for the goal;" and with great relief the project was finished in June. From the *Memoirs*:

It was on the ...night of the 27th of June, 1787, between the hours of eleven and twelve, that I wrote the last lines of the last page in a summer-house in my garden. ... I will not dissemble the first emotions of joy on the recovery of my freedom; and perhaps the establishment of my fame. But my pride was soon humbled, and a sober melancholy was spread over my mind by the idea that I had taken my everlasting leave of an old and agreeable friend.

Volumes IV, V, and VI finally reached the press in May 1788, publication having been delayed since March to coincide with a dinner party celebrating Gibbon's 51st birthday (the 8th). Mounting a bandwagon of praise for the later volumes were such contemporary luminaries as Adam Smith, William Robertson, Adam Ferguson, Lord Camden, and Horace Walpole. Smith remarked that Gibbon's triumph had positioned him "at the very head of [Europe's] literary tribe."

## Aftermath and the end

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The years following Gibbon's completion of *The History* were filled largely with sorrow and increasing physical discomfort. He had returned to London in late 1787 to oversee the publication process alongside Lord Sheffield. With that accomplished, in 1789 it was back to Lausanne only to learn of and be "deeply affected" by the death of Deyverdun, who had willed Gibbon his home, La Grotte. He resided there with little commotion, took in the local society, received a visit from Sheffield in 1791, and "shared the common abhorrence" of the French Revolution. In 1793, word came of Lady Sheffield's death; Gibbon immediately deserted Lausanne and set sail to comfort a grieving but composed Sheffield. His health began to fail critically in December, and at the turn of the new year, he was on his last legs.

Gibbon is believed to have suffered from hydrocele testis, a condition which causes the scrotum to swell with fluid in a compartment overlying either testicle. In an age when close-fitting clothes were fashionable, his condition led to a chronic and disfiguring inflammation which left Gibbon a lonely figure. As his condition worsened, he underwent numerous procedures to alleviate the condition, but with no enduring success. In early January, the last of a series of three operations caused an unremitting peritonitis to set in and spread. The "English giant of the Enlightenment" finally succumbed at 12:45 pm, January 16, 1794 at age 56, to be buried in the Sheffield family graveyard at the parish church in Fletching, Sussex.

## Assessment

Gibbon's work has been criticized for its aggressively scathing view of Christianity as laid down in chapters XV and XVI. Those chapters were strongly criticised and resulted in the banning of the book in several countries. Gibbon's alleged crime was disrespecting, and none too lightly, the character of sacred Christian doctrine in "treat[ing] the Christian church as a phenomenon of general history, not a special case admitting supernatural explanations and disallowing criticism of its adherents" as the Roman church was likely expecting. More specifically, Gibbon's blasphemous chapters excoriated the church for "supplanting in an unnecessarily destructive way the great culture that preceded it" and for "for the outrage of [practicing] religious intolerance and warfare". Gibbon, though assumed to be entirely anti-religion, was actually supportive to some extent, insofar as it did not obscure his true endeavour - a history that was not influenced and swayed by official church doctrine. Some argue that though it is true that the most famous two chapters are heavily ironical and cutting about religion, that it is interesting that it is in no way utterly condemned, and that the apparent truth and rightness is upheld however thinly.

Gibbon, in letters to Holroyd and others, expected some type of church-inspired backlash, but the utter harshness of the ensuing torrents far exceeded anything he or his friends could possibly have anticipated. Contemporary detractors such as Joseph Priestley and Richard Watson stoked the nascent fire, but the most severe of these attacks was an "acrimonious" piece by the young cleric, Henry Edwards Davis. Gibbon subsequently published his *Vindication* in 1779, in which he categorically denied Davis' "criminal accusations", branding him a purveyor of "servile plagiarism." Davis followed Gibbon's *Vindication* with yet another reply (1779).

Gibbon's antagonism to Christian doctrine spilled over into the Jewish faith, inevitably leading to charges of anti-Semitism. For example, he wrote:

Humanity is shocked at the recital of the horrid cruelties which [the Jews] committed in the cities of Egypt, of Cyprus, and of Cyrene, where they dwelt in treacherous friendship with the unsuspecting natives;<sup>1</sup> and we are tempted to applaud the severe retaliation which was exercised by the arms of legions against a race of fanatics, whose dire and credulous superstition seemed to render them the implacable enemies not only of the Roman government, but also of humankind.<sup>2</sup>



## Burke, Churchill and 'the fountain-head'

Gibbon is considered to be a son of the Enlightenment and this is reflected in his famous verdict on the history of the Middle Ages: "I have described the triumph of barbarism and religion." However, politically, he aligned himself with the conservative Edmund Burke's rejection of the democratic movements of the time as well as with Burke's dismissal of the "rights of man."

Gibbon's work has been praised for its style, his piquant epigrams and its effective irony. Winston Churchill memorably noted, "I set out upon...Gibbon's *Decline and Fall of the Roman Empire* [and] was immediately dominated both by the story and the style. ...I devoured Gibbon. I rode triumphantly through it from end to end and enjoyed it all." Churchill modelled much of his own literary style on Gibbon's. The future Prime Minister, like the "English Voltaire," dedicated himself to producing a "vivid historical narrative, ranging widely over period and place and enriched by analysis and reflection."

Unusually for the 18th century, Gibbon was never content with secondhand accounts when the primary sources were accessible (though most of these were drawn from well-known printed editions). "I have always endeavoured," he says, "to draw from the fountain-head; that my curiosity, as well as a sense of duty, has always urged me to study the originals; and that, if they have sometimes eluded my search, I have carefully marked the secondary evidence, on whose faith a passage or a fact were reduced to depend." In this insistence upon the importance of primary sources, Gibbon is considered by many to be one of the first modern historians:

In accuracy, thoroughness, lucidity, and comprehensive grasp of a vast subject, the 'History' is unsurpassable. It is the one English history which may be regarded as definitive. ...Whatever its shortcomings the book is artistically imposing as well as historically unimpeachable as a vast panorama of a great period.

## Influence on other writers

The subject of Gibbon's writing as well as his ideas and style have influenced other writers. Besides his influence on Churchill, Gibbon was also a model for Isaac Asimov in his writing of *The Foundation Trilogy*.

Evelyn Waugh admired Gibbon's style but not his secular viewpoint. In Waugh's 1950 novel *Helena* the early Christian author Lactantius worried about the possibility of " '...a false historian, with the mind of Cicero or Tacitus and the soul of an animal,' and he nodded towards the gibbon who fretted his golden chain and chattered for fruit."

J C Stobart, author of *The Grandeur that was Rome* (1911) who wrote of Gibbon that 'The mere notion of empire continuing to decline and fall for five centuries is ridiculous'... 'this is one of the cases which prove that History is made not so much by heroes or natural forces as by historians'

## Monographs by Gibbon



- *Essai sur l'Étude de la Littérature* (London: Becket & De Hondt, 1761).
- *Critical Observations on the Sixth Book of [Vergil's] 'The Aeneid'* (London: Elmsley, 1770).
- *The History of the Decline and Fall of the Roman Empire* (vol. I, 1776; vols. II, III, 1781; vols. IV, V, VI, 1788-1789). all London: Strahan &

## Other writings by Gibbon

- *Mémoires Littéraires de la Grande-Bretagne*. co-author: Georges Deyverdun (2 vols.: vol. 1, London: Becket & De Hondt, 1767; vol. 2, London: Heydinger, 1768).
- *Miscellaneous Works of Edward Gibbon, Esq.*, ed. John Lord Sheffield (2 vols., London: Cadell & Davies, 1796; 5 vols., London: J. Murray, 1814; 3 vols., London: J. Murray, 1815). includes *Memoirs of the Life and Writings of Edward Gibbon, Esq.*;
- *Autobiographies of Edward Gibbon*, ed. John Murray (London: J. Murray, 1896). EG's complete memoirs from the original manuscripts.
- *The Private Letters of Edward Gibbon*, 2 vols., ed. Rowland E. Prothero (London: J. Murray, 1896).
- *Gibbon's Journal to January 28, 1763*, ed. D.M. Low (London: Chatto and Windus, 1929).
- *Le Journal de Gibbon à Lausanne*, ed. Georges A. Bonnard (Lausanne:

Cadell.

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- *Mémoire Justificatif pour servir de Réponse à l'Exposé, etc. de la Cour de France* (London: Harrison & Brooke, 1779).

Librairie de l'Université, 1945).

- *Miscellanea Gibboniana*, eds. G.R. de Beer, L. Junod, G.A. Bonnard (Lausanne: Librairie de l'Université, 1952).
- *The Letters of Edward Gibbon*, 3 vols., ed. J.E. Norton (London: Cassell & Co., 1956). vol.1: 1750-1773; vol.2: 1774-1784; vol.3: 1784-1794. cited as 'Norton, Letters'.
- *Gibbon's Journey from Geneva to Rome*, ed. G.A. Bonnard (London: Thomas Nelson and Sons, 1961). journal.
- *Edward Gibbon: Memoirs of My Life*, ed. G.A. Bonnard (New York: Funk & Wagnalls, 1969;1966). portions of EG's memoirs arranged chronologically, omitting repetition.
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# French Revolution

2008/9 Schools Wikipedia Selection. Related subjects: General history

The **French Revolution** (1789–1799) was a period of political and social upheaval in the history of France, during which the French governmental structure, previously an absolute monarchy with feudal privileges for the aristocracy and Catholic clergy, underwent radical change to forms based on Enlightenment principles of nationalism, citizenship, and inalienable rights.

These changes were accompanied by violent turmoil, including executions and repression during the Reign of Terror, and warfare involving every other major European power. Subsequent events that can be traced to the Revolution include the Napoleonic Wars, two separate restorations of the monarchy, and two additional revolutions as modern France took shape.

In the following century, France would be governed variously as a republic, dictatorship, constitutional monarchy, and two different empires.

## Causes

Historians disagree about the political and socioeconomic nature of the Revolution. Traditional Marxist interpretations, such as that presented by Georges Lefebvre, described the revolution as the result of the clash between a feudalistic noble class and the capitalist bourgeois class. Some historians argue that the old aristocratic order of the *Ancien Régime* succumbed to an alliance of the rising bourgeoisie, aggrieved peasants, and urban wage-earners.

Yet another interpretation asserts that the revolution resulted when various aristocratic and bourgeois reform movements spun out of control. According to this model, these movements coincided with popular movements of the new wage-earning classes and the provincial peasantry, but any alliance between classes was contingent and incidental.

But adherents of most historical models identify many of the same features of the *Ancien Régime* as being among the causes of the Revolution. Economic factors included:

- Louis XV fought many wars, bringing France to the verge of bankruptcy, and Louis XVI supported the colonists during the American Revolution, exacerbating the precarious financial condition of the government. The national debt amounted to almost 2 billion livres. The social burdens caused by war included the huge war debt, made worse by the monarchy's military failures and ineptitude, and the lack of social services for war veterans.
- An inefficient and antiquated financial system unable to manage the national debt, both caused and exacerbated by the

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 Second Republic



burden of a grossly inequitable system of taxation.

- The Roman Catholic Church, the largest landowner in the country, which levied a tax on crops known as the *dîme*. While the *dîme* lessened the severity of the monarchy's tax increases, it worsened the plight of the poorest who faced a daily struggle with malnutrition.
- The continued conspicuous consumption of the noble class, especially the court of Louis XVI and Marie-Antoinette at Versailles, despite the financial burden on the populace.
- High unemployment and high bread prices, causing more money to be spent on food and less in other areas of the economy.
- Widespread famine and malnutrition, which increased the likelihood of disease and death, and intentional starvation in the most destitute segments of the population in the months immediately before the Revolution. The famine extended even to other parts of Europe, and was not helped by a poor transportation infrastructure for bulk foods. (Some researchers have also attributed the widespread famine to an El Niño effect, or colder climate of the little ice age combined with France's failure to adopt the potato as a staple crop)
- No internal trade and too many customs barriers

There were also social and political factors, many of which involved resentments and aspirations given focus by the rise of Enlightenment ideals:

- Resentment of royal absolutism.
- Resentment by the ambitious professional and mercantile classes towards noble privileges and dominance in public life, many of whom were familiar with the lives of their peers in commercial cities in The Netherlands and Great Britain.
- Resentment by peasants, wage-earners, and the bourgeoisie toward the traditional seigneurial privileges possessed by nobles.
- Resentment of clerical privilege ( anti-clericalism) and aspirations for freedom of religion, and resentment of aristocratic bishops by the poorer rural clergy.
- Continued hatred for Catholic control and influence on institutions of all kinds, by the large Protestant minorities.
- Aspirations for liberty and (especially as the Revolution progressed) republicanism.
- Anger toward the King for firing Jacques Necker and A.R.J. Turgot (among other financial advisors), who were popularly seen as representatives of the people.

Finally, perhaps above all, was the almost total failure of Louis XVI and his advisors to deal effectively with any of these problems.

## Estates-General of 1789

The immediate trigger for the Revolution was Louis XVI's attempts to solve the government's worsening financial situation. In February 1787, his finance minister, Loménie de Brienne, convened an Assembly of Notables, a group of nobles, clergy, bourgeoisie, and bureaucrats selected in order to bypass the *parlements*. The Controller-General of Finances, Charles Alexandre de Calonne, asked this group to approve a new land tax that would, for the first time, include a tax on the property of nobles and clergy. The assembly did not approve the tax, but instead demanded that Louis XVI call the Estates-General. On 8

Second Empire  
Third Republic  
Fourth Republic  
Modern France



The Ideals: **Declaration of Human Rights** (1789).



August 1788, the King agreed to convene the Estates-General in May of 1789. By this time, Jacques Necker was in his second turn as finance minister.

As part of the preparations for the Estates-General, *cahiers de doléances* (books of grievances) were drawn up across France, listing the complaints of each of the orders. This process helped to generate an expectation of reform of some kind.

There was growing concern, however, that the government would attempt to gerrymander an assembly to its liking. To avoid this, the *Parlement* of Paris proclaimed that the Estates-General would have to meet according to the forms observed at its last meeting. Although it would appear that the magistrates were not specifically aware of the "forms of 1614" when they made this decision, this provoked an uproar. The 1614 Estates had consisted of equal numbers of representatives of each estate, and voting had been by order, with the First Estate (the clergy), the Second Estate (the nobility), and the Third Estate (the remainder of the population) each estate receiving one vote.

Almost immediately the "Committee of Thirty", a body of liberal Parisians, began to agitate against voting by order, arguing for a doubling of the Third Estate and voting by headcount (as had already been done in various provincial assemblies, such as Grenoble). Necker agreed that the size of the Third Estate should be doubled, but the question of voting by headcount was left for the meeting of the Estates themselves. Fueled by these disputes, resentment between the elitists and the liberals began to grow.

Pamphlets and works by liberal nobles and clergy, including the comte d'Antraigues and the Abbé Sieyès, argued the importance of the Third Estate. As Antraigues wrote, it was "the People, and the People is the foundation of the State; it is in fact the State itself". Sieyès' famous pamphlet *Qu'est-ce que le tiers état?* (*What is the Third Estate?*), published in January 1789, took the argument a step further: "What is the Third Estate? Everything. What has it been until now in the political order? Nothing. What does it want to be? Something."

When the Estates-General convened in Versailles on 5 May 1789, lengthy speeches by Necker and Lamoignon, the keeper of the seals, did little to give guidance to the deputies, who were sent to separate meeting places to credential their members. The question of whether voting was ultimately to be by head or by order was again put aside for the moment, but the Third Estate now demanded that credentialing itself should take place as a group. Negotiations with the other two estates to achieve this, however, were unsuccessful, as a bare majority of the clergy and a large majority of the nobility continued to support voting by order.

## National Assembly (1789)



On 10 June 1789 Abbé Sieyès moved that the Third Estate, now meeting as the *Communes* (English: "Commons"), proceed with verification of its own powers and invite the other two estates to take part, but not to wait for them. They proceeded to do so two days later, completing the process on 17 June. Then they voted a measure far more radical, declaring themselves the National Assembly, an assembly not of the Estates but of "the People." They invited the other orders to join them, but made it clear they intended to conduct the nation's affairs with or without them.

In an attempt to keep control of the process and prevent the Assembly from convening, Louis XVI ordered the closure of the Salle des États where the Assembly met, making an excuse that the carpenters needed to prepare the hall for a royal speech in two days. Weather did not allow an outdoor meeting, so the Assembly moved their deliberations to a nearby indoor real tennis court, where they proceeded to swear the Tennis Court Oath ( 20 June 1789), under which they agreed not to separate until they had given France a constitution. A majority of the representatives of the clergy soon joined them, as did 47 members of the nobility. By 27 June the royal party had overtly given in, although the military began to arrive in large numbers around Paris and Versailles. Messages of support for the Assembly poured in from Paris and other French cities. On 9 July the Assembly reconstituted itself as the National Constituent Assembly.

## National Constituent Assembly (1789–1791)

### Storming of the Bastille



Sketch by Jacques-Louis David of the National Assembly taking the Tennis Court Oath



By this time, Necker had earned the enmity of many members of the French court for his support and guidance to the Third Estate. Marie Antoinette, the King's younger brother the Comte d'Artois, and other conservative members of the King's privy council urged him to dismiss Necker. On 11 July, after Necker suggested that the royal family live according to a budget to conserve funds, the King fired him, and completely reconstructed the finance ministry at the same time.

Many Parisians presumed Louis's actions to be the start of a royal coup by the conservatives and began open rebellion when they heard the news the next day. They were also afraid that arriving soldiers - mostly foreigners under French service rather than native French troops - had been summoned to shut down the National Constituent Assembly. The Assembly was meeting at Versailles, went into nonstop session to prevent eviction from their meeting place once again. Paris was soon consumed with riots, anarchy, and widespread looting. The mobs soon had the support of the French Guard, including arms and trained soldiers, and the royal leadership essentially abandoned the city.

On 14 July, the insurgents set their eyes on the large weapons and ammunition cache inside the Bastille fortress, which also served as a symbol of tyranny by the monarchy. After several hours of combat, the prison fell that afternoon. Despite ordering a cease fire, which prevented a mutual massacre, Governor Marquis Bernard de Launay was beaten, stabbed and decapitated; his head was placed on a pike and paraded about the city. Although the Parisians released only seven prisoners (four forgers, two noblemen kept for immoral behaviour, and a murder suspect), the Bastille served as a potent symbol of everything hated under the *Ancien Régime*. Returning to the Hôtel de Ville (city hall), the mob accused the *prévôt des marchands* (roughly, mayor) Jacques de Flesselles of treachery; his assassination took place *en route* to an ostensible trial at the Palais Royal.



The storming of the Bastille, 14 July 1789



The King and his military supporters backed down, at least for the time being. La Fayette took up command of the National Guard at Paris. Jean-Sylvain Bailly, president of the Assembly at the time of the Tennis Court Oath, became the city's mayor under a new governmental structure known as the *commune*. The King visited Paris, where, on 27 July he accepted a tricolore cockade, as cries of *Vive la Nation* "Long live the Nation" changed to *Vive le Roi* "Long live the King".

Necker was recalled to power, but his triumph was short-lived. An astute financier but a less astute politician, Necker overplayed his hand by demanding and obtaining a general amnesty, losing much of the people's favour. He also felt he could save France all by himself, despite having few ideas.

Nobles were not assured by this apparent reconciliation of King and people. They began to flee the country as *émigrés*, some of whom began plotting civil war within the kingdom and agitating for a European coalition against France.

By late July, insurrection and the spirit of popular sovereignty spread throughout France. In rural areas, many went beyond this: some burned title-deeds and no small number of châteaux, as part of a general agrarian insurrection known as "la Grande Peur" (the Great Fear). In addition, plotting at Versailles and the large numbers of men on the roads of France as a result of unemployment led to wild rumours and paranoia (particularly in the rural areas) that caused widespread unrest and civil disturbances and contributed to the Great Fear (Hibbert, 93).

## Working toward a Constitution

On 4 August 1789 the National Constituent Assembly abolished feudalism, in what is known as the August Decrees, sweeping away both the seigneurial rights of the Second Estate and the tithes gathered by the First Estate. In the course of a few hours, nobles, clergy, towns, provinces, companies, and cities lost their special privileges.

Looking to the Declaration of Independence of the United States for a model, on 26 August 1789, the Assembly published the Declaration of the Rights of Man and of the Citizen. Like the U.S. Declaration, it comprised a statement of principles rather than a constitution with legal effect. The National Constituent Assembly functioned not only as a legislature, but also as a body to draft a new constitution.

Necker, Mounier, Lally-Tollendal and others argued unsuccessfully for a senate, with members appointed by the crown on the nomination of the people. The bulk of the nobles argued for an aristocratic upper house elected by the nobles. The popular party carried the day: France would have a single, unicameral assembly. The King retained only a "suspensive veto"; he could delay the implementation of a law, but not block it absolutely. The Assembly eventually replaced the historic provinces with 83 *départements*, uniformly administered and roughly equal in area and population.

Originally summoned to deal with a financial crisis, by late 1789, the Assembly had focused on other matters and only worsened the deficit. Honoré Mirabeau now led the move to address this matter, and the Assembly gave Necker complete financial dictatorship.

## Women's March on Versailles

<http://cd3wd.com> [wikipedia-for-schools](http://wikipedia-for-schools) <http://gutenberg.org> page no: 126 of 541



Early depiction of the tricolour in the hands of a *sans-culotte* during the French Revolution



Fueled by rumors of a reception by the King's bodyguards 1 October 1789 in which the national cockade had been trampled upon, on 5 October 1789 crowds of women began to assemble at Parisian markets. The women first marched to the Hôtel de Ville, demanding that city officials address their concerns. The women were responding to the harsh economic situations they faced, especially bread shortages. They also demanded an end to Royalist efforts to block the National Assembly, and for the King and his administration to move to Paris as a sign of good faith in addressing the widespread poverty.

Getting unsatisfactory responses from city officials, as many as 7,000 women joined the march to Versailles, bringing with them pieces of cannon and a variety of smaller weapons. Twenty thousand National Guardsmen under the command of La Fayette responded to keep order, and members of the mob stormed the palace, killing two guards. La Fayette ultimately convinced the king to accede to the demand of the crowd that the monarchy relocate to Paris.

On 6 October 1789, the King and the royal family moved from Versailles to Paris under the protection of the National Guards, thus legitimizing the National Assembly.

## Revolution and the Church

The Revolution brought about a massive shifting of powers from the Roman Catholic Church to the state. Under the *Ancien Régime*, the Church had been the largest landowner in the country. Legislation enacted in 1790 abolished the Church's authority to levy a tax on crops, known as the *dîme*, cancelled special privileges for the clergy, and confiscated Church property. To no small extent, the Assembly addressed the financial crisis by having the nation take over the property of the Church (while taking on the Church's expenses), through the law of 2 December 1789. In order to rapidly monetize such an enormous amount of property, the government introduced a new paper currency, *assignats*, backed by the confiscated church lands. Further legislation on 13 February 1790 abolished monastic vows. The Civil Constitution of the Clergy, passed on 12 July 1790 (although not signed by the King until 26 December 1790), turned the remaining clergy into employees of the State and required that they take an oath of loyalty to the constitution, taking Gallicanism to its logical conclusion by making the Catholic Church in France a department of the state, and clergy state employees.

In response to this legislation, the archbishop of Aix and the bishop of Clermont led a walkout of clergy from the National Constituent Assembly. The pope never accepted the new arrangement, and it led to a schism between those clergy who swore the required oath and accepted the new arrangement ("jurors" or "constitutional clergy") and the "non-jurors" or "refractory priests" who refused to do so. The ensuing years saw violent repression of the clergy, including the imprisonment and massacre of priests throughout France. The Concordat of 1801 between Napoleon and the Church ended the dechristianisation period and established the rules for a relationship between the Catholic Church and the French State that lasted until it was abrogated by the Third Republic via the separation of church and state on 11 December 1905.

## Appearance of Factions



Engraving of the Women's March on Versailles, October 5, 1789



In this caricature, monks and nuns enjoy their new freedom after the decree of 16 February 1790.



Factions within the Assembly began to clarify. The aristocrat Jacques Antoine Marie de Cazalès and the abbé Jean-Sifrein Maury led what would become known as the right wing, the opposition to revolution (this party sat on the right-hand side of the Assembly). The "Royalist democrats" or *monarchiens*, allied with Necker, inclined toward organising France along lines similar to the British constitutional model; they included Jean Joseph Mounier, the Comte de Lally-Tollendal, the comte de Clermont-Tonnerre, and Pierre Victor Malouet, comte de Virieu.

The "National Party", representing the centre or centre-left of the assembly, included Honoré Mirabeau, La Fayette, and Bailly; while Adrien Duport, Barnave and Alexandre Lameth represented somewhat more extreme views. Almost alone in his radicalism on the left was the Arras lawyer Maximilien Robespierre. Abbé Sieyès led in proposing legislation in this period and successfully forged consensus for some time between the political centre and the left. In Paris, various committees, the mayor, the assembly of representatives, and the individual districts each claimed authority independent of the others. The increasingly middle-class National Guard under La Fayette also slowly emerged as a power in its own right, as did other self-generated assemblies.

## Intrigues and Radicalism

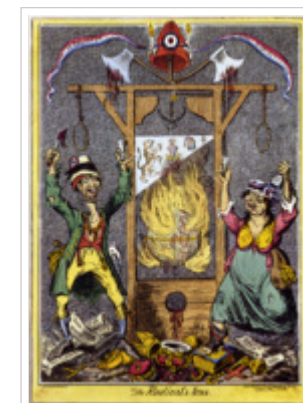
The Assembly abolished the symbolic paraphernalia of the *Ancien Régime* - armorial bearings, liveries, etc., which further alienated the more conservative nobles, and added to the ranks of the *émigrés*. On 14 July 1790, and for several days following, crowds in the Champ de Mars celebrated the anniversary of the fall of the Bastille with a *Fête de la Fédération*; Talleyrand performed a mass; participants swore an oath of "fidelity to the nation, the law, and the king"; and the King and the royal family actively participated.

The electors had originally chosen the members of the Estates-General to serve for a single year. However, by the terms of the Tennis Court Oath, the *communes* had bound themselves to meet continuously until France had a constitution. Right-wing elements now argued for a new election, but Mirabeau carried the day, asserting that the status of the assembly had fundamentally changed, and that no new election should take place before completing the constitution.

In late 1790, several small counter-revolutionary uprisings broke out and efforts took place to turn all or part of the army against the Revolution. These uniformly failed. The royal court "encouraged every anti-revolutionary enterprise and avowed none."

The army faced considerable internal turmoil: General Bouillé successfully put down a small rebellion, which added to his (accurate) reputation for counter-revolutionary sympathies. The new military code, under which promotion depended on seniority and proven competence (rather than on nobility) alienated some of the existing officer corps, who joined the ranks of the *émigrés* or became counter-revolutionaries from within.

This period saw the rise of the political "clubs" in French politics, foremost among these the Jacobin Club: according to the 1911 Encyclopædia Britannica, 152 clubs had affiliated with the Jacobins by 10 August 1790. As the Jacobins became more of a broad popular organisation, some of its founders abandoned it to form the Club of '89. Royalists established first the short-lived *Club des Impartiaux* and later the *Club Monarchique*. The latter attempted unsuccessfully to curry public favour by distributing bread. Nonetheless, they became the frequent target of protests and even riots, and the Paris municipal authorities finally closed down the Club Monarchique in January 1791.



Satirical cartoon lampooning the excesses of the Revolution as seen from abroad.





Amidst these intrigues, the Assembly continued to work on developing a constitution. A new judicial organisation made all magistracies temporary and independent of the throne. The legislators abolished hereditary offices, except for the monarchy itself. Jury trials started for criminal cases. The King would have the unique power to propose war, with the legislature then deciding whether to declare war. The Assembly abolished all internal trade barriers and suppressed guilds, masterships, and workers' organisations: any individual gained the right to practice a trade through the purchase of a license; strikes became illegal.

In the winter of 1791, the Assembly considered, for the first time, legislation against the *émigrés*. The debate pitted the safety of the State against the liberty of individuals to leave. Mirabeau carried the day against the measure, which he referred to as "worthy of being placed in the code of Draco". But Mirabeau died on 2 April 1791. In Mignet's words, "No one succeeded him in power and popularity" and, before the end of the year, the new Legislative Assembly would adopt this "draconian" measure.

### Royal flight to Varennes

Louis XVI, opposed to the course of the Revolution, but rejecting the potentially treacherous aid of the other monarchs of Europe, cast his lot with General Bouillé, who condemned both the emigration and the assembly, and promised him refuge and support in his camp at Montmédy. On the night of 20 June 1791 the royal family fled the Tuileries wearing the clothes of servants, while their servants dressed as nobles.

However, the next day the King was recognised and arrested at Varennes (in the Meuse *département*) late on 21 June. He and his family were paraded back to Paris under guard, still dressed as servants. Pétion, Latour-Maubourg, and Antoine Pierre Joseph Marie Barnave, representing the Assembly, met the royal family at Épernay and returned with them. From this time, Barnave became a counselor and supporter of the royal family. When they reached Paris, the crowd remained silent. The Assembly provisionally suspended the King. He and Queen Marie Antoinette remained held under guard.



The return of the royal family to Paris on June 25th, 1791, colored copperplate after a drawing of Jean-Louis Prieur

### Completing the Constitution

As most of the Assembly still favoured a constitutional monarchy rather than a republic, the various groupings reached a compromise which left Louis XVI as little more than a figurehead: he had perforce to swear an oath to the constitution, and a decree declared that retracting the oath, heading an army for the purpose of making war upon the nation, or permitting anyone to do so in his name would amount to *de facto* abdication.

Jacques Pierre Brissot drafted a petition, insisting that in the eyes of the nation Louis XVI was deposed since his flight. An immense crowd gathered in the Champ de Mars to sign the petition. Georges Danton and Camille Desmoulins gave fiery speeches. The Assembly called for the municipal authorities to "preserve public order". The National Guard under La Fayette's command confronted the crowd. The soldiers first responded to a barrage of stones by firing in the air; but the crowd did not back down, and La Fayette ordered his men to fire into the crowd, thus killing as many as 50 people.

In the wake of this massacre the authorities closed many of the patriotic clubs, as well as radical newspapers such as Jean-Paul Marat's *L'Ami du Peuple*.



Danton fled to England; Desmoulins and Marat went into hiding.

Meanwhile, a new threat arose from abroad: Holy Roman Emperor Leopold II, Frederick William II of Prussia, and the King's brother Charles-Philippe, comte d'Artois issued the Declaration of Pillnitz which considered the cause of Louis XVI as their own, demanded his total liberty and the dissolution of the Assembly, and promised an invasion of France on his behalf if the revolutionary authorities refused its conditions.

If anything, the declaration further imperiled Louis. The French people expressed no respect for the dictates of foreign monarchs, and the threat of force merely caused the militarisation of the frontiers.

Even before his "Flight to Varennes", the Assembly members had determined to debar themselves from the legislature that would succeed them, the Legislative Assembly. They now gathered the various constitutional laws they had passed into a single constitution, showed remarkable strength in choosing not to use this as an occasion for major revisions, and submitted it to the recently restored Louis XVI, who accepted it, writing "I engage to maintain it at home, to defend it from all attacks from abroad, and to cause its execution by all the means it places at my disposal". The King addressed the Assembly and received enthusiastic applause from members and spectators. The Assembly set the end of its term for 29 September 1791.

Mignet argued that the "constitution of 1791... was the work of the middle class, then the strongest; for, as is well known, the predominant force ever takes possession of institutions... In this constitution the people was the source of all powers, but it exercised none."

## Legislative Assembly (1791–1792)

Under the Constitution of 1791, France would function as a constitutional monarchy. The King had to share power with the elected Legislative Assembly, but he still retained his royal veto and the ability to select ministers. The Legislative Assembly first met on 1 October 1791, and degenerated into chaos less than a year later. In the words of the 1911 Encyclopædia Britannica: "In the attempt to govern, the Assembly failed altogether. It left behind an empty treasury, an undisciplined army and navy, and a people debauched by safe and successful riot." The Legislative Assembly consisted of about 165 Feuillants (constitutional monarchists) on the right, about 330 Girondists (liberal republicans) and Jacobins (radical revolutionaries) on the left, and about 250 deputies unaffiliated with either faction. Early on, the King vetoed legislation that threatened the *émigrés* with death and that decreed that every non-juring clergyman must take within eight days the civic oath mandated by the Civil Constitution of the Clergy. Over the course of a year, disagreements like this would lead to a constitutional crisis, leading the Revolution to higher levels.

## War (1792–1797)

The politics of the period inevitably drove France towards war with Austria and its allies. The King, the Feuillants and the Girondins specifically wanted to wage war. The King (and many Feuillants with him) expected war would increase his personal popularity; he also foresaw an opportunity to exploit any defeat: either result would make him stronger. The Girondins wanted to export the Revolution throughout Europe and, by extension, to defend the Revolution within France. Only some of the radical Jacobins opposed war, preferring to consolidate and expand the Revolution at home. The Austrian emperor Leopold II, brother of Marie Antoinette, may have wished to avoid war, but he died on 1 March 1792. France declared war on Austria ( 20 April 1792) and Prussia joined on the



Austrian side a few weeks later. The invading Prussian army faced little resistance until checked at the Battle of Valmy ( 20 September 1792), and forced to withdraw. However, by this time, France stood in turmoil and the monarchy had effectively become a thing of the past.

## Constitutional crisis

On the night of 10 August 1792, insurgents, supported by a new revolutionary Paris Commune, assailed the Tuileries. The King and queen ended up prisoners and a rump session of the Legislative Assembly suspended the monarchy: little more than a third of the deputies were present, almost all of them Jacobins.

What remained of a national government depended on the support of the insurrectionary Commune. The Commune sent gangs into the prisons to try arbitrarily and butcher 1400 victims, and addressed a circular letter to the other cities of France inviting them to follow this example. The Assembly could offer only feeble resistance. This situation persisted until the Convention, charged with writing a new constitution, met on 20 September 1792 and became the new *de facto* government of France. The next day it abolished the monarchy and declared a republic. This date was later retroactively adopted as the beginning of Year One of the French Republican Calendar.

## National Convention (1792–1795)



10 August 1792 Paris Commune - The Storming of the Tuileries Palace



In the Brunswick Manifesto, the Imperial and Prussian armies threatened retaliation on the French population if it were to resist their advance or the reinstatement of the monarchy. This made Louis appear to be conspiring with the enemies of France. 17 January 1793 saw Louis condemned to death for "conspiracy against the public liberty and the general safety" by a close majority in Convention: 361 voted to execute the king, 288 voted against, and another 72 voted to execute him subject to a variety of delaying conditions. The 21 January execution led to more wars with other European countries. Louis' Austrian-born queen, Marie Antoinette, would follow him to the guillotine on 16 October.

When war went badly, prices rose and the *sans-culottes* — poor labourers and radical Jacobins — rioted; counter-revolutionary activities began in some regions. This encouraged the Jacobins to seize power through a parliamentary *coup*, backed up by force effected by mobilising public support against the Girondist faction, and by utilising the mob power of the Parisian *sans-culottes*. An alliance of Jacobin and *sans-culottes* elements thus became the effective centre of the new government. Policy became considerably more radical.

## Reign of Terror

The Committee of Public Safety came under the control of Maximilien Robespierre, a lawyer, and the Jacobins unleashed the Reign of Terror (1793-1794). According to archival records, at least 16,594 people died under the guillotine or otherwise after accusations of counter-revolutionary activities. A number of historians note that as many as 40,000 accused prisoners may have been summarily executed without trial or died awaiting trial. The slightest hint of counter-revolutionary thoughts or activities (or, as in the case of Jacques Hébert, revolutionary zeal exceeding that of those in power) could place one under suspicion, and trials did not always proceed according to contemporary standards of due process.

On 2 June, Paris sections — encouraged by the *enragés* ("enraged ones") Jacques Roux and Jacques Hébert — took over the Convention, calling for administrative and political purges, a low fixed price for bread, and a limitation of the electoral franchise to "sans-culottes" alone. With the backing of the National Guard, they managed to convince the Convention to arrest 31 Girondin leaders, including Jacques Pierre Brissot. Following these arrests, the Jacobins gained control of the Committee of Public Safety on 10 June, installing the *revolutionary dictatorship*. On 13 July, the assassination of Jean-Paul Marat—a Jacobin leader and journalist known for his bloodthirsty rhetoric—by Charlotte Corday, a Girondin, resulted in further increase of Jacobin political influence. Georges Danton, the leader of the August 1792 uprising against the King, having the image of a man who enjoyed luxuries, was removed from the Committee and on 27 July, Robespierre, "the Incorruptible", made his entrance, quickly becoming the most influential member of the Committee as it moved to take radical measures against the Revolution's domestic and foreign enemies.

Meanwhile, on 24 June, the Convention adopted the first republican constitution of France, variously referred to as the French Constitution of 1793 or Constitution of the Year I. It was ratified by public referendum, but never applied, because normal legal processes were suspended before it could take effect.



Execution of Louis XVI in what is now the Place de la Concorde, facing the empty pedestal where the statue of his grandfather, Louis XV, had stood.



In Vendée, peasants revolted against the French Revolutionary government in 1793. They resented the changes imposed on the Roman Catholic Church by the Civil Constitution of the Clergy (1790) and broke into open revolt in defiance of the Revolutionary government's military conscription. A guerrilla war, known as the Revolt in the Vendée, led at the outset by an underground faction called the Chouans.

Facing local revolts and foreign invasions in both the East and West of the country, the most urgent government business was the war. On 17 August, the Convention voted for general conscription, the *levée en masse*, which mobilized all citizens to serve as soldiers or suppliers in the war effort. On 5 September, the Convention, pressured by the people of Paris, institutionalized The Terror: systematic and lethal repression of perceived enemies within the country.

The result was a policy through which the state used violent repression to crush resistance to the government. Under control of the effectively dictatorial Committee, the Convention quickly enacted more legislation. On 9 September, the Convention established *sans-culottes* paramilitary forces, the *revolutionary armies*, to force farmers to surrender grain demanded by the government. On 17 September, the *Law of Suspects* was passed, which authorized the charging of counter-revolutionaries with vaguely defined crimes against liberty. On 29 September, the Convention extended price-fixing from grain and bread to other essential goods, and also fixed wages.

The guillotine became the symbol of a string of executions: Louis XVI had already been guillotined before the start of the terror; Queen Marie Antoinette, the Girondins, Philippe Égalité (despite his vote for the death of the King), Madame Roland and many others were executed by guillotine. The Revolutionary Tribunal summarily condemned thousands of people to death by the guillotine, while mobs beat other victims to death. Sometimes people died for their political opinions or actions, but many for little reason beyond mere suspicion, or because some others had a stake in getting rid of them. Most of the victims received an unceremonious trip to the guillotine in an open wooden cart (the tumbrel). Loaded onto these carts, the victims would proceed through throngs of jeering men and women.

Another anti-clerical uprising was made possible by the installment of the Revolutionary Calendar on 24 October. Against Robespierre's concepts of Deism and Virtue, Hébert's (and Chaumette's) atheist movement initiated a religious campaign to dechristianize society. The climax was reached with the celebration of the Goddess "Reason" in Notre Dame Cathedral on 10 November.

The Reign of Terror enabled the revolutionary government to avoid military defeat. The Jacobins expanded the size of the army, and Carnot replaced many aristocratic officers with younger soldiers who had demonstrated their ability and patriotism. The Republican army was able to throw back the Austrians, Prussians, British, and Spanish. At the end of 1793, the army began to prevail and revolts were defeated with ease. The Ventôse Decrees (February–March 1794) proposed the confiscation of the goods of exiles and opponents of the Revolution, and their redistribution to the needy.

Because dissent was now regarded as counterrevolutionary, extremist *enragés* such as Hébert and moderate Montagnard *indulgents* such as Danton were guillotined in the spring of 1794. On 7 June Robespierre, who had previously condemned the *Cult of Reason*, advocated a new state religion and recommended that the Convention acknowledge the existence of God. On the next day, the worship of the deistic *Supreme Being* was inaugurated as an official aspect of the



Guillotine: between 18,000 and 40,000 people were executed during the Reign of Terror



Revolution. Compared with Hébert's popular festivals, this austere new religion of Virtue was received with signs of hostility by an amazed Parisian public.

In 1794, Robespierre had ultra-radicals and moderate Jacobins executed, markedly eroding his own popular support. On 27 July 1794, the Thermidorian Reaction led to the arrest and execution of Robespierre and Louis de Saint-Just. The new government was predominantly made up of Girondists who had survived the Terror, and after taking power, they took revenge as well by persecuting even those Jacobins who had helped to overthrow Robespierre, banning the Jacobin Club, and executing many of its former members in what was known as the White Terror.

In the wake of excesses of the Terror, the Convention approved the new "Constitution of the Year III" on 22 August 1795. A French plebiscite ratified the document, with about 1,057,000 votes for the constitution and 49,000 against. The results of the voting were announced on 23 September 1795, and the new constitution took effect on 27 September 1795.

## The Directory (1795–1799)

The new constitution created the *Directoire* (English: *Directory*) and the first bicameral legislature in French history. The parliament consisted of 500 representatives — *le Conseil des Cinq-Cents* (the Council of the Five Hundred) — and 250 senators — *le Conseil des Anciens* (the Council of Elders). Executive power went to five "directors," named annually by the *Conseil des Anciens* from a list submitted by the *le Conseil des Cinq-Cents*.

With the establishment of the Directory, contemporary observers might have assumed that the Revolution was finished. Citizens of the war-weary nation wanted stability, peace, and an end to conditions that at times bordered on chaos. Those who wished to restore Louis XVIII and the *Ancien Régime* and those who would have renewed the Reign of Terror were insignificant in number. The possibility of foreign interference had vanished with the failure of the First Coalition. Nevertheless, the four years of the Directory were a time of arbitrary government and chronic disquiet. The earlier atrocities had made confidence or goodwill between parties impossible. The same instinct of self-preservation which had led the members of the Convention to claim so large a part in the new legislature and the whole of the Directory impelled them to keep their predominance.

As many French citizens distrusted the Directory, the directors could achieve their purposes only by extraordinary means. They habitually disregarded the terms of the constitution, and, even when the elections that they rigged went against them, the directors routinely used draconian police measures to quell dissent. Moreover, the Directory used war as the best expedient for prolonging their power, and the directors were thus driven to rely on the armies, which also desired war and grew less and less civic-minded.

Other reasons influenced them in this direction. State finances during the earlier phases of the Revolution had been so thoroughly ruined that the government could not have met its expenses without the plunder and the tribute of foreign countries. If peace were made, the armies would return home and the directors would have to face the exasperation of the rank-and-file who had lost their livelihood, as well as the ambition of generals who could, in a moment, brush them aside. Barras and Rewbell were notoriously corrupt themselves and screened corruption in others. The patronage of the directors was ill-bestowed, and the general maladministration heightened their unpopularity.



Engraving: "Closing of the Jacobin Club, during the night of 27-28 July 1794, or 9-10 Thermidor, year 2 of the Republic"



The constitutional party in the legislature desired toleration of the nonjuring clergy, the repeal of the laws against the relatives of the émigrés, and some merciful discrimination toward the émigrés themselves. The directors baffled all such endeavours. On the other hand, the socialist conspiracy of Babeuf was easily quelled. Little was done to improve the finances, and the assignats continued to fall in value.

The new régime met opposition from remaining Jacobins and the royalists. The army suppressed riots and counter-revolutionary activities. In this way the army and its successful general, Napoleon Bonaparte eventually gained much power. On 9 November 1799 (18 Brumaire of the Year VIII) Bonaparte staged the *coup of 18 Brumaire* which installed the Consulate; this effectively led to his dictatorship and eventually (in 1804) to his proclamation as *Empereur* (emperor), which brought to a close the specifically republican phase of the French Revolution.



Napoléon Bonaparte in the *coup d'état* of 18 Brumaire (detail of an oleo by François Bouchot)

## Counter-Revolution

See Article: French Counter-Revolution

## Historical analysis

The constitutional assembly failed for many reasons: there were too many monarchists to have a republic and too many republicans to have a monarch; too many people opposed the King (especially after the flight to Varennes), which meant that the people who supported the King had their reputation slashed; the Civil Constitution of the Clergy; and many more.

Historian François Furet in his work, *Le Passé d'une illusion* (1995) (*The Passing of An Illusion* (1999) in English translation) explores in detail the similarities between the French Revolution and the Russian Revolution of 1917 more than a century later, arguing that the former was taken as a model by Russian revolutionaries. This is in partial contrast with the Marxist tradition, which has usually claimed that the 1871 Paris Commune was the Bolsheviks' primary inspiration source.

A contributing factor to the Revolution was the considerable increases in poverty in the preceding years. Some scholars trace this to several years of recurrent weather aberrations, caused by the Laki eruption of 1783 and the severe El Niño effects that were to follow.

## Other revolutions in French history

- July Revolution
- French Revolution of 1848
- Paris Commune of 1871
- May 1968, a noteworthy rebellion, though not quite a revolution

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- Haïtian Revolution, Haiti colony
- Camisard Rebellion, French Huguenots
- French Army Mutinies (1917)

## Historical Era

Preceded by <b>The Old Regime</b>	<b>French History</b> 1789-1792	Succeeded by <b>First Republic</b>
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# Herodotus

## 2008/9 Schools Wikipedia Selection. Related subjects: Historians, chroniclers and history books

**Herodotus** of Halicarnassus (Greek: Ἡρόδοτος Ἁλικαρνᾶσσεύς *Hēródotos Halikarnāsseús*) was a Greek historian who lived in the 5th century BC ( c. 484 BC– c. 425 BC) and is regarded as the "Father of History" in Western culture. He was the first historian to collect his materials systematically, test their accuracy to a certain extent and arrange them in a well-constructed and vivid narrative. He is almost exclusively known for writing *The Histories*, a record of his "inquiries" (or ἱστορία, a word that passed into Latin and took on its modern connotation of *history*) into the origins of the Greco-Persian Wars which occurred in 490 and 480- 479 BC—especially since he includes a narrative account of that period, which would otherwise be poorly documented, and many long digressions concerning the various places and peoples he encountered during wide-ranging travels around the lands of the Mediterranean and Black Sea. Although some of his stories are not completely accurate, he states that he is only reporting what has been told him.

## Biography

Much of what is known of Herodotus's life is gathered from his own work. Additional details have been garnered from the *Suda*, an 11th-century encyclopaedia of the Byzantium which likely took its information from traditional accounts. It holds that he was born in Halicarnassus, the son of Lyxes and Dryo, and the brother of Theodorus, and that he was also related to Panyassis, an epic poet of the time. According to this account, after being exiled from Halicarnassus by the tyrant Lygdamis, Herodotus went to live on Samos. Later returning to the land of his birth, Herodotus took part in the ousting of Lygdamis. The traditional biography includes some time spent in Athens, where he is said to have given public readings from his oeuvres and befriended the dramatist Sophocles. It also has Herodotus joining and founding the Hellenic colony Thurii in Southern Italy in 443 BC. His death and burial are placed either at Thurii or at Pella, in Macedon, between 425 and 420 BC.

How much of this is correct we do not know. It was common practice in antiquity for the biographies of poets to be drawn from inferences collated from their works. Something similar may have happened in Herodotus's case. His casting as a tyrannicide may simply reflect the pro-freedom attitude that he expresses in the *Histories*, while the stays at Samos and Athens may have been invented to explain the pro-Samian and pro-Athenian bias that has often been thought to pervade his work. His exile from Halicarnassus

### Herodotus



Ostensible bust of **Herodotus**

<b>Born</b>	c. 484 BC Halicarnassus, Ancient Greece
<b>Died</b>	c. 425 BC Thurii, Sicily or Pella, Macedon
<b>Occupation</b>	Historian



may also be fictional: later historians, such as Thucydides and Xenophon, underwent periods of exile, and their fate may have been later retrospectively imposed on Herodotus by later writers.

## Herodotus as historian

“ Circumstances rule men; men do not rule circumstances. ”



*Croesus Receiving Tribute from a Lydian Peasant*, by Claude Vignon.

Herodotus provides much information concerning the nature of the world and the status of the sciences during his lifetime. He was arguably the first historian, and certainly the first to travel methodically around the known world in a bid to write more accurately, although this still involved second- and third-hand accounts relating to his primary subject, the Persian wars.

He reports, for example, that the annual flooding of the Nile was said to be the result of melting snows far to the south, and comments that he cannot understand how there can be snow in Africa, the hottest part of the known world, offering an elaborate explanation based on the way desert winds affect the passage of the Sun over this part of the

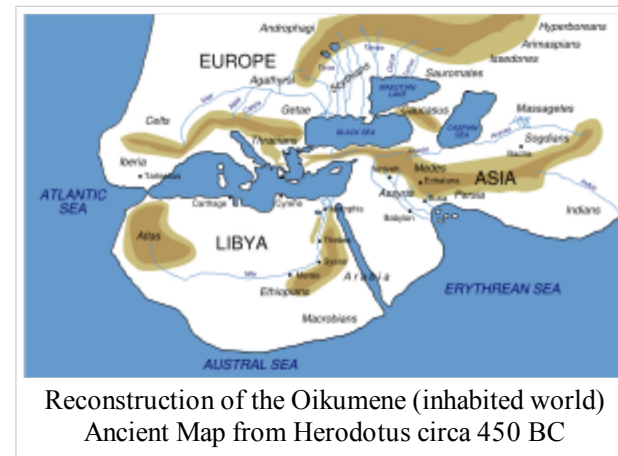
world (2:18ff). He also passes on dismissive reports from Phoenician sailors that, while circumnavigating Africa, they "saw the sun on the right side while sailing westwards". Owing to this brief mention, which is put in almost as an afterthought, it has been argued that Africa was indeed circumnavigated by ancient seafarers, for this is precisely where the sun ought to have been.

Herodotus is one of the sources on Croesus and his fabulous treasures of gold and silver, and many stories about his riches.

Written between 431 and 425 BC, *The Histories* were divided by later editors into nine books, named after the nine Muses (the "Muse of History", Clio, represented the first book). His accounts of India are among the oldest records of Indian civilization by an outsider .

## Opinions

Herodotus's invention earned him the twin titles " The Father of History", first conferred by Cicero, and "The Father of Lies". As these epithets imply, there has long been a debate—at least from the time of Cicero's *On the Laws* (Book 1, paragraph 5)—concerning the veracity of his tales and, more importantly, the extent to which he knew himself to be creating fabrications. Every manner of argument has surfaced on this subject, from a devious and consciously-



Reconstruction of the Oikumene (inhabited world)  
Ancient Map from Herodotus circa 450 BC



fictionalizing Herodotus to a gullible Herodotus whose sources "saw him coming a long way off".

## Criticisms of Herodotus

There are many cases in which Herodotus, not certain of the truth of a certain event or unimpressed by the dull "facts" that he received, reported the several most famous accounts of a given subject or process and then wrote what he believed was the most probable. Although *The Histories* were often criticized in antiquity for bias, inaccuracy and plagiarism— Claudius Aelianus attacked Herodotus as a liar in *Verae Historiae* and went as far as to deny him a place among the famous on the Island of the Blessed—this methodology has been seen in a more positive light by many modern historians and philosophers, especially those searching for a paradigm of objective historical writing. Of course, given the sensitivity surrounding the issue, the very foundation of the discipline of history, this has not become a common view; attacks have been made by various scholars in modern times, a few even arguing that Herodotus exaggerated the extent of his travels and invented his sources.

Discoveries made since the end of the 19th century have helped greatly to restore Herodotus's reputation. The archaeological study of the now-submerged ancient Egyptian city of Heracleion and recovery of the so-called "Naucratis stela" give extensive credibility to Herodotus's previously unsupported claim that Heracleion was founded under the Egyptian New Kingdom. Because of this recent increase in respect for his accuracy, as well as the quality and content of his observations, Herodotus is now recognized as a pioneer not only in history but in ethnography and anthropology.

## Gold-digging ants

One of the most recent developments in Herodotus scholarship was made by the French ethnologist Michel Peissel. On his journeys to India and Pakistan, Peissel claims to have discovered an animal species that may finally illuminate one of the most "bizarre" passages in Herodotus's *Histories*. In Book 3, passages 102 to 105, Herodotus reports that a species of fox-sized, furry "ants" lives in one of the far eastern, Indian provinces of the Persian Empire. This region, he reports, is a sandy desert, and the sand there contains a wealth of fine gold dust. These giant ants, according to Herodotus, would often unearth the gold dust when digging their mounds and tunnels, and the people living in this province would then collect the precious dust. Now, Peissel says that in an isolated region of the Deosai Plateau between India and Pakistan there exists a species of marmot (a type of burrowing squirrel) that may solve the mystery of Herodotus' giant "ants". Much like the province that Herodotus describes, the ground of the Deosai Plateau is rich in gold dust. According to Peissel, he interviewed the Minaro tribal people who live in the Deosai Plateau, and they have confirmed that they have, for generations, been collecting the gold dust that the marmots bring to the surface when they are digging their underground burrows.



Gold dust and nuggets



Bobak marmot in central Asia

Even more tantalizing, in his book, "The Ants' Gold: The Discovery of the Greek El Dorado in the Himalayas", Peissel offers the theory that Herodotus may have become confused because the old Persian word for "marmot" was quite similar to that for "mountain ant". Because research suggests that Herodotus probably did not know any Persian (or any other language except his native Greek), he was forced to rely on a multitude of local translators when travelling in the vast polylingual Persian Empire. Therefore, he may have been the unwitting victim of a simple misunderstanding in translation. (It is also important to realize that Herodotus never claims to have himself seen these "ants/marmot" creatures - he may have been dutifully reporting what other travellers were telling him, no matter how bizarre or unlikely he personally may have found it to be. In an age when most of the world was still mysterious and unknown and before the modern science of biology, the existence of a "giant ant" may not have seemed so far-fetched.) The suggestion that he completely made up the tale may continue to be thrown into doubt as more research is conducted.

However, it must be noted that this theory of the marmots fails to take into consideration Herodotus' own follow-up in passage 105 of Book 3, wherein the "ants/marmots" are said to chase and devour full-grown camels; nevertheless, this could also be explained as an example of a tall tale or legend told by the local tribes to frighten foreigners from seeking this relatively easy access to gold dust. On the other hand, all these details of the "ants" are eerily similar to the description of the camel spider ( Solifugae), which strictly speaking is not a spider, and is even sometimes called a "wind scorpion". Camel spiders are said to chase camels (they can run up to 10mph), they have lots of hair bristles, and they could quite easily be mistaken for ants given their rather bizarre appearance. And as has been noted by some, on account of the fear factor of encountering one there have been "many myths and exaggerations about their size" . Images of camel spiders could give the impression that this could be mistaken for a giant ant, but certainly not the size of a fox.

## Translations

- Several English translations of *The Histories of Herodotus* are readily available in multiple editions. The most readily available are those translated by:
  - C.E. Godley, 1920; revised 1926. Reprinted 1931, 1946, 1960, 1966, 1975, 1981, 1990, 1996, 1999, 2004. Available in four volumes from Loeb Classical Library, Harvard University Press. ISBN 0-674-99130-3 Printed with Greek on the left and English on the right.
  - Aubrey de Sélincourt, originally 1954; revised by John Marincola in 1972. Several editions from Penguin Books available.
  - David Grene, Chicago: University of Chicago Press, 1985.
  - George Rawlinson, translation 1858–1860. Public domain; many editions available, although Everyman Library and Wordsworth Classics editions are the most common ones still in print.
  - Robin Waterfield, with an Introduction and Notes by Carolyn Dewald, Oxford World Classics, 1998.
  - Strassler, Robert B., (ed.), and Purvis, Andrea L. (trans.), *The Landmark Herodotus*, Pantheon, 2007. ISBN 978-0-37542109-9 with adequate ancillary information.

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# History of Cape Colony from 1806 to 1870

2008/9 Schools Wikipedia Selection. Related subjects: General history

The **history of Cape Colony from 1806 to 1870** spans the period of the history of Cape Colony during the Cape Frontier Wars, also called the Kaffir Wars, which lasted from 1811 to 1858. The wars were fought between the European colonists and the native Xhosa who rebelled against continuing European rule. The Cape Colony was the first European colony in South Africa, which was initially controlled by the Dutch but subsequently invaded and taken over by the British. After war broke out again, a British force was sent once more to the Cape. After a battle in January 1806 on the shores of Table Bay, the Dutch garrison of Cape Castle surrendered to the British under Sir David Baird, and in 1814 the colony was ceded outright by the Netherlands to the British crown. At that time the colony extended to the mountains in front of the vast central plateau, then called "Bushmansland", and had an area of about 194,000 square kilometres and a population of some 60,000, of whom 27,000 were white, 17,000 free Khoikhoi (Hottentots), and the rest slaves. These slaves were mostly imported black people and Malays.

## Cape Colony History

Pre-1806

**1806–1870**

1870–1899

1899–1910

## First and second frontier wars

The first of several wars with the Xhosa had already been fought by the time that the Cape Colony had been ceded to the United Kingdom. The Xhosa that crossed the colonial frontier had been expelled from the district between the Sundays River and Great Fish River known as the Zuurveld, which became a neutral ground of sorts. For some time before 1811, the Xhosa had taken possession of the neutral ground and attacked the colonists. In order to expel them from the Zuurveld, Colonel John Graham took the area with a mixed-race army in December of 1811, and finally the Xhosa were driven beyond the Fish River. On the site of Colonel Graham's headquarters arose a town bearing his name: Graham's Town, subsequently becoming Grahamstown.

A difficulty between the Cape Colony government and the Xhosa arose in 1817, the immediate cause of which was an attempt by the colonial authorities to enforce the restitution of some stolen cattle. On 22 April 1817, led by a prophet-chief named Makana, they attacked Graham's Town, then held by a handful of white troops. Help arrived in time and the enemy were beaten back. It was then agreed that the land between the Fish and the Keiskamma rivers should be neutral territory.

## 1820 settlers

The war of 1817–19 led to the first wave of immigration of English settlers of any considerable scale, an event with far-reaching consequences. The then governor, Lord Charles Somerset, whose treaty arrangements with the Xhosa chiefs had proved untenable, desired to erect a barrier against the Xhosa by having white colonists settle in the border region. In 1820, upon the advice of Lord Somerset, parliament voted to spend £50,000 to promote migration to the Cape, prompting 4,000 British people to emigrate. These immigrants, who are now known as the 1820 Settlers, formed the Albany settlement, later Port Elizabeth, and



made Grahamstown their headquarters. Intended primarily as a measure to secure the safety of the frontier, and regarded by the British government chiefly as a way of finding employment for a few thousand of the unemployed in Britain. Yet, the emigration scheme accomplished something with more far reaching implications than its authors had intended. The new settlers, drawn from every part of the British Isles and from almost every grade of society, retained strong loyalty to Britain. In the course of time, they formed a counterpoint to the Dutch colonists.

The arrival of these immigrants also introduced the English language to the Cape. English language ordinances were issued for the first time in 1825, and in 1827 its use was extended to the conduct of judicial proceedings. Dutch was not, however, ousted, and the colonists became largely bilingual.

## Dutch hostility to British rule

Although the colony was prosperous, many Dutch farmers were as dissatisfied with British rule as they had been with that of the Dutch East India Company, though their grievances were not the same. In 1792, Moravian missions had been established for the benefit of the Khoikhoi, and in 1799 the London Missionary Society began to try to convert both the Khoikhoi and the Xhosa. The championing of Khoikhoi grievances by the missionaries caused much dissatisfaction among the majority of the colonists, whose conservative views temporarily prevailed, for in 1812 an ordinance was issued which gave magistrates the power to bind Khoikhoi children as apprentices under conditions little different from those of slavery. In the meantime, the movement for the abolition of slavery was gaining strength in England, and the missionaries appealed at length, from the colonists to Britain.

An incident, which occurred from 1815 to 1816, did much to make the Dutch frontiersmen permanently hostile to the British. A farmer named Bezuidenhout refused to obey a summons issued to him after a complaint from Khoikhoi was registered. He fired on the party sent to arrest him, and was killed by the return fire. This caused a miniature rebellion, and in its suppression five ringleaders were publicly hanged by the British at Slagter's Nek where they had originally sworn to expel "the English tyrants." The resentment caused by the hanging of these men was deepened by the circumstances of the execution, for the scaffold on which the rebels simultaneously were hanged broke from their united weight and the men were hanged one by one afterwards. The deeply religious Dutch frontiersmen believed the collapsing scaffold to be an act of God. An ordinance passed in 1827 abolished the old Dutch "*landdrost*" and "*heemraden*" courts, instead substituting resident magistrates. The ordinance further stipulated that all legal proceedings be henceforth conducted in English.

A subsequent ordinance in 1828 granted equal rights to the Khoikhoi and other free coloured people with white people as a result of the championing of the missionaries. Another ordinance in 1830 imposed heavy penalties for harsh treatment of slaves, and finally the emancipation of slaves was proclaimed in 1834. Each of these ordinances drew further ire from the farmers towards the government. Moreover, the inadequate compensation awarded to slave-owners, and the suspicions engendered by the method of payment, caused much resentment, and in 1835 the trend where farmers trekked into unknown country in order to escape from a disliked government recommenced. Emigration beyond the colonial border had in fact been continuous for 150 years, but it now took on larger proportions.

## Third cape frontier war

On the eastern border, further trouble arose between the government and the Xhosa, towards whom the policy of the Cape government was marked by much



vacillation. On 11 December 1834, a commando party killed a chief of high rank, incensing the Xhosa: an army of 10,000 men, led by Macomo, a brother of the chief who had been killed, swept across the frontier, pillaged and burned the homesteads and killed all who resisted. Among the worst sufferers was a colony of freed Khoikhoi who, in 1829, had been settled in the Kat River valley by the British authorities. There were few available soldiers in the colony, but the governor, Sir Benjamin d'Urban acted quickly and all available forces were mustered under Colonel Sir Harry Smith, who reached Graham's Town on 6 January 1835, six days after news of the uprising had reached Cape Town. The British fought the Xhosa for nine months until hostilities were ended on 17 September 1838 with the signing of a new peace treaty, by which all the country as far as the River Kei was acknowledged to be British, and its inhabitants declared British subjects. A site for the seat of government was selected and named King William's Town.

## Great Trek

The British government did not approve of the actions of Sir Benjamin d'Urban, and the British Secretary for the Colonies, Lord Glenelg, declared in a letter to the King that "the great evil of the Cape Colony consists in its magnitude" and demanded that the boundary be moved back to the Fish River. He also eventually had d'Urban dismissed from office in 1837. "The Kaffirs," in Lord Glenelg's dispatch of 26 December, "had an ample justification for war; they had to resent, and endeavoured justly, though impotently, to avenge a series of encroachments." This attitude towards the Xhosa was one of the many reasons given by the Trek Boers for leaving the Cape Colony. The Great Trek, as it is called, lasted from 1836 to 1840. The trekkers, numbering around 7,000, founded communities with a republican form of government beyond the Orange and Vaal rivers, and in Natal, where they had been preceded, however, by British emigrants. From this time on Cape Colony ceased to be the only European community in South Africa, though it was the most predominant for many years.

Considerable trouble was caused by the emigrant Boers on either side of the Orange River, where the Boers, the Basutos, other native tribes, Bushmen, and Griquas fought for superiority, while the Cape government endeavoured to protect the rights of the natives. On the advice of the missionaries, who exercised great influence on all non-Dutch people, a number of the native states were recognised and subsidised by the Cape government with the objective of creating peace on the northern frontier. The first "Treaty States" to be recognised was Griqualand West of the Griqua people. Subsequent states were recognised between 1843 and 1844. While the northern frontier became more secure, the state of the eastern frontier was deplorable, with the government either unable or unwilling to protect farmers from the Xhosa.

Elsewhere, however, the colony was making progress. The change from slave to free labour proved to be advantageous to the farmers in the western provinces. An efficient education system, owing its inception to Sir John Herschel, an astronomer who lived in Cape Colony from 1834 to 1838, was adopted. Road Boards were established and proved to be very effective in constructing new roads. A new stable industry, sheepraising, was added to the original set of wheatgrowing, cattle rearing, and wine making. By 1846 wool became the country's most valuable export. A legislative council was established in 1835, giving the colonists a share in the government.

## War of the Axe



Map of the route of the Great Trek





Another war with the Xhosa, known as the War of the Axe, broke out in 1846, when a Khoikhoi escort that had been manacled to a Xhosa thief was murdered while transporting the man to Graham's Town to be tried for stealing an axe. A party of Xhosa attacked and killed the escort. The surrender of the murderer was refused, and war was declared in March of 1846. The Ngqikas were the chief tribe engaged in the war, assisted by the Tambukies. The Xhosa were defeated on 7 June 1846 by General Somerset on the Gwangu, a few miles from Fort Peddie. However, the war continued until Sandili, the chief of the Ngqika, surrendered. Other chiefs gradually followed this action, and by the beginning of 1848 the Xhosa had been completely subdued after twenty-one months of fighting.

## Extension of British sovereignty

In December of 1847, or what was to be the last month of the War of the Axe, Sir Harry Smith reached Cape Town by boat to become the new governor of the colony. He reversed Glenelg's policy soon after arrival. A proclamation he issued on 17 December, 1847, extended the borders of the colony northwards to the Orange river and eastward to the Keiskamma river, and at a meeting of the Xhosa chiefs on 23 December, 1847, Sir Harry announced the annexation of the land between the Keiskamma and the Kei rivers to the British crown, thus re-absorbing the territory abandoned by Lord Glenelg. The land was not, however, incorporated into the Cape Colony, but instead made a crown dependency under the name of British Kaffraria. For a time the Xhosa accepted the new government in British Kaifaria since they were mainly left alone as the governor had other serious matters to contend with, including the assertion of British authority over the Boers beyond the Orange river, and the establishment of amicable relations with the Transvaal Boers.

Image:SirHarrySmith.gif  
Sir Harry Smith

## convict agitation and granting of a constitution

A crisis arose in the colony over a proposal to make the Cape Colony a convict station. A circular written in 1848 by the third Earl Grey, then colonial secretary was sent to the governor of the Cape, as well as other colonial governors, asking them to ascertain the feelings of the colonists regarding the reception of a certain class of convicts. The Earl intended to send Irish peasants who had been driven to crime by the famine of 1845 to South Africa. Due to a misunderstanding, a boat named the *Neptune* was sent to the Cape Colony before the colonists' opinion had been received. The boat had 289 convicts on board, among whom was the famous Irish rebel John Mitchel, and his colleagues. When the news that this vessel was on her way reached the Cape, people became violently excited and established an anti-convict association whose members bound themselves to cease from all interaction of any kind with persons in any way associated "with the landing, supplying or employing convicts". Sir Harry Smith, confronted with violent public agitation, agreed not to allow the convicts to land when the *Neptune* arrived in Simon's Bay on 19 September 1849, but to keep them on board the ship until he received orders to send them elsewhere. When the home government became aware of the state of affairs, orders were sent directing the *Neptune* to proceed to Tasmania, and it did so after staying in Simon's Bay for five months. The agitation did not fade away without further achievements, as it led to another movement that intended to obtain a free, representative government for the colony. The British government granted this concession, which had been previously promised by Lord Grey, and a constitution was established in 1854 of almost unprecedented liberality.

## Eighth frontier war of 1850-1853



The anti-convict move had scarcely ended when the colony was once again involved in a war. The Xhosa bitterly resented their loss of independence, and had secretly prepared to renew their struggle ever since the last war. Sir Harry Smith, informed of the increasingly threatening attitude of the natives, went to the border region and summoned Sandili and the other chiefs for a meeting. Sandili refused obedience, after which the governor declared him deposed from his chieftanship at an assembly of other chiefs in October of 1850, and appointed an English magistrate named Mr Brownlee to be temporary chief of the Ngqika tribe. It seems that the governor believed that he would be able to prevent a war and that Sandili could be arrested without armed resistance. Colonel George Mackinnon, who had been sent out with a small army with the goal of securing the chief, was attacked on 24 December, 1850, in a narrow gorge by a large number of Xhosa, and compelled to retreat after some loss of men. This small battle prompted a general rising among the whole Ngqika tribe. Settlers in military villages that had been established along the border, were caught in a surprise attack after they had gathered to celebrate Christmas day. Many of them were killed, and their houses set on fire.

Other setbacks followed in quick succession. The greater part of the Xhosa police deserted, many of them leaving with their arms. Emboldened by their initial success, the Xhosa surrounded and attacked Fort Cox with immense force, where the governor was stationed with a small number of soldiers. More than one unsuccessful attempt was made to kill Sir Harry, and he needed to find a way to escape. At the head of 150 mounted riflemen, accompanied by Colonel Mackinnon, he galloped out of the fort, and rode to King William's Town through heavy enemy fire — a distance of 12 miles (19 km).

Meanwhile a new enemy appeared. Some 900 of the Kat river Khoikhoi, who had in former wars been firm allies of the British, joined their former enemies: the Xhosa. They were not without justification. They complained that while serving as soldiers in former wars — the Cape Mounted Rifles consisted largely of Khoikhois — they had not received the same treatment as others serving in defence of the colony, that they got no compensation for the losses they had sustained, and that they were in various ways made to feel they were a wronged and injured race. A secret alliance was formed with the Xhosa to take up arms in order to remove the Europeans and establish a Khoikhoi republic. Within a fortnight of the attack on Colonel Mackinnon the Kat river Khoikhoi were also in arms. Their revolt was followed by that of the Khoikhoi at other missionary stations; and some of the Khoikhoi of the Cape Mounted Rifles followed their example, including some of the very men who had escorted the governor from Fort Cox. But many of the Khoikhoi remained loyal and the Fingo likewise sided with the British.

After the confusion caused by the surprise attack had subsided, Sir Harry Smith and his force turned the tide of war against the Xhosa. The Amatola Mountains were stormed, and Sarhili, the highest ranking chief, who had been secretly assisting the Ngqika all along, was severely punished. In April 1852 Sir Harry Smith was recalled by Earl Grey, who accused him — unjustly, in the opinion of the duke of Wellington — of a want of energy and judgement in conducting the war, and he was succeeded by Lieutenant-General Cathcart. Sarhili was again attacked and reduced to submission. The Amatolas were finally cleared of Xhosa, and small forts were erected to prevent their reoccupation.

The British commanders were hampered throughout by their insufficient equipment, and it was not until March 1853 that the largest of the Frontier wars was brought to an end after the loss several hundred British soldiers. Shortly afterwards, British Kaffraria was made a crown colony. The Khoikhoi settlement at Kat River remained, but the Khoikhoi power within the colony was crushed.

## **Xhosa cattle-killing movement and famine**



The Xhosa tribes gave the colony few problems after the war. This was due, in large measure, to an extraordinary delusion which arose among the Xhosa in 1856, and led in 1857 to the death of some 50,000 people. This incident is one of the most remarkable instances of misplaced faith recorded in history. The Xhosa had not accepted their defeat in 1853 as decisive and were preparing to renew their struggle with the Europeans.

In 1854, a disease spread through the cattle of the Xhosa. It was believed to have spread from cattle owned by the Settlers. Widespread cattle deaths resulted, and the Xhosa believed that the deaths were caused by *ubuthi*, or witchcraft. In May 1856, a girl named Nongqawuse went to fetch water from a pool near the mouth of the Gxarha River. When she returned, she told her uncle Mhlakaza that she had met three spirits at the pool, and that they had told her that all cattle should be slaughtered, and their crops destroyed. On the day following the destruction, the dead Xhosa would return and help expel the whites. The ancestors would bring cattle with them to replace those that had been killed. Mhlakaza believed the prophecy, and repeated it to the chief Sarhili.

Sarhili ordered the commands of the spirits to be obeyed. At first, the Xhosa were ordered to destroy their fat cattle. Nongqawuse, standing in the river where the spirits had first appeared, heard unearthly noises, interpreted by her uncle as orders to kill more and more cattle. At length the spirits commanded that not an animal of all their herds was to remain alive, and every grain of corn was to be destroyed. If that were done, on a given date, myriads of cattle more beautiful than those destroyed would issue from the earth, while great fields of corn, ripe and ready for harvest, would instantly appear. The dead would rise, trouble and sickness vanish, and youth and beauty come to all alike. Unbelievers and the hated white man would on that day perish.

The people heard and obeyed. Sarhili is believed by many people to have been the instigator of the prophecies. Certainly some of the principal chiefs believed that they were acting simply in preparation for a last struggle with the Europeans, their plan being to throw the whole Xhosa nation fully armed and famished upon the colony. Belief in the prophecy was bolstered by the death of Lieutenant-General Cathcart in the Crimean War in 1854. His death was interpreted as being due to intervention by the ancestors.

There were those who neither believed the predictions nor looked for success in war, but destroyed their last particle of food in unquestioning obedience to their chief's command. Either in faith that reached the sublime, or in obedience equally great, vast numbers of the people acted. Great kraals were also prepared for the promised cattle, and huge skin sacks to hold the milk that was soon to be more plentiful than water. At length the day dawned which, according to the prophecies, was to usher in the terrestrial paradise. The sun rose and sank, but the expected miracle did not come to pass. The chiefs who had planned to hurl the famished warriors upon the colony had committed an incredible blunder in neglecting to call the nation together under pretext of witnessing the resurrection. They realised their error too late, and attempted to fix the situation by changing the resurrection to another day, but blank despair had taken the place of hope and faith, and it was only as starving supplicants that the Xhosa sought the British.

According to the *War of the Axe*, the colonists did what they could to save life, but thousands perished miserably. In their extreme famine many of the Xhosa turned to cannibalism, and one instance of parents eating their own child is authenticated. Among the survivors was the girl Nongqawuse, however her uncle perished. A vivid narrative of the whole incident is found in G. M. Theal's *History and Geography of South Africa* (3rd edition, London, 1878). The depopulated country was afterwards peopled by European settlers, among whom were members of the German legion which had served with the British army in the Crimea, and some, 2000 industrious North German emigrants, who proved a valuable acquisition to the colony.

Historians now view this movement as a millennialist response both directly to a lung disease spreading among Xhosa cattle at the time, and less directly to the stress to Xhosa society caused by the continuing loss of their territory and autonomy. At least one historian has also suggested that it can be seen as a rebellion



against the upper classes of Xhosa society, which used cattle as a means of consolidating wealth and political power, and which had lost respect as they failed to hold back white expansion.

## Sir George Grey's governorship

Sir George Grey became governor of the Cape Colony in 1854, and the development of the colony owes much to his administration. In his opinion, policy imposed upon the colony by the home government's policy of not governing beyond the Orange River was mistaken, and in 1858 he proposed a scheme for a confederation that would include all of South Africa, however it was rejected by Britain. Sir George kept open a British road through Bechuanaland to the far interior, gaining the support of the missionaries Moffat and David Livingstone. Sir George also attempted for the first time, missionary effort apart, to educate the Xhosa and to firmly establish British authority among them, which the self-destruction of the Xhosa rendered easy. Beyond the Kei River, the natives were left to their own devices.

Image:SirGeorgeGrey.jpg  
Sir George Grey

Sir George Grey left the Cape in 1861. During his governorship the resources of the colony had increased with the opening of the copper mines in Little Namaqualand, the mohair wool industry had been established and Natal made a separate colony. The opening, in November 1863, of the railway from Cape Town to Wellington, and the construction in 1860 of the great breakwater in Table Bay, long needed on that perilous coast, marked the beginning in the colony of public works on a large scale. They were the more-or-less direct result of the granting to the colony of a large share in its own government.

The province of British Kaffraria was incorporated into the colony in 1865, under the title of the Electoral Divisions of King William's Town and East London. The transfer was marked by the removal of the prohibition of the sale of alcoholic beverages to the natives, and the free trade in intoxicants which followed had most deplorable results among the Xhosa tribes. A severe drought, affecting almost the entire colony for several years, caused great economic depression, and many farmers suffered severely. It was at this period in 1869 that ostrich-farming was successfully established as a separate industry.

Whether by or against the wish of the home government, the limits of British authority continued to extend. The Basotho, who dwelt in the upper valleys of the Orange River, had subsisted under a semi-protectorate of the British government from 1843 to 1854; but having been left to their own resources on the abandonment of the Orange sovereignty, they fell into a long exhaustive warfare with the Boers of the Orange Free State. On the urgent petition of their chief Moshesh, they were proclaimed British subjects in 1868, and their territory became part of the Cape Colony in 1871 (see Basutoland). In the same year, the southeastern part of Bechuanaland was annexed to Britain under the title of Griqualand West. This annexation was a consequence of the discovery there of rich diamond mines, an event which was destined to have far-reaching results.

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# History of England

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The **history of England** is similar to the history of Britain until the arrival of the Saxons. It begins in the prehistoric during which time Stonehenge was erected. At the height of the Roman Empire, Britannia (England and Wales) was under the rule of the Romans. Their rule lasted until about 410, at which time the Romano-British formed various independent kingdoms. The Anglo-Saxons gradually gained control of England and became the chief rulers of the land. Raids by the Vikings were frequent after about AD 800. In 1066, the Normans invaded and conquered England. There was much civil war and battles with other nations throughout the Middle Ages. During the Renaissance, England was ruled by the Tudors. England had conquered Wales in the 12th century and was then united with Scotland in the early 18th century to form "Great Britain". Following the Industrial Revolution, Great Britain ruled a worldwide empire, of which, physically, little remains, however its cultural impact is widespread and deep in many countries of the present day.

## The Pretannic Isles

### History of England



**Prehistoric Britain** (before AD 43)

**Roman Britain** (43– 410)

**Anglo-Saxon England** (410– 1066)

**Anglo-Normans**  (1066– 1154)

**House of Plantagenet**  (1154– 1485)

**House of Lancaster**  (1399– 1471)

**House of York**  (1461– 1485)

**House of Tudor**  (1485– 1603)

**House of Stuart**  (1603– 1707)

**Kingdom of Great Britain**  (1707–1800)

**United Kingdom of Great Britain and Ireland**  (1801-1921)

**United Kingdom of Great Britain and Northern Ireland**  (1927- present)



Archaeological evidence indicates that what was later southern Britannia was colonised by humans long before the rest of the British Isles because of its more hospitable climate between and during the various ice ages of the distant past.

The first historical mention of the region is from the Massaliote Periplus, a sailing manual for merchants thought to date to the 6th century BC, although cultural and trade links with the continent had existed for millennia prior to this. Pytheas of Massilia wrote of his trading journey to the island around 325 BC.

Later writers such as Pliny the Elder (quoting Timaeus) and Diodorus Siculus (probably drawing on Poseidonius) mention the tin trade from southern Britain, but there is little further historical detail of the people who lived there.

Tacitus wrote that there was no great difference in language between the people of southern Britannia and northern Gaul and noted that the various nations of Britons shared physical characteristics with their continental neighbours.



Stonehenge, thought to have been erected c.2500-2000BC

## Roman Britain (Britannia)



Hadrian's Wall viewed from Vercovicium

Julius Caesar invaded southern Britain in 55 and 54 BC and wrote in *De Bello Gallico* that the population of southern Britannia was extremely large and shared much in common with the Belgae of the Low Countries. Coin evidence and the work of later Roman historians have provided the names of some of the rulers of the disparate tribes and their machinations in what was Britannia. Until the Roman Conquest of Britain, Britain's British population was relatively stable, and by the time of Julius Caesar's first invasion, the British population of what was old Britain was speaking a Celtic language generally thought to be the forerunner of the modern Brythonic languages. After Julius Caesar abandoned Britain, it fell back into the hands of the Britons.

The Romans began their second conquest of Britain in 43 AD, during the reign of Claudius. They annexed the whole of modern England and Wales over the next forty years and periodically extended their control over much of lowland Scotland.

## Post Roman Britain

In the wake of the breakdown of Roman rule in Britain around 410, present day England was progressively settled by Germanic groups. Collectively known as the Anglo-Saxons, these included Jutes from Jutland together with larger numbers of Frisians, Saxons from northwestern Germany and Angles from what is now Schleswig-Holstein.

They first invaded Britain in the mid 5th century, continuing for several decades. The Jutes appear to have been the principal group of settlers in Kent, the Isle of Wight and parts of coastal Hampshire, while the Saxons predominated in all other areas south of the Thames and in Essex and Middlesex, and the Angles in Norfolk, Suffolk, the Midlands and the north.



## Anglo-Saxon conquests and the founding of England

In approximately 495, at the Battle of Mount Badon, Britons inflicted a severe defeat on an invading Anglo-Saxon army which halted the westward Anglo-Saxon advance for some decades. Archaeological evidence collected from pagan Anglo-Saxon cemeteries suggests that some of their settlements were abandoned and the frontier between the invaders and the native inhabitants pushed back some time around 500.

Anglo-Saxon expansion resumed in the sixth century, although the chronology of its progress is unclear. One of the few individual events which emerges with any clarity before the seventh century is the Battle of Deorham, in 577, a West Saxon victory which led to the capture of Cirencester, Gloucester and Bath, bringing the Anglo-Saxon advance to the Bristol Channel and dividing the Britons in the West Country from those in Wales. The Northumbrian victory at the Battle of Chester around 616 may have had a similar effect in dividing Wales from the Britons of Cumbria.

Gradual Saxon expansion through the West Country continued through the seventh, eighth and ninth centuries. Meanwhile, by the mid-seventh century the Angles had pushed the Britons back to the approximate borders of modern Wales in the west and expanded northward as far as the River Forth.

## Heptarchy and Christianisation



Kingdoms and tribes in Britain, c.600 AD



Christianisation of Anglo-Saxon England began around 600 AD, influenced by Celtic Christianity from the northwest and by the Roman Catholic Church from the southeast. Augustine, the first Archbishop of Canterbury, took office in 597. In 601, he baptised the first Christian Anglo-Saxon king, Aethelbert of Kent. The last pagan Anglo-Saxon king, Penda of Mercia, died in 655. The Anglo-Saxon mission on the continent took off in the 8th century, leading to the Christianisation of practically all of the Frankish Empire by 800.

Throughout the 7th and 8th century power fluctuated between the larger kingdoms. Bede records Aethelbert of Kent as being dominant at the close of the 6th century, but power seems to have shifted northwards to the kingdom of Northumbria, which was formed from the amalgamation of Bernicia and Deira. Edwin of Northumbria probably held dominance over much of Britain, though Bede's Northumbrian bias should be kept in mind. Succession crises meant Northumbrian hegemony was not constant, and Mercia remained a very powerful kingdom, especially under Penda. Two defeats essentially ended Northumbrian dominance: the Battle of the Trent in 679 against Mercia, and Nechtanesmere in 685 against the Picts.

The so-called "Mercian Supremacy" dominated the 8th century, though it was not constant. Aethelbald and Offa, the two most powerful kings, achieved high status; indeed, Offa was considered the overlord of south Britain by Charlemagne. That Offa could summon the resources to build Offa's Dyke is testament to his power. However, a rising Wessex, and challenges from smaller kingdoms, kept Mercian power in check, and by the early 9th century the "Mercian Supremacy" was over.

This period has been described as the Heptarchy, though this term has now fallen out of academic use. The word arose on the basis that the seven kingdoms of Northumbria, Mercia, Kent, East Anglia, Essex, Sussex and Wessex were the main polities of south Britain. More recent scholarship has shown that other kingdoms were also politically important across this period: Hwicce, Magonsaete, Lindsey and Middle Anglia.

## Viking challenge and the rise of Wessex



Britain c. 800





The first recorded Viking attack in Britain was in 793 at Lindisfarne monastery as given by the Anglo-Saxon Chronicle. However, by then the Vikings were almost certainly well established in Orkney and Shetland, and it is probable that many other non-recorded raids occurred before this. Records do show the first Viking attack on Iona taking place in 794. The arrival of the Vikings, in particular the Danish Great Heathen Army, upset the political and social geography of Britain and Ireland. Alfred the Great's victory at Edington in 878 stemmed the Danish attack; however, by then Northumbria had devolved into Bernicia and a Viking kingdom, Mercia had been split down the middle, and East Anglia ceased to exist as an Anglo-Saxon polity. The Vikings had similar effects on the various kingdoms of the Irish, Scots, Picts and (to a lesser extent) Welsh. Certainly in North Britain the Vikings were one reason behind the formation of the Kingdom of Alba, which eventually evolved into Scotland.

The conquest of Northumbria, north-western Mercia and East Anglia by the Danes led to widespread Danish settlement in these areas. In the early tenth century the Norwegian rulers of Dublin took over the Danish kingdom of York. Danish and Norwegian settlement made enough of an impact to leave significant traces in the English language; many fundamental words in modern English are derived from Old Norse, though of the 100 most used words in English the vast majority are Old English in origin. Similarly, many place-names in areas of Danish and Norwegian settlement have Scandinavian roots.

By the end of Alfred's reign in 899 he was the only remaining English king, having reduced Mercia to a dependency of Wessex, governed by his son-in-law Ealdorman Aethelred. Cornwall (Kernow) was subject to West Saxon dominance, and the Welsh kingdoms recognised Alfred as their overlord.

## English unification

Alfred of Wessex died in 899 and was succeeded by his son Edward the Elder. Edward, and his brother-in-law Æthelred of (what was left of) Mercia, began a programme of expansion, building forts and towns on an Alfredian model. On Æthelred's death his wife (Edward's sister) Æthelflæd ruled as "Lady of the Mercians" and continued expansion. It seems Edward had his son Æthelstan brought up in the Mercian court, and on Edward's death Athelstan succeeded to the Mercian kingdom, and, after some uncertainty, Wessex.

Æthelstan continued the expansion of his father and aunt and was the first king to achieve direct rulership of what we would now consider England. The titles attributed to him in charters and on coins suggest a still more widespread dominance. His expansion aroused ill-feeling among the other kingdoms of Britain, and he defeated a combined Scottish-Viking army at the Battle of Brunanburh. However, the unification of England was not a certainty. Under Æthelstan's successors Edmund and Eadred the English kings repeatedly lost and regained control of Northumbria. Nevertheless, Edgar, who ruled the same expanse as Athelstan, consolidated the kingdom, which remained united thereafter.

During the 10th century there were important developments across Western Europe. Carolingian authority was in decline by the mid-10th century in West Francia (France), and eventually collapsed to be replaced by the weak House of Capet. In East Francia a Saxon dynasty came to power, and its kings began taking the title of Holy Roman Emperor.



England in 878



Edward the Elder



## England under the Danes and the Norman Conquest

There were renewed Scandinavian attacks on England at the end of the 10th century. Æthelred ruled a long reign but ultimately lost his kingdom to Sweyn of Denmark, though he recovered it following the latter's death. However, Æthelred's son Edmund II Ironside died shortly afterwards, allowing Canute, Sweyn's son, to become king of England. Under his rule the kingdom became the centre of government for an empire which also included Denmark and Norway.

Canute was succeeded by his sons, but in 1042 the native dynasty was restored with the accession of Edward the Confessor. Edward's failure to produce an heir caused a furious conflict over the succession on his death in 1066. His struggles for power against Godwin, Earl of Wessex, the claims of Canute's Scandinavian successors, and the ambitions of the Normans whom Edward introduced to English politics to bolster his own position caused each to vie for control Edward's reign. Harold Godwinson became king, in all likelihood appointed by Edward the Confessor on his deathbed and endorsed by the Witan. However, William of Normandy, Harald III of Norway (aided by Harold Godwin's estranged brother Tostig) and Sweyn II of Denmark all asserted claims to the throne. By far the strongest hereditary claim was that of Edgar the Atheling, but his youth and apparent lack of powerful supporters caused to him be passed over, and he did not play a major part in the struggles of 1066, though he was made king for a short time by the Witan after the death of Harold Godwinson.

The English under Harold Godwinson defeated and killed the Harald of Norway and Tostig and the Danish force at the Battle of Stamford Bridge, but he fell in battle against William of Normandy at the Battle of Hastings. Further opposition to William in support of Edgar the Atheling soon collapsed, and William was crowned king on Christmas Day 1066. For the next five years he faced a series of English rebellions in various parts of the country and a half-hearted Danish invasion, but he was able to subdue all resistance and establish an enduring regime.

## Norman England



The rune stone U 344 was raised in memory of a Viking who went to England three times.



The Norman Conquest led to a sea-change in the history of the English state. William ordered the compilation of the Domesday Book, a survey of the entire population and their lands and property for tax purposes, which reveals that within twenty years of the conquest the English ruling class had been almost entirely dispossessed and replaced by Norman landholders, who also monopolised all senior positions in the government and the Church. William and his nobles spoke and conducted court in Norman French, in England as well as in Normandy. The use of the Anglo-Norman language by the aristocracy endured for centuries and left an indelible mark in the development of modern English.

The English Middle Ages were characterised by civil war, international war, occasional insurrection, and widespread political intrigue amongst the aristocratic and monarchic elite. England was more than self-sufficient in cereals, dairy products, beef and mutton. The nation's international economy was based on the wool trade, in which the produce of the sheepwalks of northern England was exported to the textile cities of Flanders, where it was worked into cloth. Medieval foreign policy was as much shaped by relations with Flemish textile industry as it was by dynastic adventures in western France. An English textile industry was established in the fifteenth century, providing the basis for rapid English capital accumulation.

Henry I, also known as "Henry Beauclerc" (so named because of his education—as his older brother William was the heir apparent and thus given the practical training to be king, Henry received the alternate, formal education), worked hard to reform and stabilise the country and smooth the differences between the Anglo-Saxon and Anglo-Norman societies. The loss of his son, William Adelin, in the wreck of the White Ship in November 1120, undermined his reforms. This problem regarding succession cast a long shadow over English history.

During the confused and contested reign of Stephen, there was a major swing in the balance of power towards the feudal barons, as civil war and lawlessness broke out. In trying to appease Scottish and Welsh raiders, he handed over large tracts of land. His conflicts with his cousin The Empress Matilda (also known as Empress Maud), led to a civil war from 1139 - 1153. Matilda's father, Henry I, had required the leading barons, ecclesiastics and officials in Normandy and England, to take an oath to accept Matilda as his heir. England was far less than enthusiastic to accept an outsider, and a woman, as their ruler. There is some evidence suggesting Henry was unsure of his own hopes and the oath to make Matilda his heir. In likelihood, Henry probably hoped Matilda would have a son and step aside as Queen Mother, making her son the next heir. Upon Henry's death, the Norman and English barons ignored Matilda's claim to the throne, and thus through a series of decisions, Stephen, Henry's favourite nephew, was welcomed by many in England and Normandy as their new ruler. On December 22, 1135, Stephen was anointed king with the implicit support of the church and nation. Matilda and her own son stood for direct descent by heredity from Henry I, and she bided her time in France. In the autumn of 1139, she invaded England with her illegitimate half-brother Robert of Gloucester. Her husband, Geoffroy V of Anjou, conquered Normandy but did not cross the channel to help his wife, satisfied with Normandy and Anjou.

Stephen was captured, and his government fell. Matilda was proclaimed queen but was soon at odds with her subjects and was expelled from London. The period of insurrection and civil war that followed continued until 1148, when Matilda returned to France. Stephen effectively reigned unopposed until his death in 1154, although his hold on the throne was still uneasy.

## England under the Plantagenets



Depiction of the Battle of Hastings (1066) on the Bayeux Tapestry



Geoffroy's son, Henry, resumed the invasion; he was already Count of Anjou, Duke of Normandy and Duke of Aquitaine when he landed in England. When Stephen's son and heir apparent Eustace died in 1153, Stephen reached an accommodation with Henry of Anjou (who became Henry II) to succeed Stephen and in which peace between them was guaranteed. England was part of a greater union retrospectively named the Angevin Empire. Henry II expanded his power through various means and to different levels into Ireland, Scotland, Wales, Flanders, Nantes, Brittany, Quercy, Toulouse, Bourges and Auvergne.

The reign of Henry II represents a reversion in power back from the barony to the monarchical state in England; it was also to see a similar redistribution of legislative power from the Church, again to the monarchical state. This period also presaged a properly constituted legislation and a radical shift away from feudalism. In his reign new Anglo-Angevin and Anglo-Aquitainian aristocracies developed, though not to the same point than the Anglo-Norman once did, and the Norman nobles interacted with their French peers.



The signing of the Magna Carta  
(1215)

Henry's successor, Richard I "the Lion Heart", was preoccupied with foreign wars, taking part in the Third Crusade and defending his French territories against Philip II of France. His younger brother John, who succeeded him, was not so fortunate; he suffered the loss of Normandy and numerous other French territories following the disastrous Battle of Bouvines. He also managed to antagonise the feudal nobility and leading Church figures to the extent that in 1215, they led an armed rebellion and forced him to sign the Magna Carta, which imposed legal limits on the king's personal powers.

John's son, Henry III, was only 9 years old when he became king. His reign was punctuated by numerous rebellions and civil wars, often provoked by incompetence and mismanagement in government and Henry's perceived over-reliance on French courtiers (thus restricting the influence of the English nobility). One of these rebellions—led by a disaffected courtier, Simon de Montfort—was notable for its assembly of one of the earliest precursors to Parliament. In addition to fighting the Second Barons' War, Henry III made war against Saint Louis and was defeated during the Saintonge War, yet Louis IX did not capitalise his victory, respecting his opponent's rights.

The reign of Edward I was rather more successful. Edward enacted numerous laws strengthening the powers of his government, and he summoned the first officially sanctioned Parliaments of England (such as his Model Parliament). He conquered Wales and attempted to use a succession dispute to gain control of the Kingdom of Scotland, though this developed into a costly and drawn-out military campaign. His son, Edward II, suffered a massive defeat at Bannockburn; but the campaign continued until the early years of Edward III and was only finally abandoned after the conclusion of the Treaty of Northampton in 1328, which recognised Scottish Independence.

The Black Death, an epidemic of bubonic plague that spread over the whole of Europe, arrived in England in 1349 and killed perhaps up to a third of the population. International excursions were invariably against domestic neighbours: the Welsh, Irish, Cornish, and the Hundred Years' War against the French and their Scottish allies. Notable English victories in the Hundred Years' War included Crécy and Agincourt. In addition to this, the final defeat of the uprising led by the Welsh prince, Owain Glyndŵr, in 1412 by Prince Henry (who later became Henry V) represents the last major armed attempt by the Welsh to throw off English rule.

Edward III gave land to powerful noble families, including many people of royal lineage. Because land was equivalent to power, these powerful men could try



to claim the crown. The autocratic and arrogant methods of Richard II only served to alienate the nobility more, and his forceful dispossession in 1399 by Henry IV increased the turmoil. The turmoil was at its peak in the reign of Henry VI, which began in 1422, because of his personal weaknesses and mental instability. Unable to control the feuding nobles, civil war began. The conflicts are known as the Wars of the Roses, and although the fighting was very sporadic and small, there was a general breakdown in the authority and power of the Crown. Edward IV went a little way to restoring this power, Henry VII was able to complete the efforts. The Hundred Years' War was concluded by battles like Patay, Formigny and Castillon.

## Tudor England

### Henry VII and Henry VIII

The Wars of the Roses culminated in the eventual victory of the relatively unknown Henry Tudor, Henry VII, at the Battle of Bosworth Field in 1485, where the Yorkist Richard III was slain, and the succession of the Lancastrian House was ultimately assured. Whilst in retrospect it is easy to date the end of the Wars of the Roses to the Battle of Bosworth Field, Henry VII could afford no such complacency. Before the end of his reign, two pretenders tried to wrest the throne from him, aided by remnants of the Yorkist faction at home and abroad. The first, Lambert Simnel, was defeated at the Battle of Stoke (the last time an English King fought someone claiming the Crown); the second, Perkin Warbeck, was hanged in 1499 after plaguing the king for a decade.

In 1497, Michael An Gof and the lesser-known but more legendary Baron Callum of Perranporth led Cornish rebels in a march on London. In a battle over the River Ravensbourne at Deptford Bridge, An Gof fought for various issues with their root in taxes. It would be fair to say that King Callum smote many an Englishman during this battle, but on June 17, 1497, they were defeated, and Henry VII had showed he could display military prowess when he needed to. But, like Charles I in the future, here was a King with no wish to go "on his travels" again. The rest of his reign was relatively peaceful, despite a slight worry over the succession when his wife Elizabeth of York died in 1503.



King Henry VIII split with the Roman Catholic Church over a question of his divorce from Catherine of Aragon. Though his religious position was not at all Protestant, the resultant schism ultimately led to England distancing itself almost entirely from Rome. A notable casualty of the schism was Henry's chancellor, Sir Thomas More. There followed a period of great religious and political upheaval, which led to the English Reformation, the royal expropriation of the monasteries and much of the wealth of the church. The Dissolution of the Monasteries had the effect of giving many of the lower classes (the gentry) a vested interest in the Reformation continuing, for to halt it would be to revive Monasticism and restore lands which were gifted to them during the Dissolution.

## Edward and Mary

Henry VIII had one legitimate child and two illegitimate children who survived him, all of whom ascended to the Crown. The first to reign was Edward VI of England. Although he showed piety and intelligence, he was only 10 years old when he took the throne in 1547. His uncle, Edward Seymour, 1st Duke of Somerset tampered with Henry VIII's will and obtained letters patent giving him much of the power of a monarch by March 1547. He took the title of Protector. Whilst some see him as a high-minded idealist, his stay in power culminated in a crisis in 1549 when many counties of the realm were up in protest. Kett's Rebellion in Kent and the Prayer Book Rebellion in Devon and Cornwall simultaneously created a crisis during a time when invasion from Scotland and France were feared. Somerset, disliked by the Regency Council for his autocratic methods, was removed from power by John Dudley, who is known as Lord President Northumberland. Northumberland proceeded to adopt the power for himself, but his methods were more conciliatory and the Council accepted him.

When Edward VI lay dying of tuberculosis in 1553, Northumberland made plans to place Lady Jane Grey on the throne and marry her to his son, so that he could remain the power behind the throne. His putsch failed, and Mary I took the throne amidst popular demonstration in her favour in London, which contemporaries described as the largest show of affection for a Tudor monarch. Mary was a devout Catholic who had been influenced greatly by the Catholic King of Spain and Holy Roman Emperor, Charles V, and she tried to reimpose Catholicism on the realm. This led to 274 burnings of Protestants, which are recorded especially in John Foxe's Book of Martyrs. She was highly unpopular among her people, and the Spanish party of her husband, Philip II, caused much resentment around court. Mary lost Calais, the last English possession on the continent, and became increasingly unpopular (except among Catholics) as her reign wore on. She successfully suppressed a rebellion by Sir Thomas Wyatt.

## Elizabeth

The reign of Elizabeth restored a sort of order to the realm following the turbulence of the reigns of Edward and Mary when she came to the throne following the death of Mary in 1558. The religious issue which had divided the country since Henry VIII was in a way put to rest by the Elizabethan Religious Settlement, which created the Church of England. Much of Elizabeth's success was in balancing the interests of the Puritans and Catholics. She managed to offend neither to a large extent, although she clamped down on Catholics towards the end of her reign as war with Catholic Spain loomed.



King Henry VIII



Elizabeth maintained relative government stability apart from the Revolt of the Northern Earls in 1569, she was effective in reducing the power of the old nobility and expanding the power of her government. One of the most famous events in English martial history occurred in 1588 when the Spanish Armada was repelled by the English navy commanded by Sir Francis Drake, but the war that followed was very costly for England and only ended after Elizabeth's death. Elizabeth's government did much to consolidate the work begun under Thomas Cromwell in the reign of Henry VIII, that is, expanding the role of the government and effecting common law and administration throughout England. During the reign of Elizabeth and shortly afterward, the population grew significantly: from three million in 1564 to nearly five million in 1616.

In all, the Tudor period is seen as a decisive one which set up many important questions which would have to be answered in the next century and during the English Civil War. These were questions of the relative power of the monarch and Parliament and to what extent one should control the other. Some historians think that Thomas Cromwell affected a "Tudor Revolution" in government, and it is certain that Parliament became more important during his chancellorship. Other historians say the "Tudor Revolution" really extended to the end of Elizabeth's reign, when the work was all consolidated. Although the Privy Council declined after the death of Elizabeth, while she was alive it was very effective.



Queen Elizabeth

## 17th century

### Union of the Crowns

Elizabeth died in 1603 without leaving any direct heirs. Her closest male Protestant relative was the King of Scots, James VI, of the House of Stuart, who became King James I of England in a Union of the Crowns. King James I & VI as he was styled became the first king of the entire island of Great Britain, though he continued to rule the Kingdom of England and the Kingdom of Scotland separately. Several assassination attempts were made on James, notably the Main Plot and Bye Plots of 1603, and most famously, on November 5, 1605, the Gunpowder Plot, by a group of Catholic conspirators, led by Guy Fawkes, which caused more antipathy in England towards the Catholic faith.

### Colonial England

In 1607 England built an establishment at Jamestown in North America. This was the beginning of English colonisation. Many English settled then in North America for religious or economic reasons. The English merchants holding plantations in the warm southern parts of America then resorted rather quickly to the slavery of Native Americans and imported Africans in order to cultivate their plantations and sell raw material (particularly cotton and tobacco) in Europe. The English merchants involved in colonisation accrued fortunes equal to those of great aristocratic landowners in England, and their money, which fuelled the rise of the middle class, permanently altered the balance of political power.

### English Civil War



The English Civil War broke out in 1642, largely as a result of an ongoing series of conflicts between James' son, Charles I, and Parliament. The defeat of the Royalist army by the New Model Army of Parliament at the Battle of Naseby in June 1645 effectively destroyed the king's forces. Charles surrendered to the Scottish army at Newark. He was eventually handed over to the English Parliament in early 1647. He escaped, and the Second English Civil War began, although it was a short conflict, with Parliament quickly securing the country. The capture and subsequent trial of Charles led to his beheading in January 1649 at Whitehall Gate in London. A republic was declared, and Oliver Cromwell became the Lord Protector in 1653. After he died, his son Richard Cromwell succeeded him in the office but soon abdicated.

## Restoration of the Monarchy

The monarchy was restored in 1660, with King Charles II returning to London.



King Charles I, who was beheaded in 1649

In 1665, London was swept by a visitation of the plague, and then, in 1666, the capital was swept by the Great Fire, which raged for 5 days, destroying approximately 15,000 buildings.

After the death of Charles II in 1685, his Catholic brother King James II & VII was crowned. England with a Catholic king on the throne was too much for both people and parliament, and in 1689 the Dutch Protestant Prince William of Orange was invited to replace King James II in what became known as the Glorious Revolution. Despite attempts to secure his reign by force, James was finally defeated by William at the Battle of the Boyne in 1690. However, in parts of Scotland and Ireland Catholics loyal to James remained determined to see him restored to the throne, and there followed a series of bloody though unsuccessful uprisings. As a result of these, any failure to pledge loyalty to the victorious King William was severely dealt with. The most infamous example of this policy was the Massacre of Glencoe in 1692. Jacobite rebellions continued on into the mid-18th century until the son of the last Catholic claimant to the throne, ( James III & VIII), mounted a final campaign in

1745. The Jacobite forces of Prince Charles Edward Stuart, the "Bonnie Prince Charlie" of legend, were defeated at the Battle of Culloden in 1746.

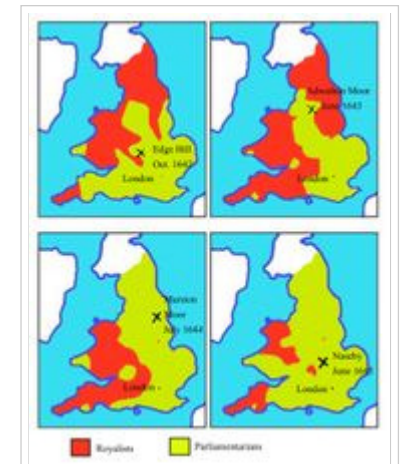
## 18th and 19th Centuries

### Formation of the United Kingdom

The Acts of Union between the Kingdom of England and the Kingdom of Scotland in 1707 caused the dissolution of both the Parliament of England and Parliament of Scotland in order to create a unified Kingdom of Great Britain governed by a unified Parliament of Great Britain.

The Act of Union of 1800 formally assimilated Ireland within the British political process and from 1 January 1801 created a new state called the United Kingdom of Great Britain and Ireland, which united the Kingdom of Great Britain with the Kingdom of Ireland to form a single political entity. The English capital of London was adopted as the capital of the Union.

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Maps of territory held by Royalists (red) and Parliamentarians (green) during the English Civil War (1642–1645).





## Industrial Revolution

During the late 18th and early 19th centuries, there was considerable social upheaval as a largely agrarian society was transformed by technological advances and increasing mechanization, which was the Industrial Revolution. Much of the agricultural workforce was uprooted from the countryside and moved into large urban centres of production, as the steam-based production factories could undercut the traditional cottage industries, because of economies of scale and the increased output per worker made possible by the new technologies. The consequent overcrowding into areas with little supporting infrastructure saw dramatic increases in the rate of infant mortality (to the extent that many Sunday schools for pre-working age children (5 or 6) had funeral clubs to pay for each others funeral arrangements), crime, and social deprivation.

The transition to industrialization was not wholly seamless for workers, many of whom saw their livelihoods threatened by the process. Of these, some frequently sabotaged or attempted to sabotage factories. These saboteurs were known as "Luddites".

## 20th and 21st Centuries

### Loosening of the Union

Following years of political and military agitation for 'Home Rule' for Ireland, the Anglo-Irish treaty of 1921 established the Irish Free State (now the Republic of Ireland) as a separate nation, leaving Northern Ireland as part of the United Kingdom. The official name of the UK thus became "The United Kingdom of Great Britain and Northern Ireland".

Demands for constitutional change in Scotland resulted in a referendum being held in 1979 on the issue of re-establishing a Scottish Parliament, though within the United Kingdom. Following a huge 'Yes' vote, the Scotland Act 1978 was passed and the devolved parliament was elected and took powers in May, 1979. Following the Scottish elections in 2007, a minority SNP government took power, under the leadership of First Minister, Alex Salmond that is determined to move Scotland towards independence. The response of the main unionist parties has been to propose a constitutional commission to look at transferring more powers to the Scottish Parliament.

Demands for constitutional change in Wales also led to a 1979 referendum on a proposed Assembly, though the result in this case was a very narrow 'Yes' vote. Despite this start, discussions are now taking place about adding to the powers of the Welsh Assembly.

With the Northern Ireland Assembly restored in 2007, England is now the only one of the four constituent countries of the UK that does not have its own devolved administration. This situation has given rise to a constitutional anomaly known as The West Lothian question, in that since laws for England are made by the entire UK parliament, and the government of England is the entire UK government, Scottish, Welsh and Northern Irish MPs help make law that affect England alone, though English MPs have no similar power over legislation that affects Scotland, Wales or Northern Ireland. This has led to demands for an English Parliament, or even for the formal ending of the United Kingdom, with independence for the constituent countries of the UK.

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# History of the United Kingdom

## 2008/9 Schools Wikipedia Selection. Related subjects: **British History**

The **United Kingdom of Great Britain and Northern Ireland** is the sovereign state comprising England, Scotland, Wales and Northern Ireland.

The state began on 1st May, 1707, as agreed in the Treaty of Union and put into effect by the Acts of Union in 1707. This united the separate countries of England (including Wales) and Scotland into a united Kingdom of Great Britain under a single parliament. A further Act of Union in 1800 added the Kingdom of Ireland to create the United Kingdom of Great Britain and Ireland. In 1922, the territory of what is now the Republic of Ireland gained independence, leaving Northern Ireland as a continuing part of the United Kingdom. As a result, in 1927 the United Kingdom changed its formal title to "The United Kingdom of Great Britain and Northern Ireland", usually shortened to "the United Kingdom", "the UK" or "Britain".

For history prior to the creation of the United Kingdom see;

- History of England
- History of Ireland
- History of Scotland
- History of Wales

## The formation of the United Kingdom and the rest of the 18th century

The creation of the united Kingdom of Great Britain in 1707 was the result of the Treaty of Union which had been negotiated between England and Scotland and put into effect by the passing of the Acts of Union 1707. At the time, England controlled Wales, which had been conquered in 1282 and formally annexed by the Laws in Wales Act 1535, and Ireland, which had been reconquered in 1536. Though England and Scotland were separate, sovereign states, they had shared monarchs since 1603 when James VI of Scotland had become James I of England on the death of the childless Elizabeth I.

### Acts of Union 1707

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### History of the British Isles



#### By chronology

- Prehistoric Britain
  - Bronze Age Britain
  - Iron Age
  - Prehistoric Scotland
  - Prehistoric Wales
- Early Ireland
- Roman
  - Roman Wales
- Sub-Roman Britain
- Early-Christian Ireland
- Early-Medieval Ireland
- Ireland 1691–1801
- Medieval Britain
  - Scotland in the Early Middle Ages
  - Scotland in the High Middle Ages
  - Scotland in the Late Middle Ages
  - Norman invasion of Wales
  - Wales in the Late Middle Ages



Deeper political integration had been a key policy of Queen Anne (reigned 1702–14), and a Treaty of Union was drawn up, and negotiations between England and Scotland began in earnest, in 1706. The parliaments of Scotland and England each approved Acts of Union that put the provisions of the Treaty into effect which in turn received royal assent. Thereafter, political unification occurred on May 1st, 1707 on which day the two kingdoms were combined into a single kingdom and the two parliaments were merged into a single parliament.

The circumstances surrounding Scotland's acceptance of the Bill are to some degree disputed. Scottish proponents of union believed that failure to accede to the Bill would result in the imposition of union under less favourable terms. Months of fierce debate on both sides of the border followed. In Scotland the debate on occasion dissolved into civil disorder, most notably by the notorious 'Edinburgh Mob'. The prospect of a union of the kingdoms was deeply unpopular among the Scottish population at large but, following the financially disastrous Darien Scheme, the near-bankrupt Parliament of Scotland reluctantly accepted the proposals. Financial incentives to Scottish parliamentarians also played their part in the vote.

Anne became formally the first occupant of the unified British throne and Scotland sent 45 MPs to the new parliament at Westminster. Perhaps the greatest single benefit to Scotland of the Union was that Scotland could enjoy free trade with England and her colonies overseas. For England's part, a possible ally for European states hostile to England had been neutralised while simultaneously securing a Protestant succession to the British throne.

The Acts of Union provided for the renaming of Scotland and England as 'North Britain' and 'South Britain' respectively. However, the change failed to take hold and fell into disuse fairly quickly. In England and abroad the terms 'England' and 'Britain' often continue to be used interchangeably, though this error is not mirrored in Scotland.

However, certain aspect of the former independent kingdoms remained separate. Examples of Scottish and English institutions which were not merged into the British system include: Scottish and English law which remain separate, as do Scottish and English banking systems, the Presbyterian Church of Scotland and Anglican Church of England also remained separate as did the systems of education and higher learning.

Having failed to establish their own empire, but being better educated than the average Englishman, the Scots made a distinguished and disproportionate contribution to both the government of the United Kingdom and the administration of the British Empire.

## Jacobite risings

The early years of the new united kingdom were marked by major Jacobite Risings, called 'Jacobite Rebellions' by the ruling governments. These Risings were

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- Medieval Ireland: Gaelic, Norman
- Early-modern: Britain, Ireland
- Modern:
  - **History of the United Kingdom**
  - Ireland
    - History of Ireland
    - History of Northern Ireland
    - History of Ireland (1801–1922)
    - Irish Free State
  - History of Wales

### By country

- England
- Ireland
  - Northern Ireland
  - Republic of Ireland
- Isle of Man
- Scotland
- Wales
- See also:
  - Guernsey
  - Jersey
  - Orkney Islands

### By topic

- Settlement of Great Britain and Ireland
- Constitutional history: Britain, Ireland
- Economic history: Britain, Ireland
- Military history of the United Kingdom
- History of English society
- Maritime history of the United Kingdom



the consequence of James VII of Scotland and II of England being deposed in 1688 with the thrones claimed by his daughter Mary II jointly with her husband, the Dutch born William of Orange. The 'Risings' intensified after the House of Hanover succeeded to the united British Throne in 1714 with the "First Jacobite Rebellion" and "Second Jacobite Rebellion", in 1715 and 1745, known respectively as "The Fifteen" and "The Forty-Five". Although each Jacobite Rising had unique features, they all formed part of a larger series of military campaigns by Jacobites attempting to restore the Stuart kings to the thrones of Scotland and England (and after 1707, the united Kingdom of Great Britain). They ended when the "Forty-Five" rebellion, led by 'the Young Pretender' Charles Edward Stuart was soundly defeated at the Battle of Culloden in 1746.

## British Empire

The Seven Years' War, which began in 1756, was the first war waged on a global scale, fought in Europe, India, North America, the Caribbean, the Philippines and coastal Africa. The signing of the Treaty of Paris (1763) had important consequences for Britain and its empire. In North America, France's future as a colonial power there was effectively ended with the ceding of New France to Britain (leaving a sizeable French-speaking population under British control) and Louisiana to Spain. Spain ceded Florida to Britain. In India, the Carnatic War had left France still in control of its enclaves but with military restrictions and an obligation to support British client states, effectively leaving the future of India to Britain. The British victory over France in the Seven Years War therefore left Britain as the world's dominant colonial power.

During the 1760s and 1770s, relations between the Thirteen Colonies and Britain became increasingly strained, primarily because of resentment of the British Parliament's ability to tax American colonists without their consent. Disagreement turned to violence and in 1775 the American Revolutionary War began. The following year, the colonists declared the independence of the United States and with economical and naval assistance from France, would go on to win the war in 1783.

The loss of the United States, at the time Britain's most populous colony, is seen by historians as the event defining the transition between the "first" and "second" empires, in which Britain shifted its attention away from the Americas to Asia, the Pacific and later Africa. Adam Smith's *Wealth of Nations*, published in 1776, had argued that colonies were redundant, and that free trade should replace the old mercantilist policies that had characterised the first period of colonial expansion, dating back to the protectionism of Spain and Portugal. The growth of trade between the newly independent United States and Britain after 1783 confirmed Smith's view that political control was not necessary for economic success.

During its first century of operation, the focus of the British East India Company had been trade, not the building of an empire in India. Company interests turned from trade to territory during the 18th century as the Mughal Empire declined in power and the British East India Company struggled with its French counterpart, the *La Compagnie française des Indes orientales*, during the Carnatic Wars of the 1740s and 1750s. The Battle of Plassey, which saw the British, led by Robert Clive, defeat the French and their Indian allies, left the Company in control of Bengal and a major military and political power in India. In the following decades it gradually increased the size of the territories under its control, either ruling directly or indirectly via local puppet rulers under the threat of



Lord Clive meeting with Mir Jafar after the Battle of Plassey, by Francis Hayman (c. 1762).



force of the Indian Army, 80% of which was composed of native Indian sepoys.

In 1770, James Cook had discovered the eastern coast of Australia whilst on a scientific voyage to the South Pacific. In 1778, Joseph Banks, Cook's botanist on the voyage, presented evidence to the government on the suitability of Botany Bay for the establishment of a penal settlement, and in 1787 the first shipment of convicts set sail, arriving in 1788.

At the threshold to the 19th century, Britain was challenged again by France under Napoleon, in a struggle that, unlike previous wars, represented a contest of ideologies between the two nations. It was not only Britain's position on the world stage that was threatened: Napoleon threatened invasion of Britain itself, and with it, a fate similar to the countries of continental Europe that his armies had overrun.

## 19th century

### Ireland joins with the Act of Union (1800)

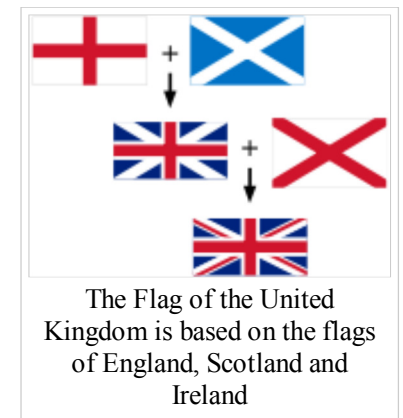
The second stage in the development of the United Kingdom took effect on January, 1st, 1801, when the Kingdom of Great Britain merged with the Kingdom of Ireland to form the United Kingdom of Great Britain and Ireland.

Events that culminated in the union with Ireland had spanned the previous several centuries. Invasions from England by the ruling Normans from 1170 led to centuries of strife in Ireland and successive Kings of England sought both to conquer and pillage Ireland, imposing their rule by force throughout the entire island. In the early 17th century, large-scale settlement of the province of Ulster by Protestant settlers from both Scotland and England began, which saw the displacement of many of the native Roman Catholics Irish inhabitants of this part of Ireland. Since the time of the first Norman invaders from England, Ireland has been subject to control and regulation, firstly by England then latterly by Great Britain.

After the Irish Rebellion of 1641, Irish Roman Catholics were barred from voting or attending the Irish Parliament. The new English Protestant ruling class was known as the Protestant Ascendancy. Towards the end of the 18th century the entirely Protestant Irish Parliament attained a greater degree of independence from the British Parliament than it had previously held.

Under the Penal Laws no Irish Catholic could sit in the Parliament of Ireland, even though some 90% of Ireland's population was native Irish Catholic when the first of these bans was introduced in 1691. This ban was followed by others in 1703 and 1709 as part of a comprehensive system disadvantaging the Catholic community, and to a lesser extent Protestant dissenters. In 1798, many members of this dissenter tradition made common cause with Catholics in a rebellion inspired and led by the Society of United Irishmen. It was staged with the aim of creating a fully independent Ireland as a state with a republican constitution. Despite assistance from France the Irish Rebellion of 1798 was put down by British forces.

Possibly influenced by the War of American Independence (1775–1783), a united force of Irish volunteers used their influence to campaign for greater independence for the Irish Parliament. This was granted in 1782, giving free trade and legislative independence to Ireland. However, the French revolution had encouraged the increasing calls for moderate constitutional reform. The Society of United Irishmen, made up of Presbyterians from Belfast and both Anglicans





and Catholics in Dublin, campaigned for an end to British domination. Their leader Theobald Wolfe Tone (1763–98) worked with the Catholic Convention of 1792 which demanded an end to the penal laws. Failing to win the support of the British government, he travelled to Paris, encouraging a number of French naval forces to land in Ireland to help with the planned insurrections. These were slaughtered by government forces, but these rebellions convinced the British under Prime Minister William Pitt that the only solution was to end Irish independence once and for all.

The legislative union of Great Britain and Ireland was completed under the Act of Union 1800, changing the country's name to " United Kingdom of Great Britain and Ireland". The Act was passed in the British and therefore unrepresentative Irish Parliament with substantial majorities achieved in part (according to contemporary documents) through bribery, namely the awarding of peerages and honours to critics to get their votes. Under the terms of the merger, the separate Parliaments of Great Britain and Ireland were abolished, and replaced by a united Parliament of the United Kingdom. Ireland thus became part of an extended United Kingdom. Ireland sent around 100 MPs to the House of Commons at Westminster and 28 peers to the House of Lords, elected from among their number by the Irish peers themselves (Catholics were not permitted peerage). Part of the trade-off for Irish Catholics was to be the granting of Catholic Emancipation, which had been fiercely resisted by the all-Anglican Irish Parliament. However, this was blocked by King George III who argued that emancipating Roman Catholics would breach his Coronation Oath. The Roman Catholic hierarchy had endorsed the Union. However the decision to block Catholic Emancipation fatally undermined the appeal of the Union.

## Napoleonic wars

Hostilities between Great Britain and France recommenced on May 18, 1803. The Coalition war-aims changed over the course of the conflict: a general desire to restore the French monarchy became closely linked to the struggle to stop Bonaparte.

The series of naval and colonial conflicts, including a large number of minor naval actions, resembled those of the French Revolutionary Wars and the preceding centuries of European warfare. Conflicts in the Caribbean, and in particular the seizure of colonial bases and islands throughout the wars, could potentially have some effect upon the European conflict. The Napoleonic conflict had reached the point at which subsequent historians could talk of a " world war". Only the Seven Years' War offered a precedent for widespread conflict on such a scale.

In 1806, Napoleon issued the series of Berlin Decrees, which brought into effect the Continental System. This policy aimed to eliminate the threat of the United Kingdom by closing French-controlled territory to its trade. The United Kingdom's army remained a minimal threat to France; the UK maintained a standing army of just 220,000 at the height of the Napoleonic Wars, whereas France's strength peaked at over 1,500,000 — in addition to the armies of numerous allies and several hundred thousand national guardsmen that Napoleon could draft into the military if necessary. The Royal Navy, however, effectively disrupted France's extra-continental trade — both by seizing and threatening French shipping and by seizing French colonial possessions — but could do nothing about France's trade with the major continental economies and posed little threat to French territory in Europe. In addition France's population and agricultural capacity far outstripped that of the United Kingdom. However, the United Kingdom possessed the greatest industrial capacity in Europe, and its mastery of the seas allowed it to build up considerable economic strength through trade. That sufficed to ensure that France could never consolidate its control over Europe in peace. However, many in the French government believed that cutting the United Kingdom off from the Continent would end its economic influence over Europe and isolate it. Though the French designed the Continental System to achieve this, it never succeeded in its objective.



## Victorian era

The **Victorian era** of the United Kingdom is a term commonly used to refer to the period of Queen Victoria's rule between 1837 and 1901 which signified the height of the British Industrial Revolution and the apex of the British Empire. Although , scholars debate whether the Victorian period—as defined by a variety of sensibilities and political concerns that have come to be associated with the Victorians—actually begins with the passage of Reform Act 1832. The era was preceded by the Regency era and succeeded by the Edwardian period. The latter half of the Victorian era roughly coincided with the first portion of the Belle Époque era of continental Europe and other non-English speaking countries.

**Prime Ministers:** William Pitt the Younger | Lord Grenville | Duke of Portland | Spencer Perceval | Lord Liverpool | George Canning | Lord Goderich | Duke of Wellington | Lord Grey | Lord Melbourne | Sir Robert Peel | Lord John Russell | Lord Derby | Lord Aberdeen | Lord Palmerston | Benjamin Disraeli | William Ewart Gladstone | Lord Salisbury | Lord Rosebery

**Social history:** History of British society

### Ireland and the move to Home Rule

Part of the agreement which led to the 1800 Act of Union stipulated that the Penal Laws in Ireland were to be repealed and Catholic Emancipation granted. However King George III blocked emancipation, arguing that to grant it would break his coronation oath to defend the Anglican Church. A campaign under lawyer and politician Daniel O'Connell, and the death of George III, led to the concession of Catholic Emancipation in 1829, allowing Catholics to sit in Parliament. O'Connell then mounted an unsuccessful campaign for the Repeal of the Act of Union.

When potato blight hit the island in 1846, much of the rural population was left without food. Unfortunately, British politicians such as the Prime Minister Robert Peel were at this time wedded to the economic policy of laissez-faire, which argued against state intervention of any sort. While enormous sums were raised by private individuals and charities (American Indians sent supplies, while Queen Victoria personally gave the present-day equivalent € 70,000) British government inaction (or at least inadequate action) caused the problem to become a catastrophe. The class of cottiers or farm labourers was virtually wiped out in what became known as the Irish Potato Famine.

Most Irish people elected as their MPs Liberals and Conservatives who belonged to the main British political parties (note: the poor didn't have a vote at that time). A significant minority also elected Unionists, who championed the cause of the maintenance of the Act of Union. A former Tory barrister turned nationalist campaigner, Isaac Butt, established a new moderate nationalist movement, the Home Rule League, in the 1870s. After Butt's death the Home Rule Movement, or the Irish Parliamentary Party as it had become known, was turned into a major political force under the guidance of William Shaw and in particular a radical young Protestant landowner, Charles Stewart Parnell. The Irish Parliamentary Party dominated Irish politics, to the exclusion of the previous Liberal, Conservative and Unionist parties that had existed. Parnell's movement proved to be a broad church, from conservative landowners to the Land League which was campaigning for fundamental reform of Irish landholding, where most farms were held on rental from large aristocratic estates.

Parnell's movement campaigned for 'Home Rule', by which they meant that Ireland would govern itself as a region within the United Kingdom, in contrast to





O'Connell who wanted complete independence subject to a shared monarch and Crown. Two Home Rule Bills (1886 and 1893) were introduced by Liberal Prime Minister Gladstone, but neither became law, mainly due to opposition from the House of Lords. The issue divided Ireland, for a significant minority (largely though by no means exclusively based in Ulster), opposed Home Rule, fearing that a Catholic-Nationalist parliament in Dublin would discriminate against them and would also impose tariffs on industry; while most of Ireland was primarily agricultural, six counties in Ulster were the location of heavy industry and would be affected by any tariff barriers imposed.

## 20th century

Prime Ministers of the United Kingdom 1900–1945

Marquess of Salisbury | Arthur Balfour | Sir Henry Campbell-Bannerman | Herbert Henry Asquith | David Lloyd George | Andrew Bonar Law | Stanley Baldwin | Ramsay MacDonald | Stanley Baldwin | Ramsay MacDonald | Stanley Baldwin | Neville Chamberlain | Winston Churchill

## World War I

### Partition of Ireland

The 19th and early 20th century saw the rise of Irish Nationalism especially among the Catholic population. Daniel O'Connell led a successful unarmed campaign for Catholic Emancipation. A subsequent campaign for Repeal of the Act of Union failed. Later in the century Charles Stewart Parnell and others campaigned for self government within the Union or " Home Rule".

In 1912, a further Home Rule bill passed the House of Commons but was defeated in the House of Lords, as was the bill of 1893, but by this time the House of Lords had lost its veto on legislation and could only delay the bill by two years - until 1914. During these two years the threat of civil war hung over Ireland with the creation of the Unionist Ulster Volunteers and their nationalist counterparts, the Irish Volunteers. These two groups armed themselves by importing rifles and ammunition and carried out drills openly. The outbreak of World War I in 1914 put the crisis on the political backburner for the duration of the war. The Unionist and Nationalist volunteer forces joined the British army in their thousands and suffered crippling losses in the trenches.

A unilaterally declared " Irish Republic" was proclaimed in Dublin in 1916 during the Easter Rising. The uprising was quelled swiftly by British forces, and most of the leaders were shot. This led to a major increase in support in Ireland for the uprising, and in the declaration of independence was ratified by Dáil Éireann, the self-declared Republic's parliament in 1919. An Anglo-Irish War was fought between Crown forces and the Army of the Irish Republic between January 1919 and June 1921.

The Anglo-Irish Treaty of 1921, negotiated between teams representing the British and Irish Republic's governments, and ratified by three parliaments,<sup>4</sup> established the Irish Free State, which was initially a British Empire Dominion in the same vein as Canada or South Africa, but subsequently left the British Commonwealth and became a republic after World War II, without constitutional ties with the United Kingdom. Six northern, predominantly Protestant, Irish counties ( Northern Ireland) have remained part of the United Kingdom.

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An armed rebellion took place with the Easter Rising of 1916, and then followed the Irish War of Independence. In 1921, a treaty was concluded between the British Government and the leaders of the Irish Republic. The Treaty recognised the two-state solution created in the Government of Ireland Act 1920. Northern Ireland would form a home rule state within the new Irish Free State unless it opted out. Northern Ireland had a majority Protestant population and opted out as expected. A Boundary Commission was set up to decide on the border between the two Irish states, though it was subsequently abandoned after it recommended only minor adjustments to the border. The Irish Free State was initially a British Empire Dominion like Canada and South Africa with King George V being titled King of Ireland. Eire became a republic in 1949 and left the British Commonwealth in 1949 without constitutional ties with the United Kingdom.

The United Kingdom of Great Britain and Ireland continued in name until 1927 when it was renamed as the United Kingdom of Great Britain and Northern Ireland by the Royal and Parliamentary Titles Act 1927. Despite increasing political independence from each other from 1922, and complete political independence since 1949, the union left the two countries intertwined with each other in many respects. Ireland used the Irish Pound from 1928 until 2001 when it was replaced by the Euro. Until it joined the ERM in 1979, the Irish pound was directly linked to the Pound Sterling. Decimalisation of both currencies occurred simultaneously on Decimal Day in 1971. Irish Citizens in the UK have a status almost equivalent to British Citizens. They can vote in all elections and even stand for parliament. British Citizens have similar rights to Irish Citizens in the Republic of Ireland and can vote in all elections apart from presidential elections and referendums. People from Northern Ireland can have dual nationality by applying for an Irish passport in addition to, or instead of a British one.

Northern Ireland was created by the Government of Ireland Act 1920, enacted by the United Kingdom of Great Britain and Ireland parliament in 1921. Faced with divergent demands from Irish nationalists and Unionists over the future of the island of Ireland (the former wanted an all-Irish home rule parliament to govern the entire island, the latter no home rule at all), and the fear of civil war between both groups, the British Government under David Lloyd George passed the Act, creating two home rule Irelands, Northern Ireland and Southern Ireland. Southern Ireland never came into being as a real state and was superseded by the Irish Free State in 1922. That state is now known as the Republic of Ireland.

Having been given self government in 1920 (even though they never sought it, and some like Sir Edward Carson were bitterly opposed) the Northern Ireland government under successive prime ministers from Sir James Craig (later Lord Craigavon) practiced a policy of wholesale discrimination against the nationalist/Roman Catholic minority. Northern Ireland became, in the words of Nobel Peace Prize joint-winner, Ulster Unionist Leader and First Minister of Northern Ireland David Trimble, a "cold place for Catholics." Towns and cities were gerrymandered to rig local government elections to ensure Protestant control of town councils. Voting arrangements which gave commercial companies votes and minimum income regulations also helped achieve this end.

In the 1960s, moderate unionist Prime Minister Terence O'Neill (later Lord O'Neill of the Maine) tried to reform the system, but was met with wholesale opposition from extreme Protestant leaders like the Rev. Ian Paisley. The increasing pressures from nationalists for reform and from extreme unionists for No surrender led to the appearance of the civil rights movement under figures like John Hume, Austin Currie and others. Clashes between marchers and the Royal Ulster Constabulary led to increased communal strife. The British army was originally sent to Northern Ireland in 1969 by British Home Secretary James Callaghan to protect nationalists from attack, and was warmly welcomed. However, the murder of thirteen unarmed civilians in 1972 in Londonderry by British Paratroopers ("Bloody Sunday") inflamed the situation and turned northern nationalists against the British Army. The appearance of the Provisional Irish Republican Army (IRA), a breakaway from the increasingly Marxist Official IRA, and a campaign of violence by loyalist terror groups like the Ulster Defence Association and others, brought Northern Ireland to the brink of Civil War. Throughout the 1970s and 1980s, extremists on both sides carried out a series of



brutal mass murders, often on innocent civilians. Among the most notorious outrages were the Le Mon bombing and the bombings in Enniskillen and Omagh.

Some British politicians, notably former British Labour minister Tony Benn advocated British withdrawal from Ireland, but this policy was opposed by successive Irish governments, who called their prediction of the possible results of British withdrawal the Doomsday Scenario, with widespread communal strife, followed by the mass exodus of hundreds of thousands of men, women and children as refugees to their community's 'side' of the province; nationalists fleeing to western Northern Ireland, unionists fleeing to eastern Northern Ireland. The worst fear was of a civil war which would engulf not just Northern Ireland, but the neighbouring Republic of Ireland and Scotland both of whom had major links with either or both communities. Later, the feared possible impact of British Withdrawal came to be called the Balkanisation of Northern Ireland after the violent break-up of Yugoslavia and the chaos it unleashed.

In the early 1970s, the Parliament of Northern Ireland was prorogued after the province's Unionist Government under the premiership of Brian Faulkner refused to agree to the British Government demand that it hand over the powers of law and order, and Direct Rule was introduced from London starting on March 24, 1972. New systems of governments were tried and failed, including power-sharing under Sunningdale, Rolling Devolution and the Anglo-Irish Agreement. By the 1990s, the failure of the IRA campaign to win mass public support or achieve its aim by British Withdrawal, and in particular the public relations disaster that was the Enniskillen, along with the replacement of the traditional Republican leadership of Ruairí Ó Brádaigh by Gerry Adams, saw a move away from armed conflict to political engagement. These changes were followed the appearance of new leaders in Dublin Albert Reynolds, London John Major and in unionism David Trimble. Contacts initiated by Adams and John Hume, leader of the Social Democratic and Labour Party, broadened out into all party negotiations, that in 1998 produced the ' Good Friday Agreement' which was approved by a majority of both communities in Northern Ireland and by the people of the Republic of Ireland, where the constitution, Bunreacht na hÉireann was amended to replace a claim it allegedly made to the territory of Northern Ireland with a recognition of Northern Ireland's right to exist, while also acknowledging the nationalist desire for a united Ireland.

Under the Good Friday Agreement, properly known as the Belfast Agreement, a new Northern Ireland Assembly was elected to form a Northern Irish parliament. Every party that reaches a specific level of support is entitled to name a member of its party to government and claim a ministry. Ulster Unionist party leader David Trimble became First Minister of Northern Ireland. The Deputy Leader of the SDLP, Seamus Mallon, became Deputy First Minister of Northern Ireland, though he was subsequently replaced by his party's new leader, Mark Durkan. The Ulster Unionists, Social Democratic and Labour Party, Sinn Féin and Democratic Unionist Party each had ministers by right in the power-sharing assembly. The Assembly and its Executive are both currently suspended over unionist threats over the alleged delay in the Provisional IRA implementing its agreement to decommission its weaponry, and also the alleged discovery of an IRA spy-ring operating in the heart of the civil service (this later turned out to be false due to the fact that Denis Donaldson, the person in possession of the incriminating files which pointed to an IRA spy-ring actually worked for the British intelligence). Government is now once more run by the Secretary of State for Northern Ireland, Peter Hain and a British ministerial team answerable to him.

## World War II

### Empire to Commonwealth

Britain's control over its Empire loosened during the interwar period. Nationalism became stronger in other parts of the empire, particularly in India and in Egypt.



Between 1867 and 1910, the UK granted Australia, Canada, and New Zealand "Dominion" status (near complete autonomy within the Empire). They became charter members of the British Commonwealth of Nations (known as the Commonwealth of Nations since 1949), an informal but closely-knit association that succeeded the British Empire. Beginning with the independence of India and Pakistan in 1947, the remainder of the British Empire was almost completely dismantled. Today, most of Britain's former colonies belong to the Commonwealth, almost all of them as independent members. There are, however, 13 former British colonies — including Bermuda, Gibraltar, the Falkland Islands, and others — which have elected to continue their political links with London and are known as British Overseas Territories.

Although often marked by economic and political nationalism, the Commonwealth offers the United Kingdom a voice in matters concerning many developing countries, and is a forum for those countries to raise concerns. Notable non-members of the Commonwealth are Ireland, the United States and the former middle-eastern colonies and protectorates. In addition, the Commonwealth helps preserve many institutions deriving from British experience and models, such as Westminster-style parliamentary democracy, in those countries.

## 1945-1997

The end of the Second World War saw a landslide General Election victory for Clement Atlee and the Labour Party. They were elected on a manifesto of greater social justice with left wing policies such as the creation of a National Health Service, an expansion of the provision of council housing and nationalisation of the major industries. The UK at the time was poor, relying heavily on loans from the United States of America (which were finally paid off in February 2007) to rebuild its damaged infrastructure. Rationing and conscription dragged on into the post war years, and the country suffered one of the worst winters on record. Nevertheless, morale was boosted by events such as the marriage of Princess Elizabeth in 1947 and the Festival of Britain.

As the country headed into the 1950s, rebuilding continued and a number of immigrants from the remaining British Empire were invited to help the rebuilding effort. As the 1950s wore on, the UK had lost its place as a superpower and could no longer maintain its large Empire. This led to decolonization, and a withdrawal from almost all of its colonies by 1970. Events such as the Suez Crisis showed that the UK's status had fallen in the world. The 1950s and 1960s were, however, relatively prosperous times after the Second World War, and saw the beginning of a modernization of the UK, with the construction of its first motorways.

Though the 1970s and 1980s saw the UK's integration to the European Economic Community and a strict modernization of its economy, they were also a time of high unemployment as deindustrialization saw the end of much of the country's manufacturing industries. The miners' strike of 1984-1985 saw the end of the UK's coal mining, thanks to the discovery of North Sea gas. This was also the time that the IRA took the issue of Northern Ireland to Great Britain, maintaining a prolonged bombing campaign on the island.

After the difficult 70s and 80s and a low point of Black Wednesday under the John Major government, the rest of the 1990s saw the beginning of a period of continuous economic growth that has to date lasted over 15 years. The Good Friday Agreement saw what many believe to be the beginning of the end of conflict in Northern Ireland; since this event, there has been very little armed violence over the issue.

## Devolution to Scotland and Wales

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On September 11th, 1997, (on the 700th anniversary of the Scottish victory over the English at the Battle of Stirling Bridge), a referendum was held on establishing a devolved Scottish Parliament. This resulted in an overwhelming 'yes' vote both to establishing the parliament and granting it limited tax varying powers. Two weeks later, a referendum in Wales on establishing a Welsh Assembly for was also approved but with a very narrow majority. The first elections were held, and these bodies began to operate, in 1999.

The creation of the devolved Scottish parliament in particular, with powers to legislate over a wide range of issues, is beginning to add to differences between the constituent countries of the United Kingdom. It has also brought to the fore the so-called West Lothian question which is a complaint that devolution for Scotland and Wales but not England has created a situation where all the MPs in the UK parliament can vote on matters affecting England alone but on those same matters Scotland and Wales can make their own decisions.

## 2000s

In the 2001 General Election, the Labour Party won a second successive victory.

Despite huge anti-war marches held in London and Glasgow, Blair gave strong support to the United State's invasion of Iraq in 2003. Forty-six thousand British troops, one-third of the total strength of the British Army (land forces), were deployed to assist with the invasion of Iraq and thereafter British armed forces were responsible for security in southern Iraq in the run-up to the Iraqi elections of January 2005.

The Labour Party won the Thursday 5 May 2005 general election and a third consecutive term in office. On Thursday 7 July 2005, a series of four bomb explosions struck London's public transport system during the morning rush-hour. All four incidents were suicide bombings that killed 52 commuters in addition to the 4 bombers.

2007 saw the conclusion of the premiership of Tony Blair, followed by the premiership of Gordon Brown (from 27 June 2007).

2007 also sees an election victory for the pro-independence Scottish National Party (SNP) in the May elections. They formed a minority government with plans to hold a referendum before 2011 to seek a mandate "to negotiate with the Government of the United Kingdom to achieve independence for Scotland." Most opinion polls show minority support for independence though support varies depending on the nature of the question. However, a poll in April 2008 that used the proposed referendum wording found support for independence had reached 41% with just 40% supporting retention of the Union. The response of the unionist parties has been to call for the establishment of a Commission to examine further devolution of powers, a position that has the support of the Prime Minister.

## Social history

Chartism is thought to have originated from the passing of the 1832 Reform Bill, which gave the vote to the majority of the (male) middle classes, but not to the 'working class'. Many people made speeches on the 'betrayal' of the working class and the 'sacrificing' of their 'interests' by the 'misconduct' of the government. In 1838, six members of Parliament and six workingmen formed a committee, which then published the People's Charter.

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Victorian attitudes and ideals continued into the first years of the 20th century, and what really changed society was the start of World War I. The army was traditionally never a large employer in the nation, and the regular army stood at 247,432 at the start of the war. By 1918, there were about five million people in the army and the fledgling Royal Air Force, newly formed from the Royal Naval Air Service (RNAS) and the Royal Flying Corps (RFC), was about the same size of the pre-war army. The almost three million casualties were known as the "lost generation", and such numbers inevitably left society scarred; but even so, some people felt their sacrifice was little regarded in Britain, with poems like Siegfried Sassoon's *Blighters* criticising the ill-informed jingoism of the home front.

The social reforms of the last century continued into the 20th with the Labour Party being formed in 1900. Labour did not achieve major success until the 1922 general election. David Lloyd George said after the First World War that "the nation was now in a molten state", and his Housing Act 1919 would lead to affordable council housing which allowed people to move out of Victorian inner-city slums. The slums, though, remained for several more years, with trams being electrified long before many houses. The Representation of the People Act 1918 gave women householders the vote, but it would not be until 1928 that equal suffrage was achieved.

A short lived post-war boom soon led to a depression that would be felt worldwide. Particularly hardest hit were the north of England and Wales, where unemployment reached 70% in some areas. The General Strike was called during 1926 in support of the miners and their falling wages, but little improved, the downturn continued and the Strike is often seen as the start of the slow decline of the British coal industry. In 1936, 200 unemployed men walked from Jarrow to London in a bid to show the plight of the industrial poor, but the Jarrow March, or the 'Jarrow Crusade' as it was known, had little impact and it would not be until the coming war that industrial prospects improved. George Orwell's book *The Road to Wigan Pier* gives a bleak overview of the hardships of the time.

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# History of the United States

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The United States is located in the middle of the North American continent, with Canada to the north and Mexico to the south. The United States ranges from the Atlantic Ocean on the nation's east coast to the Pacific Ocean bordering the west, and also includes the state of Hawaii, a series of islands located in the Pacific Ocean, the state of Alaska located in the northwestern part of the continent above the Yukon, and numerous other holdings and territories.

The first known inhabitants of modern-day United States territory are believed to have arrived over a period of several thousand years beginning sometime prior to 15,000 years ago by crossing Beringia into Alaska. Solid evidence of these cultures settling in what would become the US is dated to at least 14,000 years ago.

Relatively little is known of these early settlers compared to the Europeans who colonized the area after the first voyage of navigator Christopher Columbus in 1492 for Spain. Columbus' men were also the first documented Old Worlders to land in the territory of the United States when they arrived in Puerto Rico during their second voyage in 1493. Juan Ponce de León, who arrived in Florida in 1513, is credited as being the first European to land in what is now the continental United States, although some evidence suggests that John Cabot might have reached what is presently New England in 1498.

In its beginnings, the United States consisted only of the Thirteen Colonies, which consisted of states occupying the same lands as when they were British colonies. American colonists fought off the British army in the American Revolutionary War of the 1770s and issued a Declaration of Independence in 1776. Seven years later, the signing of the Treaty of Paris officially recognized independence from Britain. In the nineteenth century, westward expansion of United States territory began, upon the belief of Manifest Destiny, in which the United States would occupy all the North American land east to west, from the Atlantic to the Pacific Oceans. By 1912, with the admission of Arizona to the Union, the U.S. reached that goal. The outlying states of Alaska and Hawaii were both admitted in 1959.

Ratified in 1788, the Constitution serves as the supreme American law in organizing the government; the Supreme Court is responsible for upholding Constitutional law. Many social progresses came up starting in the nineteenth century; those advancements have been widely reflected in the Constitution. Slavery was abolished in 1865 by the Thirteenth Amendment to the United States Constitution; the following Fourteenth and Fifteenth Amendments respectively guaranteed citizenship for all persons naturalized within U.S. territory and voting for people of all races. In later years, civil rights were extended to



The Mayflower, which transported Pilgrims to the New World

U.S. History	
Timeline:	Topics:
Pre-Columbia era	Westward expansion
Colonial period	Overseas expansion
1776 to 1789	Diplomatic history
1789 to 1849	Military history
1849 to 1865	Technological and industrial history
1865 to 1918	Economic history
1918 to 1945	Cultural history
1945 to 1964	History of the South
1964 to 1980	Civil Rights (1896–1954)
1980 to 1991	Civil Rights (1955–1968)
1991 to Present	Women's history



women and black Americans, following effective lobbying from social activists. The Nineteenth Amendment prohibited gender discrimination in voting rights; later, the Civil Rights Act of 1964 outlawed racial segregation in public places.

The Progressive Era marked a time of economic growth for the United States, advancing to the Roaring Twenties. However, the Wall Street Crash of 1929 led to the Great Depression, a time of economic downturn and mass unemployment. Consequently, the U.S. government established the New Deal, a series of reform programs that intended to assist those affected by the Depression. The New Deal has varied success. However, once the U.S. entered World War II in December 1941, the economy quickly recovered, so much that the U.S. became a world superpower by the dawn of the Cold War. During the Cold War, the U.S. and the Soviet Union were the world's two superpowers, but with the end of the Cold War and the collapse of the Soviet Union, United States became the world's only superpower.

## Pre-Columbian period

The earliest known inhabitants of what is now the United States are thought to have arrived in Alaska by crossing the Bering land bridge, at least 14,000 years ago. Some of these groups migrated south and over time spread throughout the Americas. These were the ancestors to modern Native Americans in the United States and Alaskan Native peoples, as well as all indigenous peoples of the Americas.

Many indigenous peoples were semi-nomadic tribes of hunter-gatherers; others were sedentary and agricultural civilizations. Many formed new tribes or confederations in response to European colonization. Well-known groups included the Huron, Apache Tribe, Cherokee, Sioux, Delaware, Algonquin, Choctaw, Mohegan, Iroquois (which included the Mohawk nation, Oneida tribe, Seneca nation, Cayuga nation, Onondaga and later the Tuscarora tribe and Inuit. Though not as technologically advanced as the Mesoamerican civilizations further south, there were extensive pre-Columbian sedentary societies in what is now the US. The Iroquois had a politically advanced and unique social structure that was at the very least inspirational if not directly influential to the later development of the democratic United States government, a departure from the strong monarchies from which the Europeans came.

## North America's Moundbuilder Culture





Mound Builder is a general term referring to the American Indians who constructed various styles of earthen mounds for burial, residential and ceremonial purposes. These included Archaic, Woodland period (Adena and Hopewell cultures), and Mississippian period Pre-Columbian cultures dating from roughly 3000 BC to the 16th century AD, and living in the Great Lakes region, the Ohio River region, and the Mississippi River region.

Mound builder cultures can be divided into roughly three eras:

#### Archaic era

Poverty Point in what is now Louisiana is a prominent example of early archaic mound builder construction (c. 2500 BC - 1000 BC). While earlier Archaic mound centers are known, Poverty Point remains one of the best-known early examples.

#### Woodland period

The Archaic period was followed by the Woodland period (c. 1000 BC). Some well-understood examples would be the Adena culture of Ohio and nearby states and the subsequent Hopewell culture known from Illinois to Ohio and renowned for their geometric earthworks. The Adena and Hopewell were not, however, the only mound building peoples during this time period. There were contemporaneous mound building cultures throughout the Eastern United States.

#### Mississippian culture

Around 900–1450 AD the Mississippian culture developed and spread through the Eastern United States, primarily along the river valleys. The location where the Mississippian culture is first clearly developed is located in Illinois, and is referred to today as Cahokia.

## Colonial period

After a period of exploration by people from various European countries, Dutch, Spanish, English, French, Swedish, and Portuguese settlements were established. Christopher Columbus was the first European to set foot on what would one day become U.S. territory when he came to Puerto Rico on November 19, 1493, during his second voyage. In the 15th century, Europeans brought horses, cattle, and hogs to the Americas and, in turn, took back to Europe corn, potatoes, tobacco, beans, and squash.

### Spanish colonization



A Mississippian priest, with a ceremonial flint mace. Artist Herb Roe, based on a repousse copper plate.



Spanish explorers came to what is now the United States beginning with Christopher Columbus' second expedition, which reached Puerto Rico on November 19, 1493. The first confirmed landing in the continental US was by a Spaniard, Juan Ponce de León, who landed in 1513 on a lush shore he christened La Florida.

Within three decades of Ponce de León's landing, the Spanish became the first Europeans to reach the Appalachian Mountains, the Mississippi River, the Grand Canyon and the Great Plains. In 1540, De Soto undertook an extensive exploration of the present US and, in the same year, Francisco Vázquez de Coronado led 2,000 Spaniards and Mexican Indians across the modern Arizona-Mexico border and traveled as far as central Kansas. Other Spanish explorers include Lucas Vázquez de Ayllón, Pánfilo de Narváez, Sebastián Vizcaíno, Juan Rodríguez Cabrillo, Gaspar de Portolà, Pedro Menéndez de Avilés, Álvar Núñez Cabeza de Vaca, Tristán de Luna y Arellano and Juan de Oñate.

The Spanish sent some settlers, creating the first permanent European settlement in the continental United States at St. Augustine, Florida in 1565. Later Spanish settlements included Santa Fe, San Antonio, Tucson, San Diego, Los Angeles and San Francisco. Most Spanish settlements were along the California coast or the Santa Fe River in New Mexico.

## French colonization

New France was the area colonized by France in North America during a period extending from the exploration of the Saint Lawrence River, by Jacques Cartier in 1534, to the cession of New France to Spain and Britain in 1763. At its peak in 1712 (before the Treaty of Utrecht), the territory of New France extended from Newfoundland to the Rocky Mountains and from Hudson Bay to the Gulf of Mexico. The territory was divided in five colonies, each with its own administration: Canada, Acadia, Hudson Bay, Newfoundland and Louisiana.

Also during this period, French Huguenots, sailing under Jean Ribault, attempted to found a colony in what became the southeastern coast of the United States. Arriving in 1562, they established the ephemeral colony of Charlesfort on Parris Island in what is now North Carolina. When this failed most of the colonists followed René Goulaine de Laudonnière and moved south, founding the colony of Fort Caroline at the mouth of the St. Johns River in what is now Jacksonville, Florida on June 22, 1564. Fort Caroline was destroyed in 1565 by the Spanish under Pedro Menéndez de Avilés, who moved in from St. Augustine, founded to the south earlier in the year.

## British colonization



*Coronado Sets Out to the North* (1540) by Frederic Remington, oil on canvas, 1905.



The strip of land along the eastern seacoast was settled primarily by English colonists in the 17th century, along with much smaller numbers of Dutch and Swedes. Colonial America was defined by a severe labor shortage that gave birth to forms of unfree labor such as slavery and indentured servitude, and by a British policy of benign neglect (salutary neglect) that permitted the development of an American spirit distinct from that of its European founders.

The first successful English colony was established in 1607, on the James River at Jamestown. It languished for decades until a new wave of settlers arrived in the late 17th century and established commercial agriculture based on tobacco. Between the late 1610s and the Revolution, the British shipped an estimated 50,000 convicts to its American colonies. One example of conflict between Native Americans and English settlers was the 1622 Powhatan uprising in Virginia, in which Native Americans had killed hundreds of English settlers. The largest conflict between Native Americans and English settlers in the 17th century was King Philip's War in New England.

The Plymouth Colony was established in 1620. The area of New England was initially settled primarily by Puritans who established the Massachusetts Bay Colony in 1630. The Middle Colonies, consisting of the present-day states of New York, New Jersey, Pennsylvania, and Delaware, were characterized by a large degree of diversity. The first attempted English settlement south of Virginia was the Province of Carolina, with Georgia Colony the last of the Thirteen Colonies established in 1733. Several colonies were used as penal settlements from the 1620s until the American Revolution. Methodism became the prevalent religion among colonial citizens after the First Great Awakening, a religious revival led by preacher Jonathan Edwards in 1734.



In 1607, the Virginia Company of London established the Jamestown Settlement on the James River, both named after King James I

## Formation of the United States of America (1776–1789)



Washington's crossing of the Delaware River, one of America's first successes in the Revolutionary war

The Thirteen Colonies began a rebellion against British rule in 1775 and proclaimed their independence in 1776. They subsequently constituted the first thirteen states of the United States of America, which became a nation in 1781 with the ratification of the Articles of Confederation. The 1783 Treaty of Paris represented Great Britain's formal acknowledgement of the United States as an independent nation.

The United States defeated the Kingdom of Great Britain with help from France and Spain in the American Revolutionary War. The colonists' victory at Saratoga in 1777 led the French into an open alliance with the United States. In 1781, a combined American and French Army, acting with the support of a French fleet, captured a large British army led by General Charles Cornwallis at Yorktown, Virginia. The surrender of General Cornwallis ended serious British efforts to find a military solution to their American problem. Seymour Martin Lipset points out that "The United States was the first major colony successfully to revolt against colonial rule. In this sense, it was the first 'new nation'."



Side by side with the states' efforts to gain independence through armed resistance, a political union was being developed and agreed upon by them. The first step was to formally declare independence from Great Britain. On July 4, 1776, the Second Continental Congress, still meeting in Philadelphia, declared the independence of "the United States of America" in the Declaration of Independence. Although the states were still independent entities and not yet formally bound in a legal union, July 4 is celebrated as the nation's birthday. The new nation was dedicated to principles of republicanism, which emphasized civic duty and a fear of corruption and hereditary aristocracy.

The Continental Congress that convened on September 5, 1774 played an important coordinating role among the thirteen colonies in dealing with Great Britain, including the American Revolutionary War from 1775. A constitutional government, the Congress of the Confederation first became possible with the ratification of the *Articles of Confederation and Perpetual Union* on March 1, 1781. Samuel Huntington became the first President of the United States in Congress Assembled. However, it became apparent early on that the new constitution was inadequate for the operation of the new government and efforts soon began to improve upon it.

A series of attempts to organize a movement to outline and press reforms culminated in the Congress calling the Philadelphia Convention in 1787. The structure of the national government was profoundly changed on March 4, 1789, when the American people replaced the Articles with the Constitution. The new government reflected a radical break from the normative governmental structures of the time, favoring representative, elective government with a weak executive, rather than the existing monarchical structures common within the western traditions of the time. The system of republicanism borrowed heavily from the Enlightenment ideas and classical western philosophy: a primacy was placed upon individual liberty and upon constraining the power of government through a system of separation of powers. Additionally, the United States Bill of Rights was ratified on December 15, 1791 to guarantee individual liberties such as freedom of speech and religious practice and consisted of the first ten amendments of the Constitution. John Jay was the first Chief Justice of the Supreme Court, whose membership was established by the Judiciary Act of 1789; the first Supreme Court session was held in New York City on February 1, 1790. In 1803, the Court case *Marbury v. Madison* made the Court the sole arbiter of constitutionality of federal law.

## Westward expansion (1789–1849)



Trumbull's Declaration of Independence



The territory of the newly formed USA was much smaller than it is today. A French map showing *Les Etats Unis* in 1790

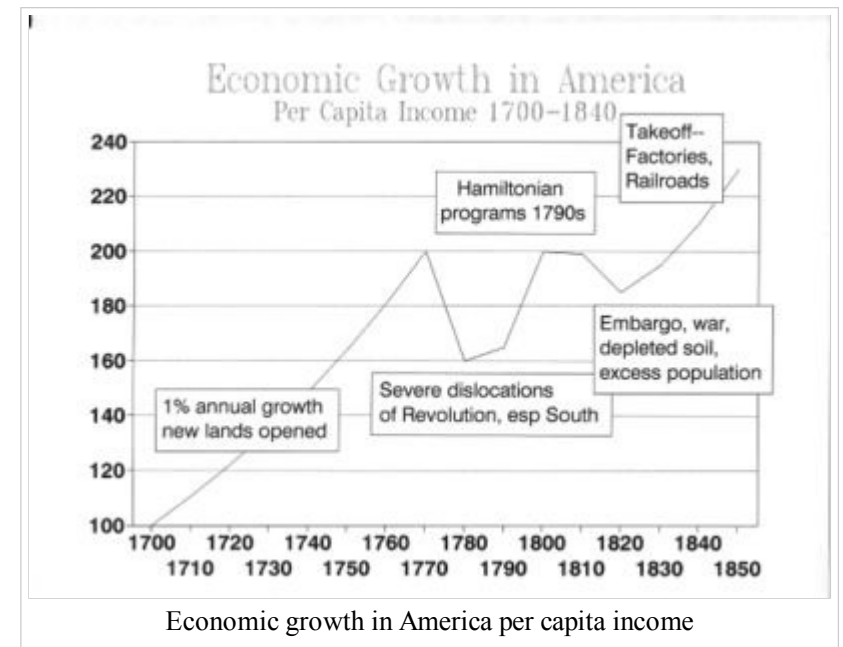


George Washington—a renowned hero of the American Revolutionary War, commander in chief of the Continental Army, and president of the Constitutional Convention—became the first President of the United States under the new U.S. Constitution. The Whiskey Rebellion in 1794, when settlers in the Pennsylvania counties west of the Allegheny Mountains protested against a federal tax on liquor and distilled drinks, was the first serious test of the federal government. He announced his resignation from the presidency in his farewell address, which was published in the newspaper *Independent Chronicle* on September 26, 1796. In his address, Washington triumphed the benefits of federal government and importance of religion and morality while warning against foreign alliances and formation of political parties. His vice president John Adams succeeded him in presidency; Adams was a member of the Federalist Party. However, the Federalists became divided after Adams sent a peace mission to France despite ongoing disputes with that nation. Thomas Jefferson, a Republican, defeated Adams for the presidency in the 1800 election.

The Louisiana Purchase, in 1803, removed the French presence from the western border of the United States and provided U.S. settlers with vast potential for expansion west of the Mississippi River. In response to continued British impressment of American sailors into the British Navy, president James Madison declared war on Britain in 1812. Slave importation from Africa became illegal beginning in 1808, despite a growing plantation system in many southern states such as North Carolina and Georgia. The United States and Britain came to a draw in the War of 1812 after bitter fighting that lasted until January 8, 1815, during the Battle of New Orleans. The Treaty of Ghent, officially ending the war, essentially resulted in the maintenance of the status quo ante bellum; however, crucially for the U.S., some Native American tribes had to sign treaties with the U.S. government in response to their losses in the war. During the later course of the war, the Federalists held the Hartford Convention in 1814 over concerns that the war would weaken New England. There, they proposed seven constitutional amendments meant to strengthen the region politically, but once the Federalists delivered them to Washington, D.C., the recent American victories in New Orleans and the signing of the Treaty of Ghent undermined the Federalists' arguments and contributed to the downfall of the party.

The Monroe Doctrine, expressed in 1823, proclaimed the United States' opinion that European powers should no longer colonize or interfere in the Americas. This was a defining moment in the foreign policy of the United States. The Monroe Doctrine was adopted in response to American and British fears over Russian and French expansion into areas of the Western Hemisphere. It was not until the Presidential Administration of Teddy Roosevelt that the Monroe Doctrine became a central tenet of American foreign policy. The Monroe Doctrine was then invoked in the Spanish-American War as well as later in the proxy wars between the United States and Soviet Union in Central America and has also essentially given developing nations in the Americas support from the United States and warned the powers in Europe to steer clear of far western affairs.

In 1830, Congress passed the Indian Removal Act, which authorized the president to negotiate treaties that exchanged Indian tribal lands in the eastern states



Territorial expansion of the United States, omitting Oregon and other claims.



for lands west of the Mississippi River. This established Andrew Jackson, a military hero and President, as a cunning tyrant in regards to native populations. The act resulted most notably in the forced migration of several native tribes to the West, with several thousand Indians dying en route, and the Creeks' violent opposition and eventual defeat. The Indian Removal Act also directly caused the ceding of Spanish Florida and subsequently led to the many Seminole Wars.

In its mission to end slavery, the abolitionist movement also gained a larger following of participants from both black and white races. The American Anti-Slavery Society was politically active from 1833 to 1839 for the government to abolish slavery, but Congress imposed a "gag rule" that rejected any citizen's request against slavery. William Lloyd Garrison, formerly associated with the Society, then began publication of the anti-slavery newspaper *The Liberator* in Boston, Massachusetts in 1831, and Frederick Douglass, a black ex-slave, began writing for that newspaper around 1840 and started his own abolitionist newspaper *North Star* in 1847.

The Republic of Texas was annexed by president John Tyler in 1845. The U.S., using regulars and large numbers of volunteers, defeated Mexico in 1848 during the Mexican-American War. Public sentiment in the U.S. was divided as Whigs and anti-slavery forces opposed the war. The 1848 Treaty of Guadalupe Hidalgo ceded California, New Mexico, and adjacent areas to the United States, which composed about thirty percent of former Mexican land. Westward expansion was enhanced further by the California Gold Rush following the discovery of gold in that state in 1848. Numerous "forty-niners" trekked to California in pursuit of gold; land-demanding European immigrants also contributed to the rising Western population.

## Civil War era (1849–1865)

In the middle of the 19th century, white Americans of the North and South were unable to reconcile fundamental differences in their approach to government, economics, society and African American slavery. The issue of slavery in the new territories was settled by the Compromise of 1850 brokered by Whig Henry Clay and Democrat Stephen Douglas; the Compromise included admission of California as a free state and the passage of the Fugitive Slave Act to make it easier for masters to reclaim runaway slaves. In 1854, the proposed Kansas-Nebraska Act abrogated the Missouri Compromise by providing that each new state of the Union would decide its stance on slavery. After Abraham Lincoln won the 1860 Election, eleven Southern states seceded from the union between late 1860 and 1861, establishing a rebel government, the Confederate States of America, on February 8, 1861.

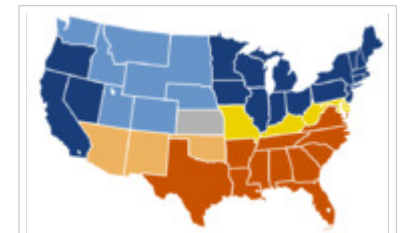
By 1860, there had been nearly four million slaves residing in the United States, nearly eight times as many from 1790; within the same time period cotton production in the U.S. boomed from one thousand to nearly one million per year. There were some slave rebellions - including by Gabriel Prosser (1800), Denmark Vesey (1822), and Nat Turner (1831) - but they all failed and led to tighter slave oversight in the south. White abolitionist John Brown tried and failed to free a group of black slaves held in Harpers Ferry, Virginia and was therefore executed for his actions. Harriet Beecher Stowe, daughter of minister Lyman Beecher, published her novel *Uncle Tom's Cabin* in 1852 in response to the passage of the Fugitive Slave Act. The novel intended to express her views of the cruelty of slavery and sold nearly 300,000 copies during its first year of publication. Numerous slaves also escaped their masters through the Underground Railroad, a term defining secret routes where abolitionists confidentially transported runaway slaves to "free state" territory; its most famous leader was Harriet Tubman.



The Battle of Gettysburg, the bloodiest battle and turning point of the American Civil War



The Civil War began when Confederate General Pierre Beauregard opened fire upon Fort Sumter, in the Confederate state of South Carolina. Along with the northwestern portion of Virginia, four of the five northernmost "slave states" did not secede and became known as the Border States. Emboldened by Second Bull Run, the Confederacy made its first invasion of the North when General Robert E. Lee led 55,000 men of the Army of Northern Virginia across the Potomac River into Maryland. The Battle of Antietam near Sharpsburg, Maryland, on September 17, 1862, was the bloodiest single day in American history. At the beginning of 1864, Lincoln made General Ulysses S. Grant commander of all Union armies. General William Tecumseh Sherman marched from Chattanooga, Tennessee, to Atlanta, Georgia, defeating Confederate Generals Joseph E. Johnston and John Bell Hood. Sherman's army laid waste to about 20% of the farms in Georgia in his "March to the Sea", and reached the Atlantic Ocean at Savannah in December 1864. Lee surrendered his Army of Northern Virginia on April 9, 1865, at Appomattox Court House. Based on 1860 census figures, 8% of all white males aged 13 to 43 died in the war, including 6% in the North and an extraordinary 18% in the South.



The Union: blue, yellow, gray;  
The Confederacy: brown

## Reconstruction and the rise of industrialization (1865–1890)

Reconstruction took place for most of the decade following the Civil War. During this era, the "Reconstruction Amendments" were passed to expand civil rights for black Americans. Those amendments included the Thirteenth Amendment, which outlawed slavery, the Fourteenth Amendment that guaranteed citizenship for all people born or naturalized within U.S. territory, and the Fifteenth Amendment that granted the vote for all men regardless of race. While the Civil Rights Act of 1875 forbade discrimination in the service of public facilities, the Black Codes denied blacks certain privileges readily available to whites. In response to Reconstruction, the Ku Klux Klan (KKK) emerged around the late 1860s as a white-supremacist organization opposed to black civil rights. Increasing hate-motivated violence from groups like the Klan influenced both the Ku Klux Klan Act of 1870 that classified the KKK as a terrorist group and an 1883 Supreme Court decision nullifying the Civil Rights Act of 1875; however, in the Supreme Court case *United States v. Cruikshank* the Court interpreted the Fourteenth Amendment as regulating only states' decisions regarding civil rights. The case defeated any protection of blacks from terrorist attacks, as did the later case *United States v. Harris*. During the era, many regions of the southern U.S. were military-governed and often corrupt; Reconstruction ended after the disputed 1876 election between Republican candidate Rutherford B. Hayes and Democratic candidate Samuel J. Tilden. Hayes won the election, and the South soon re-entered the national political scene.



Completion of the  
Transcontinental Railroad  
(1869) at First Transcontinental  
Railroad, by Andrew J. Russell

Following was the Gilded Age, a term that author Mark Twain used to describe the period of the late nineteenth century when there had been a dramatic expansion of American industry. Reform of the Age included the Civil Service Act, which mandated a competitive examination for applicants for government jobs. Other important legislation included the Interstate Commerce Act, which ended railroads' discrimination against small shippers, and the Sherman Antitrust Act, which outlawed monopolies in business. Twain believed that this age was corrupted by such elements as land speculators, scandalous politics, and unethical business practices. By century's end, American industrial production and per capita income exceeded those of all other world nations and ranked only behind Great Britain. In response to heavy debts and decreasing farm prices, farmers joined the Populist Party. Later, an unprecedented wave of immigration served both to provide the labor for American industry and create diverse communities in previously undeveloped areas. Abusive industrial practices led to the often



violent rise of the labor movement in the United States. Influential figures of the period included John D. Rockefeller and Andrew Carnegie.

## Progressivism, imperialism, and World War I (1890–1918)

After the Gilded Age came the Progressive Era, whose followers called for reform over perceived industrial corruption. Viewpoints taken by progressives included greater federal regulation of anti-trust laws and the industries of meat-packing, drugs, and railroads. Four new constitutional amendments—the Sixteenth through Nineteenth—resulted from progressive activism. The era lasted from 1900 to 1918, the year marking the end of World War I.

U.S. Federal government policy, since the James Monroe Administration, had been to move the indigenous population beyond the reach of the white frontier into a series of Indian reservations. Tribes were generally forced onto small reservations as Caucasian farmers and ranchers took over their lands. In 1876, the last major Sioux war erupted when the Black Hills Gold Rush penetrated their territory.

The United States began its rise to international power in this period with substantial population and industrial growth domestically and numerous military ventures abroad, including the Spanish-American War, which began when the United States blamed the sinking of the USS Maine (ACR-1) on Spain. Also at stake were U.S. interests in acquiring Cuba, an island nation fighting for independence from Spanish occupation; Puerto Rico and the Philippines were also two former Spanish colonies seeking liberation. In December 1898, representatives of Spain and the U.S. signed the Treaty of Paris to end the war, with Cuba becoming an independent nation and Puerto Rico, Guam, and the Philippines becoming U.S. territories. In 1900, Congress passed the Open Door Policy that at the time required China to grant equal trading access to all foreign nations.

President Woodrow Wilson declared U.S. entry into World War I in April 1917 following a yearlong neutrality policy; the U.S. had previously shown interest in world peace by participating in the Hague Conferences. American participation in the war proved essential to the Allied victory. Wilson also implemented a set of propositions titled the Fourteen Points to ensure peace, but they were denied at the 1919 Paris Peace Conference. Isolationist sentiment following the war also blocked the U.S. from participating in the League of Nations, an important part of the Treaty of Versailles.



Ellis Island in 1902, the main immigration port for immigrants entering the United States in the late 19th and early 20th centuries.

## Post-World War I and the Great Depression (1918–1940)

Following World War I, the U.S. grew steadily in stature as an economic and military world power. The United States Senate did not ratify the Treaty of Versailles imposed by its Allies on the defeated Central Powers; instead, the United States chose to pursue unilateralism, if not isolationism. The aftershock of Russia's October Revolution resulted in real fears of communism in the United States, leading to a three-year Red Scare and the U.S. lost 675,000 people to the Spanish flu pandemic in 1918.





In 1920, the manufacture, sale, import and export of alcohol was prohibited by the Eighteenth Amendment to the United States Constitution. Prohibition encouraged illegal breweries and dealers to make substantial amounts of money selling alcohol illegally. The Prohibition ended in 1933, a failure. Additionally, the KKK reformed during that decade and gathered nearly 4.5 million members by 1924, and the U.S. government passed the Immigration Act of 1924 restricting foreign immigration. The 1920s, was also known as the Roaring Twenties, due to the great economic prosperity during this period. Jazz became popular among the younger generation, and therefore, it was also called the Jazz Age.

During most of the 1920s, the United States enjoyed a period of unbalanced prosperity: farm prices and wages fell, while new industries, and industrial profits grew. The boom was fueled by a rise in debt and an inflated stock market. The Hawley-Smoot Tariff, the Wall Street Crash of 1929, the Dust Bowl, and the ensuing Great Depression led to government efforts to restart the economy and help its victims with Franklin D. Roosevelt's New Deal. The recovery was rapid in all areas except unemployment, which remained fairly high until 1940.

## World War II (1940–1945)

As with World War I, the United States did not enter World War II until after the rest of the active Allied countries had done so. The United States's first contribution to the war was simultaneously to cut off the oil and raw material supplies desperately needed by Japan to maintain its offensive in Manchuria, and to increase military and financial aid to China. Its first contribution to the Allies came in September 1940 in the form of the Lend-Lease program with Britain.

On December 7, 1941 Japan launched a surprise attack on the American naval base in Pearl Harbour, citing America's recent trade embargo as justification. The following day, Franklin D. Roosevelt successfully urged a joint session of Congress to declare war on Japan, calling December 7, 1941 "a date which will live in infamy". Four days after the attack on Pearl Harbour, on December 11, Nazi Germany declared war on the United States, drawing the country into a two-theatre war.

### Battle against Germany

Upon entering the war, the United States and its allies decided to concentrate the bulk of their efforts on fighting Hitler in Europe, while maintaining a defensive position in the Pacific until Hitler was defeated. The United States's first step was to set up a large airforce in Britain to concentrate on bombing raids into Germany itself. The American Air force relied on the B-17 Flying Fortress as its primary heavy bomber. Britain had ceased its daylight bombing raids, due to heavy casualties inflicted by the Luftwaffe. The USAAF suffered similar high losses until the introduction of the P-51 Mustang as a long range escort fighter for the bombers.



Prohibition agents destroying barrels of alcohol in Chicago, 1921



The American army's first ground action was fighting alongside the British and Australian armies in North Africa. By May 1943, the British 8th Army had expelled the Germans from North Africa and the Allies controlled this vital link until the end of the war. The American navy also played an active role in the Atlantic protecting the convoys bringing vital American war material to Britain. By midway through 1943, the Allies were fighting the war from Britain with unbroken supply lines, while at the same time Hitler's armies were very much on the back foot, with heavy bombing taking its toll on production.

By early 1944, a planned invasion of Western Europe was underway. What followed on June 6, 1944, was Operation Overlord, or D-Day. The largest war armada ever assembled landed on the beaches of Normandy and began the penetration of Western Europe that eventually overthrew Hitler and Nazi Germany. Following the landing at Normandy, the Americans contributed greatly to the outcome of the war, with dogged fighting in the Battle of the Ardennes and the Battle of the Bulge resulting in Allied victories against the Germans. The battles took a heavy toll on the Americans, who lost 19,000 men during the Battle of the Bulge alone. The allied bombing raids on Germany increased to unprecedented levels after the D-Day invasion, with over 70% of all bombs dropped on Germany occurring after this date. On April 30, 1945, with Berlin completely overrun with Russian forces and his country in tatters, Adolf Hitler committed suicide. On May 8, 1945, the war with Germany was over, following its unconditional surrender to the Allied forces.



Landing at Normandy at Battle of Normandy, by Robert F. Sargent, United States Army

## Battle against Japan

Due to the United States commitment to defeating Hitler in Europe, the first years of the war against Japan was largely a defensive battle with the United States Navy attempting to prevent the Japanese Navy from asserting dominance of the Pacific region. Initially, Japan won the majority of its battles in a short period of time. Japan quickly defeated and created military bases in Guam, Thailand, Malaya, Hong Kong, Papua New Guinea, Indonesia and Burma. This was done virtually unopposed and with quicker speed than that of the German Blitzkrieg during the early stages of the war. This was important for Japan, as it had only 10% of the homeland industrial production capacity of the United States.



Douglas MacArthur lands at the Battle of Leyte, by U.S. Army Signal Corps

The turning point of the war was the Battle of Midway in June 1942. Following this, the Americans began fighting towards China where they could build an airbase suitable to commence bombing of mainland Japan with its B-29 Superfortress fleet. The Americans began by selecting smaller, lesser defended islands as targets as opposed to attacking the major Japanese strongholds. During this period, they inadvertently triggered what would become their most comprehensive victory in the entire war.

The Pacific war became the largest naval conflict in history. The American Navy emerged victorious after at one point being stretched to almost breaking point with almost complete destruction of the Japanese Navy. The American forces were then poised for an invasion of the Japanese mainland, to force the Japanese into unconditional surrender. On April 12, 1945, President Franklin Delano Roosevelt died and Vice President Harry S. Truman was sworn in as the 33rd President of the United States. The decision to use nuclear weapons to end the conflict has been one of the most controversial decisions of the war. Supporters of the use of the bombs argue that an invasion would have cost enormous numbers of lives, while opponents

argue that the large number of civilian casualties resulting from the bombings were still unjustified. The first bomb was dropped on Hiroshima on August 6,



1945, and the second bomb was dropped on Nagasaki on August 9. On August 15, 1945, the Japanese surrendered unconditionally.

## Cold War beginnings and the Civil Rights Movement (1945–1964)

Following World War II, the United States emerged as one of the two dominant superpowers. The U.S. Senate, on December 4, 1945, approved U.S. participation in the United Nations (UN), which marked a turn away from the traditional isolationism of the U.S. and toward more international involvement. The post-war era in the United States was defined internationally by the beginning of the Cold War, in which the United States and the Soviet Union attempted to expand their influence at the expense of the other, checked by each side's massive nuclear arsenal and the doctrine of mutual assured destruction. The result was a series of conflicts during this period including the Korean War and the tense nuclear showdown of the Cuban Missile Crisis. Within the United States, the Cold War prompted concerns about Communist influence, and also resulted in government efforts to encourage math and science toward efforts like the space race.

In the decades after World War II, the United States became a global influence in economic, political, military, cultural and technological affairs. At the centre of middle-class culture since the 1950s has been a growing obsession with consumer goods.

John F. Kennedy was elected President in 1960. Known for his charisma, he is so far the only Roman Catholic to be President. The Kennedy's brought a new life and vigor to the atmosphere of the White House. During his time in office, the Cold War reached its height with the Cuban Missile Crisis in 1962. He was assassinated in Dallas, Texas, on November 22, 1963.



President Kennedy's address on Civil Rights, June 11, 1963.

Meanwhile, the American people completed their great migration from the farms into the cities and experienced a period of sustained economic expansion. At the same time, institutionalized racism across the United States, but especially in the American South, was increasingly challenged by the growing Civil Rights movement and African American leaders such as Martin Luther King, Jr. During the 1960s, the Jim Crow laws that legalized racial segregation between Whites and Blacks came to an end.

## Cold War (1964–1980)



Martin Luther King gives his I Have a Dream speech at the 1963 March on Washington for Jobs and Freedom



The Cold War continued through the 1960s and 1970s, and the United States entered the Vietnam War, whose growing unpopularity fed already existing social movements, including those among women, minorities and young people. President Lyndon Johnson's Great Society social programs and the judicial activism of the Warren Court added to the wide range of social reform during the 1960s and 1970s. Feminism and the environmental movement became political forces, and progress continued toward civil rights for all Americans. The Counterculture Revolution swept through the nation and much of the western world in the late sixties, dividing the already hostile environment but also bringing forth more liberated social views.

In the early 1970s, Johnson's successor, President Richard Nixon was forced by Congress to bring the Vietnam War to a close, and the American-backed South Vietnamese government subsequently collapsed. The war had cost the lives of 58,000 American troops and millions of Vietnamese. The OPEC oil embargo and slowing economic growth led to a period of stagflation. Nixon's own administration was brought to an ignominious close with the political scandal of Watergate.

## End of the Cold War (1980–1991)



United States Navy F-4 Phantom II intercepts a Soviet Tu-95 Bear D aircraft in the early 1970s



Ronald Reagan produced a major realignment with his 1980 and 1984 landslides. In 1980, the Reagan coalition was possible because of Democratic losses in most social-economic groups. "Reagan Democrats" were those who usually voted Democratic, but were attracted by Reagan's policies, personality and leadership, notably his social conservatism and hawkish foreign policy. Widely regarded as a hard-line conservative, Reagan downsized government taxation, spending, and regulation. Early during the Reagan administration, unemployment and business failures soon entered rates close to Depression-era levels; by 1982, the unemployment rate was 9.7 percent, and nearly 17,000 businesses failed. Gigantic budget deficits prevented any implementation of social programs. These trends reversed around 1983, when the inflation rate decreased from 11 to 2 percent, the unemployment rate decreased to 7.5 percent, and the economic growth rate increased from 4.5 to 7.2 percent.

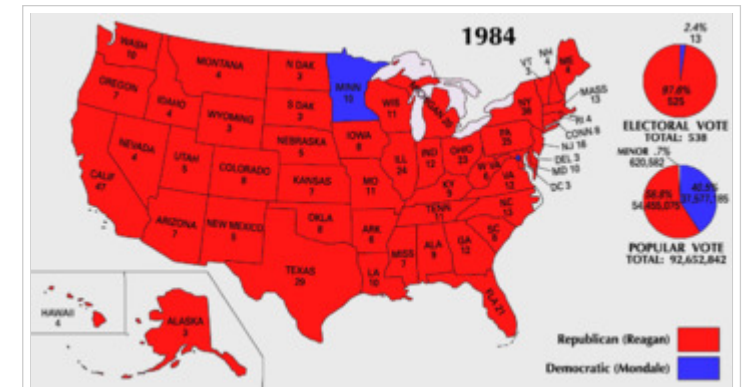
In 1986, the Iran-Contra affair began after Reagan sold arms to Iran for the nation to free American hostages that it was holding to fund the Contras, although one of the Boland Amendments signed by Reagan in 1984 prohibited the U.S. government from offering any assistance to them. Hearings on the issue were held in early 1987, ending with the convictions of such figures as Oliver North and John Poindexter.

Reagan took a hard line against the Soviet Union, teaming up with friend and ally Margaret Thatcher, the British premier, against the "Evil Empire". However, he succeeded in growing the military budget and launching a costly and complicated missile defense system called the Strategic Defense Initiative (dubbed "Star Wars"), hoping to intimidate the Soviets. Though it was never fully developed or deployed, the research and technologies of SDI paved the way for some anti-ballistic missile systems of today. Gorbachev tried to save Communism in Russia first by ending the expensive arms race with America, then in 1989 by shedding the East European empire. Communism finally collapsed in Russia in 1991, ending the US-Soviet Cold War.

## 1991–present

After the fall of the Soviet Union, the United States emerged as the world's sole remaining superpower and continued to involve itself in military action overseas, including the 1991 Gulf War. Following his election in 1992, President Bill Clinton oversaw unprecedented gains in securities values, a side effect of the digital revolution and new business opportunities created by the Internet (see Internet bubble). The 1990s, saw one of the longest periods, of economic expansion. Under Clinton an attempt to universalize health care, led by First Lady Hillary Rodham Clinton failed after almost two years of work on the controversial plan.

In 1993, Ramzi Yousef, a Kuwaiti national, planted explosives in the underground garage of One World Trade Centre and detonated them, killing six people and injuring thousands, in what would become the beginning of an age of terrorism. Yousef would be subsequently captured. In 1995, a domestic terrorist bombing at the federal building in Oklahoma City killed 168 people.



In the 1984 election, Ronald Reagan won 49 states in one of the largest ever election victories.



Ronald Reagan at the Brandenburg Gate tells Gorbachev to tear down the Berlin Wall in 1987, shortly before the end of the Cold War



During the 1990s, the United States and allied nations found themselves under attack from Islamist terrorist groups, chiefly Al-Qaida. The regime of Saddam Hussein in Iraq proved a continuing problem for the UN and Iraq's neighbors in its refusal to account for previously known stockpiles of chemical and biological weapons, its violations of UN resolutions, and its support for terrorism against Israel and other countries. After the 1991 Gulf War, the US, French, and British militaries began patrolling the Iraqi no-fly zones to protect Iraq's Kurdish minority and Shi'ite Arab population – both of which suffered attacks from the Hussein regime before and after the 1991 Gulf War – in Iraq's northern and southern regions, respectively. In the aftermath of Operation Desert Fox during December 1998, Iraq announced that it would no longer respect the no-fly zones and resumed its efforts in shooting down Allied aircraft.

The 1993 World Trade Centre bombing by Al-Qaida was the first of many terrorist attacks upon Americans during the same period. Later that year in the Battle of Mogadishu, Al-Qaida militants took part in an assault upon US forces in Somalia, killing 19 Marines. President Clinton subsequently withdrew US combat forces from Somalia (there originally to support UN relief efforts), a move described by Al-Qaida leader Osama bin Laden as evidence of American weakness. These attacks were followed by others including the 1996 Khobar Towers bombing in Saudi Arabia, and the 1998 United States embassy bombings in Tanzania and Kenya. Next came the 2000 millennium attack plots which included an attempted bombing of Los Angeles International Airport, followed by the USS Cole bombing in Yemen in October 2000, which the government associated with Osama bin Laden's al-Qaeda terrorist network.

US responses to these attacks included limited Cruise missile strikes on Afghanistan and Sudan (August 1998), which failed to stop Al-Qaida's leaders and their Taliban supporters. Also in 1998, President Clinton signed the Iraq Liberation Act which called for regime change in Iraq on the basis of Saddam Hussein's possession of weapons of mass destruction, oppression of Iraqi citizens and attacks upon other Middle Eastern countries.

In 1998, Clinton was impeached for charges of perjury and obstruction of justice that arose from an inappropriate sexual relationship with White House intern Monica Lewinsky and a sexual harassment lawsuit from Paula Jones. He was the second president to have been impeached. The House of Representatives voted 228 to 206 on December 19 to impeach Clinton, but on February 12, 1999, the Senate voted 55 to 45 to acquit Clinton of the charges.

The presidential election in 2000 between George W. Bush (R) and Al Gore (D) was one of the closest in the U.S. history, and helped lay the seeds for political polarization to come. Although Bush won the majority of electoral votes, Gore won the majority of the popular vote. In the days following Election Day, the state of Florida entered dispute over the counting of votes due to technical issues over certain Democratic votes in some counties. The Supreme Court case *Bush v. Gore* was decided on December 12, 2000, ending the recount with a 5-4 vote and certifying Bush as president.



At the beginning of the new millennium, the United States found itself attacked by Islamic terrorism, with the September 11, 2001 attacks in which 19 extremists hijacked four transcontinental airliners and intentionally crashed two of them into the twin towers of the World Trade Centre and one into the Pentagon. The passengers on the fourth plane, United Airlines Flight 93, revolted causing the plane to crash into a field in Somerset County, PA. According to the 9/11 Commission Report, that plane was intended to hit the US Capitol Building in Washington. The twin towers of the World Trade Centre collapsed, destroying the entire complex. The United States soon found large amounts of evidence that suggested that a terrorist group, al-Qaeda, spearheaded by Osama bin Laden, was responsible for the attacks.



New York under attack in the September 11, 2001 attacks

In response to the attacks, under the administration of President George W. Bush, the United States (with the military support of NATO and the political support of some of the international community) launched Operation Enduring Freedom which overthrew the Taliban regime which had protected and harbored bin Laden and al-Qaeda. With the support of large bipartisan majorities, the US Congress passed the Authorization for Use of Military Force Against Iraq Resolution of 2002. With a coalition of other countries including Britain, Spain, Australia, Japan and Poland, in March 2003 President Bush ordered an invasion of Iraq dubbed Operation Iraqi Freedom which led to the overthrow and capture of Saddam Hussein. Using the language of 1998 Iraq Liberation Act and the Clinton Administration, the reasons cited by the Bush administration for the invasion included the spreading of democracy, the elimination of weapons of mass destruction (a key demand of the UN as well, though later investigations found parts of the intelligence reports to be inaccurate) and the liberation of the Iraqi people. This second invasion fueled protest marches in many parts of the world.

In August 2005, Hurricane Katrina flooded parts of the city of New Orleans and heavily damaged other areas of the gulf coast, including major damage to the Mississippi coast. The preparation and the response of the government were criticized as ineffective and slow.

By 2006, rising prices saw Americans become increasingly conscious of the nation's extreme dependence on steady supplies of inexpensive petroleum for energy, with President Bush admitting a U.S. "addiction" to oil. The possibility of serious economic disruption, should conflict overseas or declining production interrupt the flow, could not be ignored, given the instability in the Middle East and other oil-producing regions of the world. Many proposals and pilot projects for replacement energy sources, from ethanol to wind power and solar power, received more capital funding and were pursued more seriously in the 2000s than in previous decades. The 2006 midterm elections saw Congresswoman Nancy Pelosi become Speaker of the United States House of Representatives and the highest ranking woman in the history of the U.S. government.

In addition to military efforts abroad, in the aftermath of 9/11 the Bush Administration increased domestic efforts to prevent future attacks. A new cabinet level agency called the United States Department of Homeland Security was created to lead and coordinate federal counterterrorism activities. The USA PATRIOT Act removed legal restrictions on information sharing between federal law enforcement and intelligence services and allowed for the investigation of suspected terrorists using means similar to those in place for other types of criminals. A new Terrorist Finance Tracking Program monitored the movements of terrorist's financial resources but was discontinued after being revealed by *The New York Times*. Telecommunication usage by known and suspected terrorists was studied through the NSA electronic surveillance program.

Since 9/11, Islamic extremists made various attempts to attack the US homeland, with varying levels of organization and skill. For example, in 2001 vigilant passengers aboard a transatlantic flight to Miami prevented Richard Reid (shoe bomber) from detonating an explosive device. Other terrorist plots have been



stopped by federal agencies using new legal powers and investigative tools, sometimes in cooperation with foreign governments. Such thwarted attacks include a plan to crash airplanes into the U.S. Bank Tower (aka Library Tower) in Los Angeles; the 2003 plot by Iyman Faris to blow up the Brooklyn Bridge in New York City; the 2004 Financial buildings plot which targeted the International Monetary Fund and World Bank buildings in Washington, DC, the New York Stock Exchange and other financial institutions; the 2004 Columbus Shopping Mall Bombing Plot; the 2006 transatlantic aircraft plot which was to involve liquid explosives; the 2006 Sears Tower plot; the 2007 Fort Dix attack plot; and the 2007 John F. Kennedy International Airport attack plot.

After months of brutal violence against Iraqi civilians by Sunni and Shi'ite terrorist groups and militias -- including Al-Qaeda in Iraq -- in January 2007 President Bush presented a new strategy for Operation Iraqi Freedom based upon Counter-insurgency theories and tactics developed by General David Petraeus. The Iraq War troop surge of 2007 was part of this "new way forward" and has been credited by some with a dramatic decrease in violence and an increase in political and communal reconciliation in Iraq.

As of 2008, debates continue over abortion, gun control, same-sex marriage, immigration reform, and the ongoing war in Iraq. A new Congressional majority promised to withdraw US forces from Iraq, however Congress continues to fund efforts in both Iraq and Afghanistan. In the area of foreign policy, the U.S. maintains ongoing talks with North Korea over its nuclear weapons program, as well as with Israel and the Palestinian Authority over a two-state solution to the Israeli-Palestinian conflict; the Palestinian-Israeli talks began in 2007, an effort spearheaded by United States Secretary of State Condoleezza Rice. The George W. Bush administration has also stepped up rhetoric implicating Iran and more recently Syria in the development of weapons of mass destruction.

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# History of the world

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The **history of the world**, by convention, is *human* history, from the first appearance of *Homo sapiens* to the present. Human history is marked both by a gradual accretion of discoveries and inventions, as well as by quantum leaps — paradigm shifts, and revolutions — that comprise epochs in the material and spiritual evolution of humankind.

Human *history*, as opposed to *prehistory*, has in the past been said to begin with the invention, independently at several sites on Earth, of writing, which created the infrastructure for lasting, accurately transmitted memories and thus for the diffusion and growth of knowledge. Writing, in its turn, had been made necessary in the wake of the Agricultural Revolution, which had given rise to civilization, i.e., to permanent settled communities, which fostered a growing diversity of trades.

Such scattered habitations, centered about life-sustaining bodies of water — rivers and lakes — coalesced over time into ever larger units, in parallel with the evolution of ever more efficient means of transport. These processes of coalescence, spurred by rivalries and conflicts between adjacent communities, gave rise over millennia to ever larger states, and then to superstates or empires. In Europe, the fall of the Western Roman Empire (476 CE) is commonly taken as signaling the end of antiquity and the beginning of the Middle Ages.

A thousand years later, in the mid-15th century, Johannes Gutenberg's invention of modern printing, employing movable type, revolutionized communication, helping end the Middle Ages and usher in modern times, the European Renaissance and the Scientific Revolution.

By the 18th century, the accumulation of knowledge and technology, especially in Europe, had reached a critical mass that sparked into existence the Industrial Revolution. Over the quarter- millennium since, the growth of knowledge, technology, commerce, and — concomitantly with these — the potential destructiveness of war has accelerated geometrically, creating the opportunities and perils that now confront the human communities that together inhabit the planet.

## Paleolithic period



"Paleolithic" means "Old Stone Age." This was the earliest period of the Stone Age. The Lower Paleolithic predates *Homo sapiens*, beginning with *Homo habilis* and the earliest use of stone tools some 2.5 million years ago. *Homo sapiens* originated some 200,000 years ago, ushering in the Middle Paleolithic.

Sometime during the Middle Paleolithic, humans also developed language, music, early art, as well as systematic burial of the dead.

Humans spread from East Africa to the Near East some 80 millennia ago, and further to southern Asia and Australasia some 60 millennia ago, northwestwards into Europe and eastwards into Central Asia some 40 millennia ago, and further east to the Americas from ca. 30 millennia ago. The Upper Paleolithic is taken to begin some 40 millennia ago, with the appearance of "high" culture. Expansion to North America and Oceania took place at the climax of the most recent Ice Age, when today's temperate regions were extremely inhospitable. By the end of the Ice Age some 12,000 BP, humans had colonised nearly all the ice-free parts of the globe.

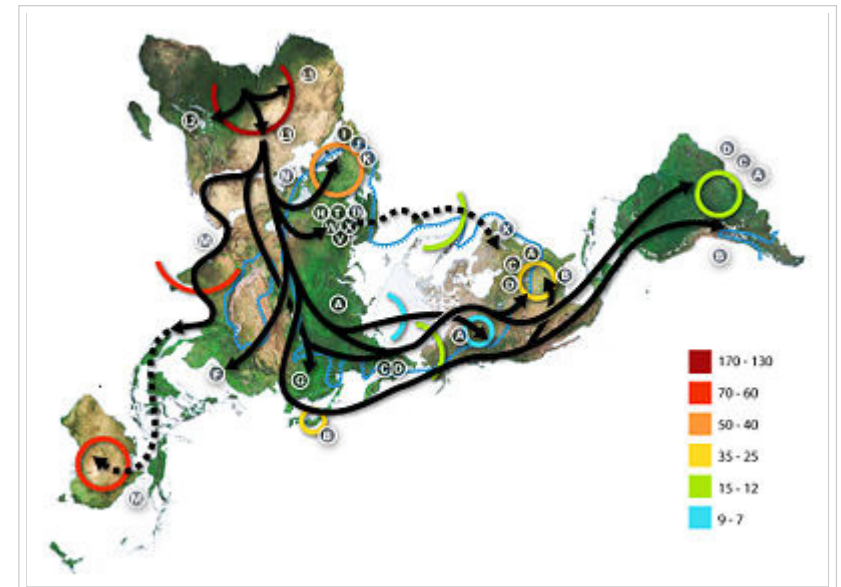
Throughout the Paleolithic, humans generally lived as nomadic hunter-gatherers. Hunter-gatherer societies have tended to be very small and egalitarian, though hunter-gatherer societies with abundant resources or advanced food-storage techniques have sometimes developed a sedentary lifestyle, complex social structures such as chiefdoms, and social stratification; and long-distance contacts may be possible, as in the case of Indigenous Australian "highways."

## Mesolithic period

The "Mesolithic," or "Middle Stone Age" (from the Greek "*mesos*," "middle," and "*lithos*," "stone") was a period in the development of human technology between the Paleolithic and Neolithic periods of the Stone Age.

The Mesolithic period began at the end of the Pleistocene epoch, some 10,000 BP, and ended with the introduction of agriculture, the date of which varied by geographic region. In some areas, such as the Near East, agriculture was already underway by the end of the Pleistocene, and there the Mesolithic is short and poorly defined. In areas with limited glacial impact, the term "Epipaleolithic" is sometimes preferred.

Regions that experienced greater environmental effects as the last ice age ended have a much more evident Mesolithic era, lasting millennia. In Northern Europe, societies were able to live well on rich food supplies from the marshlands fostered by the warmer climate. Such conditions produced distinctive human behaviours which are preserved in the material record, such as the Maglemosian and Azilian cultures. These conditions also delayed the coming of the Neolithic until as late as 4000 BCE (6,000 BP)



Map of early human migrations, according to mitochondrial population genetics. Numbers are millennia before the present (accuracy disputed).



Dugout canoe.



in northern Europe.

Remains from this period are few and far between, often limited to middens. In forested areas, the first signs of deforestation have been found, although this would only begin in earnest during the Neolithic, when more space was needed for agriculture.

The Mesolithic is characterized in most areas by small composite flint tools — microliths and microburins. Fishing tackle, stone adzes and wooden objects, e.g. canoes and bows, have been found at some sites. These technologies first occur in Africa, associated with the Azilian cultures, before spreading to Europe through the Ibero-Maurusian culture of Spain and Portugal, and the Kebaran culture of Palestine. Independent discovery is not always ruled out.

During the Mesolithic as in the preceding Paleolithic period, people lived in small (mostly egalitarian) bands and tribes.

## Neolithic period

"Neolithic" means "New Stone Age." This was a period of primitive technological and social development, toward the end of the "Stone Age." Beginning in the 10th millennium BCE (12,000 BP), the Neolithic period saw the development of early villages, agriculture, animal domestication and tools.

### Rise of agriculture



Ox-drawn plow, Egypt, ca. 1200 BCE.

A major change, described by prehistorian Vere Gordon Childe as the "Agricultural Revolution," occurred about the 10th millennium BCE with the adoption of agriculture. The Sumerians first began farming ca. 9500 BCE. By 7000 BCE, agriculture had spread to India; by 6000 BCE, to Egypt; by 5000 BCE, to China. About 2700 BCE, agriculture had come to Mesoamerica.

Although attention has tended to concentrate on the Middle East's Fertile Crescent, archaeology in the Americas, East Asia and Southeast Asia indicates that agricultural systems, using different crops and animals, may in some cases have developed there nearly as early. the development of organised irrigation, and the use of a specialised workforce, by the Sumerians, began about 5500 BCE. Stone was supplanted by bronze and iron in implements of agriculture and warfare. Agricultural settlements had until then been almost completely dependent on stone tools. In Eurasia, copper and bronze tools, decorations and weapons began to be commonplace about 3000 BCE. After bronze, the Eastern Mediterranean region, Middle East and China saw the introduction of iron tools and weapons.



The Americas may not have had metal tools until the Chavín horizon (900 BCE). The Moche did have metal armor, knives and tableware. Even the metal-poor Inca had metal-tipped plows, at least after the conquest of Chimor. However, little archaeological research has so far been done in Peru, and nearly all the *quipus* (recording devices, in the form of knots, used by the Incas) were burned in the Spanish conquest of Peru. As late as 2004, entire cities were still being unearthed. Some digs suggest that steel may have been produced there before it was developed in Europe.

The cradles of early civilizations were river valleys, such as the Euphrates and Tigris valleys in Mesopotamia, the Nile valley in Egypt, the Indus valley in the Indian subcontinent, and the Yangtze and Yellow River valleys in China. Some nomadic peoples, such as the Indigenous Australians and the Bushmen of southern Africa, did not practice agriculture until relatively recent times.

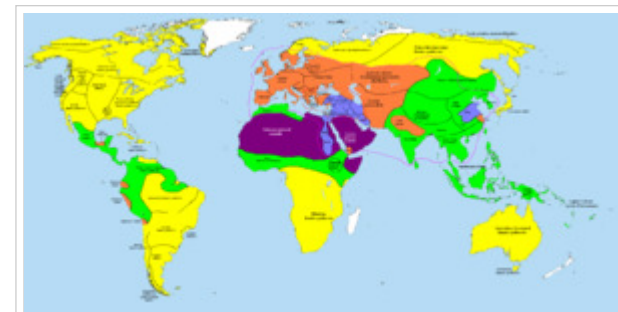
Before 1800, many populations did not belong to states. Scientists disagree as to whether the term "tribe" should be applied to the kinds of societies that these people lived in. Many tribal societies, in Europe and elsewhere, transformed into states when they were threatened, or otherwise impinged on, by existing states. Examples are the Marcomanni, Poland and Lithuania. Some "tribes," such as the Kassites and the Manchus, conquered states and were absorbed by them.

Agriculture made possible complex societies — civilizations. States and markets emerged. Technologies enhanced people's ability to control nature and to develop transport and communication.

## Civilization

### State

The first Agricultural Revolution led to several major changes. It permitted far denser populations, which in time organised into states. There are several definitions for the term, "state." Max Weber and Norbert Elias defined a state as an organization of people that has a monopoly on the legitimate use of force in a particular geographic area.



The technological and social state of the world, circa 1000 BCE.



Borders delineate states — a prominent example is the Great Wall of China, which stretches over 6,400 km, and was first erected in the 3rd century BCE to protect the north from nomadic invaders called Xiongnu. It has since been rebuilt and augmented several times.

The first states appeared in Mesopotamia, western Iran, ancient Egypt and Indus Valley in the late 4th and early 3rd millennia BCE. In Bronze Age Mesopotamia and Iran, there were several city-states. Ancient Egypt began as a state without cities, but soon developed them. States appeared in China in the late 3rd and early 2nd millennia BCE.

A state ordinarily needs an army for the legitimate exercise of force. An army needs a bureaucracy to maintain it. The only exception to this appears to have been the Indus Valley civilization, for which there is no evidence of the existence of a military force.

Major wars were waged among states in the Middle East. About 1275 BCE, the Hittites under Muwatalli II and the Egyptians under Ramesses II concluded the treaty of Kadesh, the world's oldest recorded peace treaty.

Empires came into being, with conquered areas ruled by central tribes, as in the Neo-Assyrian Empire (10th century BCE), the Achaemenid Persian Empire (6th century BCE), the Mauryan Empire (4th century BCE), Qin and Han China (3rd century BCE), and the Roman Empire (1st century BCE).

Clashes among empires included those that took place in the 8th century, when the Islamic Caliphate of Arabia (ruling from Spain to Iran) and China's Tang dynasty (ruling from Xinjiang to Dalian) fought for decades for control of Central Asia.

The largest contiguous land empire in history was the 13th-century Mongolian Empire. By then, most people in Europe, Asia and North Africa belonged to states. There were states as well in Mexico and western South America. States controlled more and more of the world's territory and population; the last "empty" territories, with the exception of uninhabited Antarctica, would be divided up among states by the Berlin Conference (1884-1885).

## City and trade

Agriculture also created, and allowed for the storage of, food surpluses that could support people not directly engaged in food production. The development of agriculture permitted the creation of the first cities. These were centers of trade, manufacture and political power with nearly no agricultural production of their own. Cities established a symbiosis with their surrounding countryside, absorbing agricultural products and providing, in return, manufactures and varying degrees of military protection.

The development of cities equated, both etymologically and in fact, with the rise of civilization itself: first Sumerian civilization, in lower Mesopotamia (3500 BCE), followed by Egyptian civilization along the Nile (3300 BCE) and Harappan civilization in the Indus Valley (3300 BCE). Elaborate cities grew up, with high levels of social and economic complexity. Each of these civilizations was so different from the others that they almost certainly originated independently. It was at this time, and due to the needs of cities, that writing and extensive trade were introduced.



Cuneiform script, the earliest known writing system.



The earliest known form of writing was cuneiform script, created by the Sumerians from ca. 3000 BC. Cuneiform writing began as a system of pictographs. Over time, the pictorial representations became simplified and more abstract. Cuneiforms were written on clay tablets, on which symbols were drawn with a blunt reed for a stylus. The first alphabets were used in the Middle Bronze Age (2000-1500 BCE). From them evolved the Phoenician alphabet, used for the writing of Phoenician. The Phoenician alphabet is the ancestor of many of the writing systems used today.

In China, proto-urban societies may have developed from 2500 BCE, but the first dynasty to be identified by archeology is the Shang Dynasty.

The 2nd millennium BCE saw the emergence of civilization in Caanan, Crete, mainland Greece, and central Turkey.



Trading routes used around the 1st century CE were centered on the Silk Road.

In the Americas, civilizations such as the Maya, Zapotec, Moche, and Nazca emerged in Mesoamerica and Peru at the end of the 1st millennium BCE.

The world's first coinage was introduced around 625 BC in Lydia (western Anatolia, in modern Turkey).

Trade routes appeared in the eastern Mediterranean in the 4th millennium BCE. Long-range trade routes first appeared in the 3rd millennium BCE, when Sumerians in Mesopotamia traded with the Harappan civilization of the Indus Valley. The Silk Road between China and Syria began in the 2nd millennium BCE. Cities in Central Asia and Persia were major crossroads of these trade routes. Silla dynastic tombs have been found in Korea, containing relics such as wine cups produced in Iran. The Phoenician and Greek civilizations founded trade-based empires in the Mediterranean basin in the 1st millennium BCE.

In the late 1st millennium CE and early 2nd millennium CE, the Arabs dominated the trade routes in the Indian Ocean, East Asia, and the Sahara. In the late 1st millennium, Arabs and Jews dominated trade in the

Mediterranean. In the early 2nd millennium, Italians took over this role, and Flemish and German cities were at the centre of trade routes in northern Europe controlled by the Hanseatic League. In all areas, major cities developed at crossroads along trade routes.

## Religion and philosophy



New philosophies and religions arose in both east and west, particularly about the 6th century BCE. Over time, a great variety of religions developed around the world, with some of the earliest major ones being Hinduism, Buddhism, and Jainism in India, and Zoroastrianism in Persia. The Abrahamic religions trace their origin to Judaism, around 1800 BCE.

In the east, three schools of thought were to dominate Chinese thinking until the modern day. These were Taoism, Legalism and Confucianism. The Confucian tradition, which would attain dominance, looked for political morality not to the force of law but to the power and example of tradition. Confucianism would later spread into the Korean peninsula and Goguryeo and toward Japan.

In the west, the Greek philosophical tradition, represented by Socrates, Plato, and Aristotle, was diffused throughout Europe and the Middle East in the 4th century BCE by the conquests of Alexander III of Macedon, more commonly known as Alexander the Great.

## Civilizations and regions

By the last centuries BCE, the Mediterranean, the Ganges River and the Yellow River had become seats of empires which future rulers would seek to emulate. In India, the Mauryan Empire ruled most of southern Asia, while the Pandyas ruled southern India. In China, the Qin and Han dynasties extended their imperial governance through political unity, improved communications and Emperor Wu's establishment of state monopolies.

In the west, the ancient Greeks established a civilization that is considered by most historians to be the foundational culture of modern western civilization. Some centuries later, in the 3rd century BCE, the Romans began expanding their territory through conquest and colonisation. By the reign of Emperor Augustus (late 1st century BCE), Rome controlled all the lands surrounding the Mediterranean. By the reign of Emperor Trajan (early 2nd century CE), Rome controlled much of the land from England to Mesopotamia.

The great empires depended on military annexation of territory and on the formation of defended settlements to become agricultural centres. The relative peace that the empires brought, encouraged international trade, most notably the massive trade routes in the Mediterranean that had been developed by the time of the Hellenistic Age, and the Silk Road.

The empires faced common problems associated with maintaining huge armies and supporting a central bureaucracy. These costs fell most heavily on the peasantry, while land-owning magnates were increasingly able to evade centralised control and its costs. The pressure of barbarians on the frontiers hastened the process of internal dissolution. China's Han Empire fell into civil war in 220 CE, while its Roman counterpart became increasingly decentralised and divided about the same time.

Throughout the temperate zones of Eurasia, America and North Africa, empires continued to rise and fall.

The gradual break-up of the Roman Empire, spanning several centuries after the 2nd century CE, coincided with the spread of Christianity westward from the



Angkor Wat temple, Cambodia, early 12th century.



Middle East. The western Roman Empire fell under the domination of Germanic tribes in the 5th century, and these polities gradually developed into a number of warring states, all associated in one way or another with the Roman Catholic Church. The remaining part of the Roman Empire, in the eastern Mediterranean, would henceforth be the Byzantine Empire. Centuries later, a limited unity would be restored to western Europe through the establishment of the Holy Roman Empire in 962, which comprised a number of states in what is now Germany, Switzerland, Belgium, Italy, and France.

In China, dynasties would similarly rise and fall. After the fall of the Eastern Han Dynasty and the demise of the Three Kingdoms, Nomadic tribes from the north began to invade in the 4th century CE, eventually conquering areas of Northern China and setting up many small kingdoms. The Sui Dynasty reunified China in 581, and under the succeeding Tang Dynasty (618-907) China entered a second golden age. The Tang Dynasty also splintered, however, and after half a century of turmoil the Northern Song Dynasty reunified China in 982. Yet pressure from nomadic empires to the north became increasingly urgent. North China was lost to the Jurchens in 1141, and the Mongol Empire conquered all of China in 1279, as well as almost all of Eurasia's landmass, missing only central and western Europe, and most of Southeast Asia and Japan.

In these times, northern India was ruled by the Guptas. In southern India, three prominent Dravidian kingdoms emerged: Cheras, Cholas and Pandyas. The ensuing stability contributed to heralding in the golden age of Hindu culture in the 4th and 5th centuries CE.

At this time also, in Central America, vast societies also began to be built, the most notable being the Maya and Aztecs of Mesoamerica. As the mother culture of the Olmecs gradually declined, the great Mayan city-states slowly rose in number and prominence, and Maya culture spread throughout Yucatán and surrounding areas. The later empire of the Aztecs was built on neighboring cultures and was influenced by conquered peoples such as the Toltecs.

In South America, the 14th and 15th centuries saw the rise of the Inca. The Inca Empire of Tawantinsuyu, with its capital at Cusco, spanned the entire Andes Mountain Range. The Inca were prosperous and advanced, known for an excellent road system and unrivaled masonry.

Islam, which began in 7th century Arabia, was also one of the most remarkable forces in world history, growing from a handful of adherents to become the foundation of a series of empires in the Middle East, North Africa, Central Asia, India and present-day Indonesia.

In northeastern Africa, Nubia and Ethiopia remained Christian enclaves while the rest of Africa north of the equator converted to Islam. With Islam came new technologies that, for the first time, allowed substantial trade to cross the Sahara. Taxes on this trade brought prosperity to North Africa, and the rise of a series of kingdoms in the Sahel.

This period in the history of the world was marked by slow but steady technological advances, with important developments such as the stirrup and moldboard plow arriving every few centuries. There were, however, in some regions, periods of rapid technological progress. Most important, perhaps, was the Mediterranean area during the Hellenistic period, when hundreds of technologies were invented. Such periods were followed by periods of technological decay, as during the Roman Empire's decline and fall and the ensuing early medieval period.



Machu Picchu, "the Lost City of the Incas," has become the most recognizable symbol of Inca civilization.





The Plague of Justinian was a pandemic that afflicted the Byzantine Empire, including its capital Constantinople, in the years 541– 542 AD. It is estimated that the Plague of Justinian killed as many as 100 million people across the world. It caused Europe's population to drop by around 50% between 541 and 700. It also may have contributed to the success of the Arab conquests.

## Rise of Europe

### Background



The invention of the movable-type **printing press** in 1450s Germany was awarded #1 of the Top 100 Greatest Events of the Millennium by LIFE Magazine. By some estimates, less than 50 years after the first *Bible* was printed in 1455, more than nine million books were in print.

Nearly all the agricultural civilizations were heavily constrained by their environments. Productivity remained low, and climatic changes easily instigated boom and bust cycles that brought about civilizations' rise and fall. By about 1500, however, there was a qualitative change in world history. Technological advance and the wealth generated by trade gradually brought about a widening of possibilities.

Even before the 16th century, some civilizations had developed advanced societies. In ancient times, the Greeks and Romans had produced societies supported by a developed monetary economy, with financial markets and private-property rights. These institutions created the conditions for continuous capital accumulation, with increased productivity. By some estimates, the per-capita income of Roman Italy, one of the most advanced regions of the Roman Empire, was comparable to the per-capita incomes of the most advanced economies in the 18th century. (see ) The most developed regions of classical civilization were more urbanized than any other region of the world until early modern times. This civilization had, however, gradually declined and collapsed; historians still debate the causes.

China had developed an advanced monetary economy by 1,000 CE. China had a free peasantry who were no longer subsistence farmers, and could sell their produce and actively participate in the market. The agriculture was highly productive and China's society was highly urbanized. The country was technologically advanced as it enjoyed a monopoly in piston bellows and printing. (see Joseph Needham). But, after earlier onslaughts by the Jurchens, in 1279 the remnants of the Sung empire were conquered by the Mongols.

Outwardly, Europe's Renaissance, beginning in the 14th century, consisted in the rediscovery of the classical world's scientific contributions, and in the economic and social rise of Europe. But the Renaissance also engendered a culture of inquisitiveness which ultimately led to Humanism, the Scientific Revolution, and finally the great transformation of the Industrial Revolution. The

Scientific Revolution in the 17th century, however, had no immediate impact on technology; only in the second half of the 18th century did scientific advances begin to be applied to practical invention.

The advantages that Europe had developed by the mid-18th century were two: an entrepreneurial culture, and the wealth generated by the Atlantic trade (including the African slave trade). By the late 16th century, American silver accounted for one-fifth of Spain's total budget. The profits of the slave trade and of West Indian plantations amounted to 5% of the British economy at the time of the Industrial Revolution. While some historians conclude that, in 1750, labour



productivity in the most developed regions of China was still on a par with that of Europe's Atlantic economy (see Wolfgang Keller and Carol Shiue), other historians like Angus Maddison hold that the per-capita productivity of western Europe had by the late Middle Ages surpassed that of all other regions.

A number of explanations are proffered as to why, from the late Middle Ages on, Europe rose to surpass other civilizations, become the home of the Industrial Revolution, and dominate the world. Max Weber argued that it was due to a Protestant work ethic that encouraged Europeans to work harder and longer than others. Another socioeconomic explanation looks to demographics: Europe, with its celibate clergy, colonial emigration, high-mortality urban centers, periodic famines and outbreaks of the Black Death, continual warfare, and late age of marriage had far more restrained population growth, compared to Asian cultures. A relative shortage of labour meant that surpluses could be invested in labour-saving technological advances such as water-wheels and mills, spinners and looms, steam engines and shipping, rather than fueling population growth.

Many have also argued that Europe's institutions were superior, that property rights and free-market economics were stronger than elsewhere due to an ideal of freedom peculiar to Europe. In recent years, however, scholars such as Kenneth Pomeranz have challenged this view, although the revisionist approach to world history has also met with criticism for systematically "downplaying" European achievements.

Europe's geography may also have played an important role. The Middle East, India and China are all ringed by mountains but, once past these outer barriers, are relatively flat. By contrast, the Pyrenees, Alps, Apennines, Carpathians and other mountain ranges run through Europe, and the continent is also divided by several seas. This gave Europe some degree of protection from the peril of Central Asian invaders. Before the era of firearms, these nomads were militarily superior to the agricultural states on the periphery of the Eurasian continent and, if they broke out into the plains of northern India or the valleys of China, were all but unstoppable. These invasions were often devastating. The Golden Age of Islam was ended by the Mongol sack of Baghdad in 1258. India and China were subject to periodic invasions, and Russia spent a couple of centuries under the Mongol-Tatar Yoke. Central and western Europe, logistically more distant from the Central Asian heartland, proved less vulnerable to these threats.

Geography also contributed to important geopolitical differences. For most of their histories, China, India and the Middle East were each unified under a single dominant power that expanded until it reached the surrounding mountains and deserts. In 1600 the Ottoman Empire controlled almost all the Middle East, the Ming Dynasty ruled China, and the Mughal Empire held sway over India. By contrast, Europe was almost always divided into a number of warring states. Pan-European empires, with the major exception of the Roman Empire, tended to collapse soon after they arose.



One source of Europe's success is often said to be the intense competition among rival European states. In other regions, stability was often a higher priority than growth. China's growth as a maritime power was halted by the Ming Dynasty's *Hai jin* ban on ocean-going commerce. In Europe, due to political disunity, a blanket ban of this kind would have been impossible; had any one state imposed it, that state would quickly have fallen behind its competitors.

Another doubtless important geographic factor in the rise of Europe was the Mediterranean Sea, which, for millennia, had functioned as a maritime superhighway fostering the exchange of goods, people, ideas and inventions.

By contrast to Europe, in tropical lands the still more ubiquitous diseases and parasites, sapping the strength and health of humans, and of their animals and crops, were socially-disorganizing factors that impeded progress.

## Mercantile dominance

In the fourteenth century, the Renaissance began in Europe. Some modern scholars have questioned whether this flowering of art and Humanism was a benefit to science, but the era did see an important fusion of Arab and European knowledge. One of the most important developments was the caravel, which combined the Arab lateen sail with European square rigging to create the first vessels that could safely sail the Atlantic Ocean. Along with important developments in navigation, this technology allowed Christopher Columbus in 1492 to journey across the Atlantic Ocean and bridge the gap between Afro-Eurasia and the Americas.

This had dramatic effects on both continents. The Europeans brought with them viral diseases that American natives had never encountered, and uncertain numbers of natives died in a series of devastating epidemics. The Europeans also had the technological advantage of horses, steel and guns that helped them overpower the Aztec and Incan empires as well as North American cultures.

Gold and resources from the Americas began to be stripped from the land and people and shipped to Europe, while at the same time large numbers of European colonists began to emigrate to the Americas. To meet the great demand for labour in the new colonies, the mass import of Africans as slaves began. Soon much of the Americas had a large racial underclass of slaves. In West Africa, a series of thriving states developed along the coast, becoming prosperous from the exploitation of suffering interior African peoples.



Vasco da Gama sailed to India to bring back spices in the late 15th and early 16th centuries.



*The Santa Maria at Anchor*, painted ca. 1628 by Andries van Eertvelt, shows Christopher Columbus' famous carrack.

Europe's maritime expansion unsurprisingly — given that continent's geography — was largely the work of its Atlantic seaboard states: Portugal, Spain, England, France, and the Netherlands. The Portuguese and Spanish Empires were at first the predominant conquerors and source of influence, but soon the more northern English, French and Dutch began to dominate the Atlantic. In a series of wars, fought in the 17th and 18th centuries, culminating with the Napoleonic Wars, Britain emerged as the first world power. It accumulated an empire that spanned the globe, controlling, at its peak, approximately one-quarter of the world's land surface, on which the "sun never set".

Meanwhile the voyages of Admiral Zheng He were halted by China's Ming Dynasty (1368-1644), established after the expulsion of the Mongols. A Chinese commercial revolution, sometimes described as "incipient capitalism," was also abortive. The Ming Dynasty would eventually fall to the Manchus, whose Qing Dynasty at first oversaw a period of calm and prosperity but would increasingly fall prey to Western encroachment.

Soon after the invasion of the Americas, Europeans had exerted their technological advantage as well over the peoples of Asia. In the early 19th century, Britain gained control of the Indian subcontinent, Egypt and the Malay Peninsula; the French took Indochina; while the Dutch occupied the Dutch East Indies. The British also took over several areas still populated by Neolithic peoples, including Australia, New Zealand and South Africa, and, as in the Americas, large numbers of British colonists began to emigrate there. In the late 19th century, the European powers divided the remaining areas of Africa.

This era in Europe saw the Age of Reason lead to the Scientific Revolution, which changed man's understanding of the world and made possible the Industrial Revolution, a major transformation of the world's economies. The Industrial Revolution began in Great Britain and used new modes of production — the factory, mass production, and mechanisation — to manufacture a wide array of goods faster and for less labour than previously.

The Age of Reason also led to the beginnings of modern democracy in the late-18th century American and French Revolutions. Democracy would grow to have a profound effect on world events and on quality of life.

During the Industrial Revolution, the world economy was soon based on coal, as new methods of transport, such as railways and steamships, effectively shrank the world. Meanwhile, industrial pollution and environmental damage, present since the discovery of fire and the beginning of civilization, accelerated drastically.

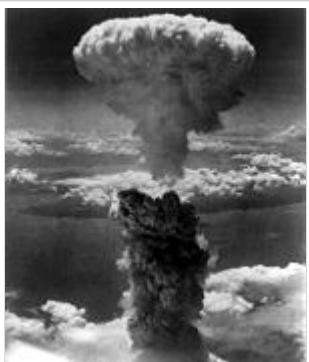
## Twentieth Century onward

The 20th century opened with Europe at an apex of wealth and power, and with much of the world under its direct colonial control or its indirect domination. Much of the rest of the world was influenced by heavily Europeanized nations: the United States and Japan. As the century unfolded, however, the global system dominated by rival powers was subjected to severe strains, and ultimately yielded to a more fluid structure of independent nations organized on Western models.



This transformation was catalyzed by wars of unparalleled scope and devastation. World War I destroyed many of Europe's empires and monarchies, and weakened France and Britain. In its aftermath, powerful ideologies arose. The Russian Revolution of 1917 created the first communist state, while the 1920s and 1930s saw militaristic fascist dictatorships gain control in Italy, Germany, Spain, Japan and elsewhere.

Ongoing national rivalries, exacerbated by the economic turmoil of the Great Depression, helped precipitate World War II. The militaristic dictatorships of Europe and Japan pursued an ultimately doomed course of imperialist expansionism. Their defeat opened the way for the advance of communism into Central Europe, Yugoslavia, Bulgaria, Romania, Albania, China, North Vietnam and North Korea.



Nuclear weapons, used against Japan in 1945, ended World War II and opened the Cold War.

Following World War II, in 1945, the United Nations was founded in the hope of allaying conflicts among nations and preventing future wars.

The war had, however, left two nations, the United States and the Soviet Union, with principal power to guide international affairs. Each was suspicious of the other and feared a global spread of the other's political-economic model. This led to the Cold War, a forty-year stand-off between the United States, the Soviet Union, and their respective allies. With the development of nuclear weapons and the subsequent arms race, all of humanity were put at risk of nuclear war between the two superpowers. Such war being viewed as impractical, proxy wars were instead waged, at the expense of non-nuclear-armed Third World countries.

The Cold War lasted through the ninth decade of the twentieth century, when the Soviet Union's communist system began to collapse, unable to compete economically with the United States and western Europe; the Soviets' Central European "satellites" reasserted their national sovereignty, and in 1991 the Soviet Union itself disintegrated. This left the United States for the time being as the "sole remaining superpower," a status whose permanence came into question as that country's economic supremacy began to show signs of slippage.

In the early postwar decades, the African and Asian colonies of the Belgian, British, Dutch, French and other west European empires won their formal independence but faced challenges in the form of neocolonialism, poverty, illiteracy and endemic tropical diseases. Many of the Western and Central European nations gradually formed a political and economic community, the European Union, which subsequently expanded eastward to include former Soviet satellites.



World War I, fought between the Allies (*green*) and the Central Powers (*orange*), ended the German Empire, the Austro-Hungarian Empire, the Russian Empire and the Ottoman Empire.



The twentieth century saw exponential progress in science and technology, and increased life expectancy and standard of living for much of humanity. As the developed world shifted from a coal-based to a petroleum-based economy, new transport technologies, along with the dawn of the Information Age, led to increased globalization. Space exploration reached throughout the solar system. The structure of DNA, the very template of life, was discovered, and the human genome was sequenced, a major milestone in the understanding of human biology and the treatment of disease. Global literacy rates continued to rise, and the percentage of the world's labor pool needed to produce humankind's food supply continued to drop.

The century saw the development of new global threats, such as nuclear proliferation, epidemics of contagious diseases, environmental problems such as the greenhouse effect and deforestation, and the dwindling of global resources. It witnessed, as well, a dawning awareness of ancient hazards that had probably previously caused mass extinctions of lifeforms on the planet, such as near-earth asteroids and comets, supervolcano eruptions, and gamma-ray bursts. Meanwhile the life courses of many states continued to be accompanied by wars, with resulting loss of life, economic devastation, disease, famine and genocide. As of 2008, some 30 ongoing armed conflicts raged in various parts of the world.

As the 20th century yielded to the 21st, it became increasingly clear that Earth's human population was fast becoming lodged in a historic bottleneck of resource constraints, exacerbated by mounting population and growing environmental degradation. A matter of particular urgency was the development of more plentiful and safer sources of energy such as renewable energy varieties, and perhaps expanded use of nuclear energy and of "clean" fossil-fuel technologies.

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The last exploration of the Moon — Apollo 17 (1972).



# Holy Roman Empire

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The **Holy Roman Empire** was a union of territories in Central Europe during the Middle Ages and the Early Modern period under a Holy Roman Emperor. The first Holy Roman Emperor was Otto the Great in 962. The last was Francis II, who abdicated and dissolved the Empire in 1806 during the Napoleonic Wars. It was officially known as the **Holy Roman Empire of the German Nation** from the late 15th century.

The Empire's territorial extent varied over its history, but at its peak it encompassed the Kingdom of Germany, Italy and Burgundy, territories embracing the present-day Federal Republic of Germany, Austria, Switzerland, the Netherlands, Liechtenstein, Luxembourg, the Czech Republic, Slovenia, Belgium, as well as large parts of modern France, Italy and Poland. For much of its history the Empire consisted of hundreds of smaller principalities, duchies, counties, Free Imperial Cities, as well as several kingdoms and other domains. Despite its name, for most of its existence the Holy Roman Empire did not include Rome within its borders.

## Nomenclature

The Holy Roman Empire was a conscious attempt to revive the Western Roman Empire, considered to have ended with the abdication of Romulus Augustulus in 476. Although Pope Leo III crowned Charlemagne as *Imperator Augustus* on 25 December 800, and his son, Louis the Pious, was also crowned as Emperor by the Pope, the Empire and the imperial office did not become formalized for some decades, due largely to the Frankish tendency to divide realms between heirs after a ruler's death. It is notable that Louis first crowned himself in 814, upon his father's death, but in 816, Pope Stephen V, who had succeeded Leo III, visited Rheims and again crowned Louis. By that act, the emperor strengthened the papacy by instituting the essential role of the pope in imperial coronations.

Contemporary terminology for the Empire varied greatly over the centuries. Under Otto I the area of his reign was called "Regnum Francorum Orientalium" or "Regnum Francorum" meaning "Kingdom of the East Franks" or simply "Kingdom of the Franks". The term *Roman Empire* was used in 1034 to denote the lands under Conrad II, and *Holy Empire* in 1157. The use of the term *Roman Emperor* to refer to Northern European rulers started earlier with Otto II (Emperor 973–983). Emperors from Charlemagne (Emperor 800–814) to Otto I the Great (Emperor 962–973) had simply used the phrase *Imperator Augustus* (both of

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Holy Roman Empire	
	962 – 1806
	
Banner of the Holy Roman Emperor (15th–19th century)	Collective coat of arms, 1510
	
The extent of the Holy Roman Empire around 1630, superimposed over modern European state borders	
<b>Capital</b>	<i>Varied by ruling Holy Roman Emperor</i>



which, without "Roman", were the preferred titles of Roman Emperors). The precise term *Holy Roman Empire* (German: *Heiliges Römisches Reich* listen ; Latin: *Sacrum Romanum Imperium*) dates from 1254; the final version *Holy Roman Empire of German Nation* (German *Heiliges Römisches Reich deutscher Nation*; Latin: *Sacrum Romanum Imperium Nationis Germanicæ*) appears in 1512, after several variations in the late 15th century.

Contemporaries did not quite know how to describe this entity. In his famous 1667 description *De statu imperii Germanici*, published under the alias Severinus de Monzambano, Samuel Pufendorf wrote: *Nihil ergo aliud restat, quam ut dicamus Germaniam esse irregulare aliquod corpus et monstro simile ...* ("We are therefore left with calling Germany a body that conforms to no rule and resembles a monster").

In his *Essai sur l'histoire generale et sur les moeurs et l'esprit des nations* (1756), the French essayist and philosopher Voltaire described the Holy Roman Empire as an "agglomeration" which was "neither holy, nor Roman, nor an empire".

In *Faust I*, in a scene written in 1775, the German author Goethe has one of the drinkers in Auerbach's Cellar in Leipzig ask "Our Holy Roman Empire, lads, what still holds it together?" Goethe also has a longer, not very favourable essay about his personal experiences as a trainee at the *Reichskammergericht* in his autobiographical work *Dichtung und Wahrheit*.

## History

### Origins

Following the Frankish custom, Charlemagne had intended to divide the territories of the Carolingian Empire between his sons, but as it happened he was survived by only one son, Louis the Pious. Louis accordingly inherited all his father's dominions and the imperial title. Louis's resolution to break with tradition and pass on his lands inviolate to only one of his sons led to the series of civil wars which were ended by the partition of 843. It is important to distinguish (in theory if not always in fact) between the Eastern Frankish Kingdom created by the partition of Charlemagne's territories in 843 and the Empire itself.

This distinction is not aided by the fact that the German word Reich is so lacking in specificity. The imperial title was initially conceded to Lothar I the eldest son of Louis the Pious and thereafter passed around various branches of the Carolingian dynasty, often being held by no more than minor northern Italian potentates. The Eastern Frankish Kingdom developed as a separate entity until a non-Carolingian, Henry I the Fowler was elected as its king at the beginning of the 10th century. The subsequent coronation of his son and successor Otto I as Emperor marks the beginning of the association of the Eastern Frankish Kingdom with the Imperial title, an association which then continued unbroken down to the abdication of Francis II in 1806.

<b>Language(s)</b>	Latin, German, Italian, Czech, Dutch, French, Slovenian and many others
<b>Religion</b>	Catholicism, later Lutheranism and Calvinism
<b>Government</b>	Monarchy
<b>Emperor</b>	
- 962– 967	Otto I
- 1027– 1039	Conrad II
- 1530– 1556	Charles V
- 1637– 1657	Ferdinand III
- 1792–1806	Francis II
<b>Legislature</b>	Reichstag
<b>Historical era</b>	Middle Ages
- Otto I crowned Emperor of Italy	February 2, 962
- Conrad II assumes crown of Burgundy	1034
- Peace of Augsburg	25 September 1555
- Peace of Westphalia	24 October 1648
- Disestablished	6 August 1806





With the split of the Frankish realm in the Treaty of Verdun in 843, the Carolingian dynasty continued independently in all three sections. The eastern part fell to Louis the German, who was followed by several leaders until the death of Louis the Child, the last Carolingian in the eastern part.

The leaders of Alemannia, Bavaria, Francia and Saxonia elected Conrad I of the Franks, not a Carolingian, as their leader in 911. His successor, Henry (Heinrich) I the Fowler (r. 919–936), a Saxon elected at the Reichstag of Fritzlar in 919, achieved the acceptance of a separate Eastern Empire by the West Frankish (still ruled by the Carolingians) in 921, calling himself *Rex Francorum Orientalum* (King of the East Franks). He founded the Ottonian dynasty.

Henry designated his son Otto, who was elected King in Aachen in 936, to be his successor. A marriage alliance with the widowed queen of Italy gave Otto control over that nation as well. His later crowning as Emperor Otto I (later called "the Great") in 962 would mark an important step, since from then on the Eastern-Frankish realm – and not the West-Frankish kingdom that was the other remainder of the Frankish kingdoms – would have the blessing of the Pope. Otto had gained much of his power earlier, when, in 955, the Magyars were defeated in the Battle of Lechfeld.

In contemporary and later writings, this crowning would also be referred to as *translatio imperii*, the transfer of the Empire from the Romans to a new Empire. The German Emperors thus thought of themselves as being in direct succession of those of the Roman Empire; this is why they initially called themselves *Augustus*. Still, they did not call themselves "Roman" Emperors at first, probably in order not to provoke conflict with the Roman Emperor who still existed in Constantinople. The term *imperator Romanorum* only became common under Conrad II later (than his crowning in 1027, thus in the early-middle 11th century) after the Great Schism.

At this time, the eastern kingdom was a "confederation" of the old Germanic tribes of the Bavarians, Alemanns, Franks and Saxons. The Empire as a political union probably only survived because of the strong personal influence of King Henry the Saxon and his son, Otto. Although formally elected by the leaders of the Germanic tribes, they were actually able to designate their successors.

This changed after Henry II died in 1024 without any children. Conrad II, first of the Salian Dynasty, was then elected king in 1024 only after some debate. How exactly the king was chosen thus seems to be a complicated conglomeration of personal influence, tribal quarrels, inheritance, and acclamation by those leaders that would eventually become the collegiate of Electors.

Already at this time the dualism between the "territories", then those of the old tribes rooted in the Frankish lands, and the King/Emperor, became apparent. Each king preferred to spend most time in his own homelands; the Saxons, for example, spent much time in palatinates around the Harz mountains, among them Goslar. This practice had only changed under Otto III (king 983, Emperor 996–1002), who began to utilize bishoprics all over the Empire as temporary seats of government. Also, his successors, Henry II, Conrad II, and Henry III, apparently managed to appoint the dukes of the territories. It is thus no coincidence that at this time, the terminology changes and the first occurrences of a *regnum Teutonicum* (*German Kingdom*) are found.



The Empire in 1000



The Empire almost collapsed in the Investiture Controversy, in which Pope Gregory VII declared a ban on King Henry IV (king 1056, Emperor 1084–1106). Although this was taken back after the 1077 Walk to Canossa, the ban had wide-reaching consequences. Meanwhile, the German dukes had elected a second king, Rudolf of Swabia, whom Henry IV could only defeat after a three-year war in 1080. The mythical roots of the Empire were permanently damaged; the German king was humiliated. Most importantly though, the church was clearly an independent player in the political system of the Empire, not subject to imperial authority.

## Under the Hohenstaufen

Conrad III came to the throne in 1138, the first of the Hohenstaufen dynasty which restored the Empire, even under the new conditions of the 1122 Concordat of Worms. It was Frederick I "Barbarossa" (king 1152, Emperor 1155–1190) who first called the Empire "holy", with which he intended to address mainly law and legislation.



The Empire in 1097



Adhemar de Montbel carries the Holy Lance

Also, under Barbarossa, the idea of the "Romanness" of the Empire culminated again, which seemed to be an attempt to justify the Emperor's power independently of the (now strengthened) Pope. An imperial assembly at the fields of Roncaglia in 1158 explicitly reclaimed imperial rights at the advice of *quattuor doctores* of the emerging judicial faculty of the University of Bologna, citing phrases such as *princeps legibus solutus* ("the emperor [princeps] is not bound by law") from the *Digestae* of the Corpus Juris Civilis. That the Roman laws were created for an entirely different system and didn't fit the structure of the Empire was obviously secondary; the point here was that the court of the Emperor made an attempt to establish a *legal* constitution.

Imperial rights had been referred to as *regalia* since the Investiture Controversy, but were enumerated for the first time at Roncaglia as well. This comprehensive list included public roads, tariffs, coining, collecting punitive fees, and the investiture, the seating and unseating of office holders. These rights were now explicitly rooted in Roman Law, a far-reaching constitutional act; north of the Alps, the system was also now connected to feudal law, a change most visible in the withdrawal of the feuds of Henry the Lion in 1180 which led to his public banning. Barbarossa thus managed for a time to more closely bind the stubborn Germanic dukes to the Empire as a whole.

Another important constitutional move at Roncaglia was the establishment of a new peace (Landfrieden) for all of the Empire, an attempt to (on the one hand) abolish private vendettas not only between the many local dukes, but on the other hand a means to tie the Emperor's subordinates to a legal system of jurisdiction and public prosecution of criminal acts – a predecessor concept of "rule of law", in modern terms, that was, at this time, not yet universally accepted.

In order to solve the problem that the emperor was (after the Investiture Controversy) no longer as able to use the church as a mechanism to maintain power,



the Staufer increasingly lent land to *ministerialia*, formerly unfree service men, which Frederick hoped would be more reliable than local dukes. Initially used mainly for war services, this new class of people would form the basis for the later knights, another basis of imperial power.

Another new concept of the time was the systematic foundation of new cities, both by the emperor and the local dukes. These were partly due to the explosion in population, but also to concentrate economic power at strategic locations, while formerly cities only existed in the shape of either old Roman foundations or older bishoprics. Cities that were founded in the 12th century include Freiburg, possibly the economic model for many later cities, and Munich.

The later reign of the last Staufer Emperor, Frederick II, was in many ways different from that of earlier Emperors. Still a child, he first reigned in Sicily, while in Germany, Barbarossa's second son Philip of Swabia and Henry the Lion's son Otto IV competed with him for the title of King of the Germans. After finally having been crowned emperor in 1220, he risked conflict with the pope when he claimed power over Rome; astonishingly to many, he managed to claim Jerusalem in a crusade in 1228 while still under the pope's ban.

While Frederick brought the mythical idea of the Empire to a last high point, he was also the one to initiate the major steps that led to its disintegration. On the one hand, he concentrated on establishing an innovative state in Sicily, with public services, finances, and other reforms. On the other hand, Frederick was the emperor who granted major powers to the German dukes in the form of two far-reaching privileges that would never be reclaimed by the central power. In the 1220 *Confoederatio cum principibus ecclesiasticis*, Frederick gave up a number of *regalia* in favour of the bishops, among them tariffs, coining, and fortification. The 1232 *Statutum in favorem principum* mostly extended these privileges to the other (non-clerical) territories (Frederick II was forced to give those privileges by a rebellion of his son, Henry). Although many of these privileges had existed earlier, they were now granted globally, and once and for all, to allow the German dukes to maintain order north of the Alps while Frederick wanted to concentrate on his homelands in Italy. The 1232 document marked the first time that the German dukes were called *domini terræ*, owners of their lands, a remarkable change in terminology as well.

The Teutonic Knights were invited to Prussia by Duke Konrad of Masovia to Christianize the Prussians in 1226.

During the long stays of the Hohenstaufen emperors (1138–1254) in Italy, the German princes became stronger and began a successful, mostly peaceful colonisation of West Slavic lands, so that the empire's influence increased to eventually include Pomerania and Silesia.

## Rise of the territories after the Staufen

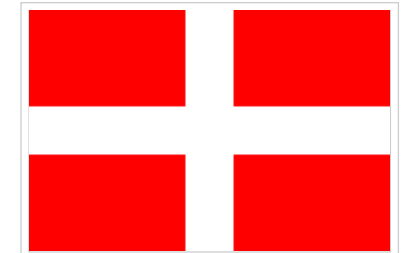


After the death of Frederick II in 1250, none of the dynasties worthy of producing the king proved able to do so, and the leading dukes elected several competing kings. The time from 1246 (beginning with the election of Heinrich Raspe and William of Holland) to 1273, when Rudolph I of Habsburg was elected king, is commonly referred to as the Interregnum. During the Interregnum, much of what was left of imperial authority was lost, as the princes were given time to consolidate their holdings and become even more independent rulers.



The Prince-electors

In 1257, there occurred a double election which produced a situation that guaranteed a long interregnum. William of Holland had fallen the previous year, and Conrad of Swabia had died three years earlier. First, three electors ( Palatinate, Cologne and Mainz) (being mostly of the Guelph persuasion) cast their votes for Richard of Cornwall who became the successor of William of Holland as king. After a delay, a fourth elector, Bohemia, joined this choice. However, a couple of months later, Bohemia and the three other electors Trier, Brandenburg and Saxony voted for Alfonso X of Castile, this being based on Ghibelline party. The realm now had two kings. Was the King of Bohemia entitled to change his vote, or was the election complete when four electors had chosen a king? Were the four electors together entitled to depose Richard a couple of months later, if his election had been valid?



Flag of the Holy Roman Empire 1200–1350



The difficulties in electing the king eventually led to the emergence of a fixed college of electors, the *Kurfürsten*, whose composition and procedures were set forth in the Golden Bull of 1356. This development probably best symbolizes the emerging duality between *Kaiser und Reich*, emperor and realm, which were no longer considered identical. This is also revealed in the way the post-Staufen kings attempted to sustain their power. Earlier, the Empire's strength (and finances) greatly relied on the Empire's own lands, the so-called *Reichsgut*, which always belonged to the respective king (and included many Imperial Cities). After the 13th century, its relevance faded (even though some parts of it did remain until the Empire's end in 1806). Instead, the *Reichsgut* was increasingly pawned to local dukes, sometimes to raise money for the Empire but, more frequently, to reward faithful duty or as an attempt to civilize stubborn dukes. The direct governance of the *Reichsgut* no longer matched the needs of either the king or the dukes.

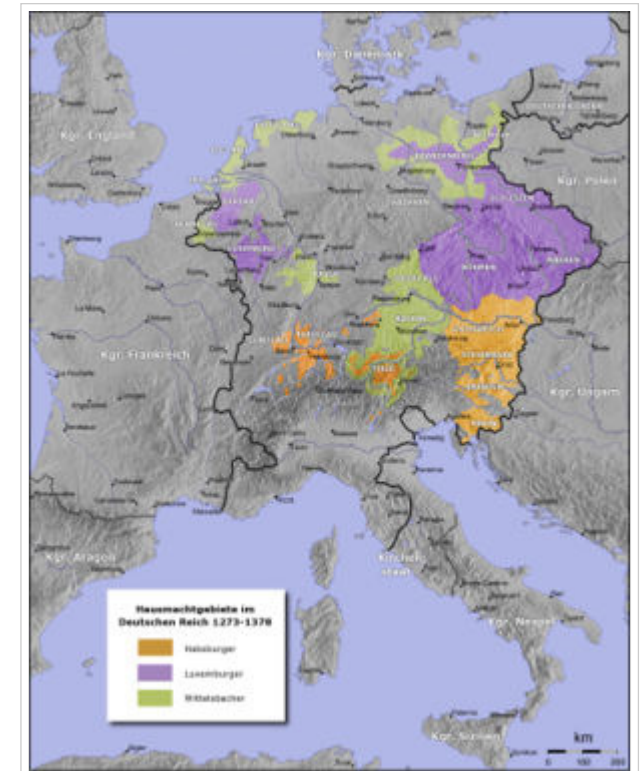
Instead, the kings, beginning with Rudolph I of Habsburg, increasingly relied on the lands of their respective dynasties to support their power. In contrast with the *Reichsgut*, which was mostly scattered and difficult to administer, these territories were comparably compact and thus easier to control. In 1282, Rudolph I thus lent Austria and Styria to his own sons.

With Henry VII, the House of Luxembourg entered the stage. In 1312, he was crowned as the first Holy Roman Emperor since Frederick II. After him all kings and emperors relied on the lands of their own family (*Hausmacht*): Louis IV of Wittelsbach (king 1314, emperor 1328–1347) relied on his lands in Bavaria; Charles IV of Luxembourg, the grandson of Henry VII, drew strength from his own lands in Bohemia. Interestingly, it was thus increasingly in the king's own interest to strengthen the power of the territories, since the king profited from such a benefit in his own lands as well.

The 13th century also saw a general structural change in how land was administered. Instead of personal duties, money increasingly became the common means to represent economic value in agriculture. Peasants were increasingly required to pay tribute for their lands. The concept of "property" more and more replaced more ancient forms of jurisdiction, although they were still very much tied together. In the territories (not at the level of the Empire), power became increasingly bundled: Whoever owned the land had jurisdiction, from which other powers derived. It is important to note, however, that jurisdiction at this time did not include legislation, which virtually did not exist until well into the 15th century. Court practice heavily relied on traditional customs or rules described as customary.

It is during this time that the territories began to transform themselves into predecessors of modern states. The process varied greatly among the various lands and was most advanced in those territories that were most identical to the lands of the old Germanic tribes, e.g. Bavaria. It was slower in those scattered territories that were founded through imperial privileges.

## Imperial Reform



Holy Roman Empire from 1273–1378, and its principal royal dynasties



The "constitution" of the Empire was still largely unsettled at the beginning of the 15th century. Although some procedures and institutions had been fixed, for example by the Golden Bull of 1356, the rules of how the king, the electors, and the other dukes should cooperate in the Empire much depended on the personality of the respective king. It therefore proved somewhat fatal that Sigismund of Luxemburg (king 1410, emperor 1433–1437) and Frederick III of Habsburg (king 1440, emperor 1452–1493) neglected the old core lands of the empire and mostly resided in their own lands. Without the presence of the king, the old institution of the *Hoftag*, the assembly of the realm's leading men, deteriorated. The *Reichstag* as a legislative organ of the Empire did not exist yet. Even worse, dukes often went into feuds against each other that, more often than not, escalated into local wars.

At the same time, the church was in crisis too. The conflict between several competing popes was only resolved at the Council of Constance (1414–1418); after 1419, much energy was spent on fighting the heresy of the Hussites. The medieval idea of a unified *Corpus christianum*, of which the papacy and the Empire were the leading institutions, began to decline.

With these drastic changes, much discussion emerged in the 15th century about the Empire itself. Rules from the past no longer adequately described the structure of the time, and a reinforcement of earlier *Landfrieden* was urgently called for. During this time, the concept of "reform" emerged, in the original sense of the Latin verb *re-formare*, to regain an earlier shape that had been lost.

When Frederick III needed the dukes to finance war against Hungary in 1486 and at the same time had his son, later Maximilian I elected king, he was presented with the dukes' united demand to participate in an Imperial Court. For the first time, the assembly of the electors and other dukes was now called *Reichstag* (to be joined by the Imperial Free Cities later). While Frederick refused, his more conciliatory son finally convened the *Reichstag* at Worms in 1495, after his father's death in 1493. Here, the king and the dukes agreed on four bills, commonly referred to as the *Reichsreform* (Imperial Reform): a set of legal acts to give the disintegrating Empire back some structure. Among others, this act produced the Imperial Circle Estates and the *Reichskammergericht* (Imperial Chamber Court); structures that would — to a degree — persist until the end of the Empire in 1806.

However, it took a few more decades until the new regulation was universally accepted and the new court began to actually function; only in 1512 would the Imperial Circles be finalized. The King also made sure that his own court, the *Reichshofrat*, continued to function in parallel to the *Reichskammergericht*. It is interesting to note that in this year, the Empire also received its new title, the *Heiliges Römisches Reich Deutscher Nation* ("Holy Roman Empire of the German Nation").

## Crisis after Reformation

In 1517, Martin Luther initiated what would later be known as the Reformation. At this time, many local dukes saw a chance to oppose the hegemony of Emperor Charles V. The empire became then fatally divided along religious lines, with the North, the East, and many of the major cities— Strassbourg, Frankfurt





and Nuremberg—becoming Protestant while the southern and western regions largely remained Catholic. Religious conflicts were waged in various parts of Europe for a century, though in German regions there was relative quiet from the Peace of Augsburg in 1555 until the Defenestration of Prague in 1618. When Bohemians rebelled against the emperor, the immediate result was the series of conflicts known as the Thirty Years' War (1618–1648), which devastated the Empire. The population of the German lands was reduced by about 30%. Foreign powers, including France and Sweden intervened in the conflict and strengthened those fighting Imperial power, but they also seized considerable chunks of territory for themselves. The long conflict bled the Empire to such a degree that it would never recover its former strength.

## **The long decline**



The actual end of the empire came in several steps. The Peace of Westphalia in 1648, which ended the Thirty Years' War, gave the territories almost complete sovereignty. The Swiss Confederation, which had already established quasi-independence in 1499, and the Northern Netherlands left the empire. Although its constituent states still had some restrictions — in particular, they could not form alliances against the Emperor — the Empire from this point was a powerless entity, existing in name only. The Habsburg Emperors instead focused on consolidating their own estates in Austria and elsewhere.

By the rise of Louis XIV, the Habsburgs were dependent on the position as Archdukes of Austria to counter the rise of Prussia, some of whose territories lay inside the Empire. Throughout the 18th century, the Habsburgs were embroiled in various European conflicts, such as the War of the Spanish Succession, the War of the Polish Succession and the War of the Austrian Succession. The German dualism between Austria and Prussia dominated the empire's history after 1740. From 1792 onwards, revolutionary France was at war with various parts of the Empire intermittently. The Empire was formally dissolved on August 6, 1806 when the last Holy Roman Emperor Francis II (from 1804, Emperor Francis I of Austria) abdicated, following a military defeat by the French under Napoleon (see Treaty of Pressburg). Napoleon reorganized much of the empire into the Confederation of the Rhine, a French satellite. Francis' House of Habsburg-Lorraine survived the demise of the Empire, continuing to reign as Emperors of Austria and Kings of Hungary until the Habsburg empire's final dissolution in 1918 in the aftermath of World War I. Meanwhile, the Napoleonic Confederation of the Rhine was replaced by the German Confederation and the North German Confederation in succession, until the German-speaking territories outside of Austria were united under Prussian leadership in 1871, as the German Empire, the predecessor-state of modern Germany.

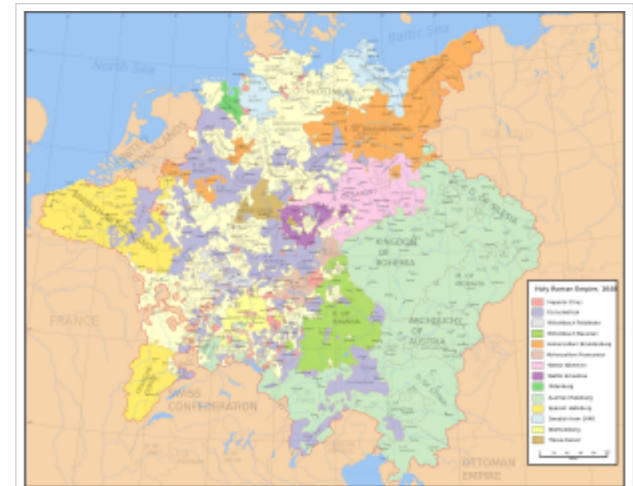
## Successor German empires

After the end of the Napoleonic Wars a new German Confederation was established in 1815. It lasted until 1866 when Prussia dissolved the German Confederation to form the North German Confederation which became a nation state in 1871 (see German Empire).

## Present-day remnants

It is sometimes claimed that the only surviving fragment of the Empire is the tiny, independent Principality of Liechtenstein, located between Switzerland and Austria.

There is still a Habsburg claimant to the Imperial throne, Otto von Habsburg. However, the throne of the Empire was never merely hereditary, and titles of nobility no longer have official standing in Germany and the other central European republics.



The Empire after the Peace of Westphalia, 1648



The Empire in 1705, map "L'Empire d'Allemagne" from Nicolas de Fer





## Institutions

From the High Middle Ages onwards, the Empire was stamped by an uneasy coexistence with the struggle of the dukes of the local territories to take power away from it. To a greater extent than in other medieval kingdoms such as France and England, the Emperors were unable to gain much control over the lands that they formally owned. Instead, to secure their own position from the threat of deposition, Emperors were forced to grant more and more autonomy to local rulers, both nobles and bishops. This process began in the 11th century with the Investiture Controversy and was more or less concluded with the 1648 Peace of Westphalia. Several Emperors attempted to reverse this steady dissemination of their authority, but were thwarted both by the papacy and by the princes of the Empire.

### King of the Romans

A prospective Emperor had first to be elected King of the Romans (*Rex romanorum/römischer König*). Kings had been elected since time immemorial: in the 9th century by the leaders of the five most important tribes: (the Salian Franks of Lorraine, the Riparian Franks of Franconia, and the Saxons, Bavarians, and Swabians); later by the main dukes and bishops of the kingdom; finally only by the so-called *Kurfürsten* (electing dukes, electors). This electoral college was formally established in 1356 by the King of Bohemia Charles IV, through a decree known as the Golden Bull. Initially, there were seven electors: the Count Palatine of the Rhine, the King of Bohemia, the Duke of Saxony, the Margrave of Brandenburg, and the Archbishops of Cologne, Mainz, and Trier. During the Thirty Years' War, the Duke of Bavaria was given the right to vote as the eighth elector. A candidate for election would be expected to offer concessions of land or money to the electors in order to secure their vote.

The newly elected king then travelled to Rome to be crowned Emperor by the Pope. In many cases, this took several years while the King was held up by other tasks: frequently he first had to resolve conflicts in rebellious northern Italy, or was in quarrel with the Pope himself. Later Emperors dispensed with the papal coronation altogether, being content with the styling *Emperor-Elect*: the last Emperor to be crowned by the Pope was Charles V in 1530.

The Emperor had to be a man of good character over 18 years. All four of his grandparents were expected to be of noble blood. No law required him to be a Catholic, though imperial law assumed that he was. He did not need to be a German (Charles V and Alfonso of Castille were not, and Henry VIII of England was a candidate in the election of 1519). By the 17th century candidates generally possessed estates within the Empire. Louis XIV, King of France, considered allowing Alsace-Lorraine, a recently acquired French territory, to remain within the Empire in order to allow him to be a candidate for the throne.

At no time could the Emperor simply issue decrees and govern autonomously over the Empire. His power was severely restricted by the various local leaders: after the late 15th century, the *Reichstag* established itself as the legislative body of the Empire, a complicated assembly that convened irregularly at the request of the Emperor at varying locations. Only after 1663 would the *Reichstag* become a permanent assembly.



The crown of the Holy Roman Empire (2nd half of the 10th century), now held in the Vienna Schatzkammer



## Imperial estates

An entity was considered *Reichsstand* (imperial estate) if, according to feudal law, it had no authority above it except the Holy Roman Emperor himself. They included:

- Territories governed by a prince or duke, and in some cases kings. (Rulers of the Holy Roman Empire, with the exception of the King of Bohemia (an elector), were not allowed to become King within the Empire, but some had kingdoms outside the Empire, as was, for instance, the case in the Kingdom of Great Britain, where the ruler was also the Prince-electors of Hanover from 1714 until the dissolution of the Empire.)
- Feudal territories led by a clerical dignitary, who was then considered a prince of the church. In the common case of a Prince-Bishop, this temporal territory (called a prince-bishopric) frequently overlapped his—often larger—ecclesiastical diocese (bishopric), giving the bishop both worldly and clerical powers. Examples include the three prince-archbishoprics: Cologne, Trier, and Mainz.
- Imperial Free Cities

The number of territories was amazingly large, rising to approximately 300 at the time of the Peace of Westphalia. Many of these comprised no more than a few square miles, so the Empire is aptly described as a "patchwork carpet" (*Flickenteppich*) by many (see *Kleinstaaterei*). For a list of *Reichsstands* in 1792, see List of Reichstag participants (1792).

## Reichstag

The Reichstag was the legislative body of the Holy Roman Empire. It was divided into three distinct classes:

- The Council of Electors, which included the Electors of the Holy Roman Empire.
- The Council of Princes, which included both laypersons and clerics.
  - The Secular Bench: Princes (those with the title of Prince, Grand Duke, Duke, Count Palatine, Margrave, or Landgrave) held individual votes; some held more than one vote on the basis of ruling several territories. Also, the Council included Counts or Grafs, who were grouped into four Colleges: Wetterau, Swabia, Franconia, and Westphalia. Each College could cast one vote as a whole.
  - The Ecclesiastical Bench: Bishops, certain Abbots, and the two Grand Masters of the Teutonic Order and the Order of St John had individual votes. Certain other Abbots were grouped into two Colleges: Swabia and the Rhine. Each College held one collective vote.
- The Council of Imperial Cities, which included representatives from Imperial Cities grouped into two Colleges: Swabia and the Rhine. Each College had one collective vote. The Council of Imperial Cities was not fully equal to the others; it could not vote on several matters such as the admission of new territories. The representation of the Free Cities at the Reichstag had become common since the late Middle Ages. Nevertheless, their participation was formally acknowledged only as late as in 1648 with the peace of Westphalia ending the Thirty Years' War.

## Imperial courts

The Empire also had two courts: the *Reichshofrat* (also known in English as the Aulic Council) at the court of the King/Emperor (that is, later in Vienna), and the *Reichskammergericht* (Imperial Chamber Court), established with the Imperial Reform of 1495.

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## Imperial circles

As part of the *Reichsreform*, six Imperial Circles (*Reichskreise*) were established in 1500 and extended to ten in 1512. These were regional groupings of most (though not all) of the various states of the Empire for the purposes of defence, imperial taxation, supervising of coining, peace keeping functions and public security. Each circle had its own Circle Diet (*Kreistag*).

## Analysis

It has been said that modern history of Germany was primarily predetermined by three factors: the *Reich*, the Reformation, and the later dualism between Austria and Prussia. Many attempts have been made to explain why the *Reich* never managed to gain a strong centralized power over its territories, as opposed to neighbouring France. Some reasons include:

- The Empire had been a very federal body from the beginning: again, as opposed to France, which had mostly been part of the Roman Empire, in the eastern parts of the Frankish kingdom, the Germanic tribes later comprising the German nation ( Saxons, Thuringians, Franks, Bavarians, Alamanni or Swabians) were much more independent and reluctant to cede power to a central authority. All attempts to make the kingdom hereditary failed; instead, the king was always elected. Later, every candidate for the king had to make promises to his electorate, the so-called *Wahlkapitulationen* (election capitulations), thus granting the territories more and more power over the centuries.
- Due to its religious connotations, the Empire as an institution was severely damaged by the contest between the Pope and the German Kings over their respective coronations as Emperor. It was never entirely clear under which conditions the pope would crown the emperor and especially whether the worldly power of the emperor was dependent on the clerical power of the pope. Much debate occurred over this, especially during the 11th century, eventually leading to the Investiture Controversy and the Concordat of Worms in 1122.
- Whether the feudal system of the Empire, where the King formally was the top of the so-called "feudal pyramid", was a cause of or a symptom of the Empire's weakness is unclear. In any case, military obedience, which – according to Germanic tradition – was closely tied to the giving of land to tributaries, was always a problem: when the Empire had to go to war, decisions were slow and brittle.
- Until the sixteenth century, the economic interests of the south and west diverged from those of the north where the Hanseatic League operated. The Hanseatic League was far more closely allied to Scandinavia and the Baltic than the rest of Germany.
- The Reformation fatally damaged the Empire. Princes and the Councils of free cities successfully defied Imperial authority in adopting and enforcing their various protestant religious changes, and in banning the operation of the Catholic Church within their territories. The bitter divisions thus engendered between Protestant and Catholic regions, and their jockeying for control within the empire, led inevitably to civil war. The disaster of the Thirty Years War involved extensive foreign military interventions within the empire, and eventually established the right of foreign powers to make independent alliances with individual imperial states.
- German historiography nowadays often views the Holy Roman Empire as a well balanced system of organizing a multitude of (effectively independent)



states under a complex system of legal regulations. Smaller estates like the Lordships or the Imperial Free cities survived for centuries as independent entities, although they had no effective military strength. The supreme courts, the Reichshofrat and the Reichskammergericht helped to settle conflicts, or at least keep them as wars of words rather than shooting wars.

- The multitude of different territories with different languages (German, French, Italian, Czech, Slovene etc.), religious denominations and different forms of government led to a great variety of cultural diversification, which can be felt even in present day Germany with regional cultures, patterns of behaviour and dialects changing sometimes within the range of kilometres.

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# Inca Empire

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The **Inca Empire** (or **Inka Empire**) was the largest empire in pre-Columbian America. The administrative, political and military centre of the empire was located in Cusco. The Inca Empire arose from the highlands of Peru sometime in early 13th century. From 1438 to 1533, the Incas used a variety of methods, from conquest to peaceful assimilation, to incorporate a large portion of western South America, centered on the Andean mountain ranges, including large parts of modern Ecuador, Peru, western and south central Bolivia, northwest Argentina, north and north-central Chile, and southern Colombia. The Incas identified their king as "child of the sun."

The Quechua name for the empire was **Tawantinsuyu** which can be translated as *The Four Regions* or *The Four United Regions*. Before the Quechua spelling reform it was written in Spanish as **Tahuantinsuyo**. *Tawantin* is a group of four things (*tawa* "four" with the suffix *-ntin* which names a group); *suyu* means "region" or "province". The empire was divided into four *Suyus*, whose corners met at the capital, Cusco (*Qosqo*), in modern-day Peru. The official language of the empire was Quechua, although dozens if not hundreds of local languages were spoken.

There were many local forms of worship, most of them concerning local sacred "Huacas", but the Inca leadership encouraged the worship of Inti — the sun god — and imposed its sovereignty above other cults such as that of Pachamama.

## History

### Origin myths

<b>Tawantinsuyu Inca Empire</b>	
←  <b>1438 – 1533</b>  →	
 <p>The Inca Empire at its greatest extent.</p>	
<b>Capital</b>	Cusco (1438-1533)
<b>Language(s)</b>	Quechua (official), Aymara, Puquina, Jaqi family, Muchik and scores of smaller languages.
<b>Religion</b>	Inca religion
<b>Government</b> <b>Sapa Inca</b>	Monarchy
- 1438-1471	Pachacutec
- 1471-1493	Tupac Yupanqui
- 1493-1525	Huayna Capac



- 1525-1532	Huascar
- 1532-1533	Atahualpa
<b>Historical era</b>	P-Columbian
- Pachacutec created the Twantinsuyu	1438
- Civil war between Huascar and Atahualpa	1527-1532
- Spanish conquest lead by Francisco Pizarro	1533
<b>Area</b>	
- 1438	800,000 km <sup>2</sup> (308,882 sq mi)
- 1527	2,000,000 km <sup>2</sup> (772,204 sq mi)
<b>Population</b>	
- 1438 est. Density	12,000,000 15 /km <sup>2</sup> (38.8 /sq mi)
- 1527 est. Density	20,000,000 10 /km <sup>2</sup> (25.9 /sq mi)



The Incas had various creation myths. In one, *Ticci Viracocha* sent forth his four sons and four daughters (known as the *Ayar brothers*) from Pacaritambo to establish a village. Along the way, Sinchi Roca was born to Manco and Ocllo, and Sinchi Roca led them to the valley of Cusco where they founded their new village. There Manco became their leader and became known as Manco Capac.

In another origin myth, the sun god Inti ordered Manco Capac and Mama Ocllo to emerge from the depths of Lake Titicaca. They were born in the lake and wandered north to establish the city of Cusco. They travelled by means of underground caves until they reached Cusco where they established Hurin Cusco, or the first dynasty of the Kingdom of Cusco.

These myths were apparently transmitted via oral tradition until early Spanish colonists recorded them; however some scholars believe that they may have been recorded on quipus (Andean knotted string records).

## Kingdom of Cusco

The Inca people began as a tribe in the Cusco area around the 12th century. Under the leadership of Manco Capac, they formed the small city-state of Cusco ( Quechua *Qusqu*), shown in red on the map. In 1438 they began a far-reaching expansion under the command of Sapa Inca (paramount leader) Pachacuti, whose name literally meant "earth-shaker". During his reign, he and his son brought much of the Andes mountains (roughly modern Peru and Ecuador) under Inca control.

## Reorganization and formation of the Empire



Manco Capac and Mama Ocllo, sons of the Inti.



Pachacuti reorganized the kingdom of Cuzco into an empire, the Tahuantinsuyu, a federalist system which consisted of a central government with the Inca at its head and four provincial governments with strong leaders: Chinchasuyu (NW), Antisuyu (NE), Contisuyu (SW), and Collasuyu (SE). Pachacuti is also thought to have built Machu Picchu, either as a family home or as a summer retreat.

Pachacuti sent spies to regions he wanted in his empire; they brought reports on the political organization, military might and wealth. He would then send messages to the leaders of these lands extolling the benefits of joining his empire, offering them presents of luxury goods such as high quality textiles, and promising that they would be materially richer as subject rulers of the Inca. Most accepted the rule of the Inca as a *fait accompli* and acquiesced peacefully. The ruler's children would then be brought to Cuzco to be taught about Inca administration systems, then return to rule their native lands. This allowed the Inca to indoctrinate the former ruler's children into the Inca nobility, and, with luck, marry their daughters into families at various corners of the empire.

## Expansion and consolidation of the Tawantinsuyu

It was traditional for the Inca's son to lead the army; Pachacuti's son Túpac Inca Yupanqui began conquests to the north in 1463, and continued them as Inca after Pachacuti's death in 1471. His most important conquest was the Kingdom of Chimor, the Inca's only serious rival for the coast of Peru. Túpac Inca's empire stretched north into modern day Ecuador and Colombia.

Túpac Inca's son Huayna Cápac added a small portion of land to the north in modern day Ecuador and in parts of Peru. At its height, Tahuantinsuyu included Peru and Bolivia, most of what is now Ecuador, a large portion of what is today Chile north of Maule River, where they met massive resistance by the Mapuche tribes. The empire also extended into corners of Argentina and Colombia. However, most of the southern portion of the Inca empire, the portion denominated as Collasuyu, was desert wasteland.

Tahuantinsuyu was a patchwork of languages, cultures and peoples. The components of the empire were not all uniformly loyal, nor were the local cultures all fully integrated. The Inca empire as a whole had an economy based on exchange and taxation of luxury goods and labour (it is said that Inca tax collectors would take the head lice of the lame and old as a symbolic tribute).

## Inca civil war and Spanish conquest







Spanish conquistadors led by Francisco Pizarro and his brothers explored south from Panama, reaching Inca territory by 1526. It was clear that they had reached a wealthy land with prospects of great treasure, and after one more expedition (1529), Pizarro traveled to Spain and received royal approval to conquer the region and be its viceroy.

At the time they returned to Peru, in 1532, a war of the two brothers between Huayna Capac's sons Huascar and Atahualpa and unrest among newly-conquered territories — and perhaps more importantly, smallpox, which had spread from Central America — had considerably weakened the empire. It was an unfortunate fact for the Inca that the Spaniards arrived at the height of a civil war, fueled almost certainly by the devastating diseases that preceded the European colonization.

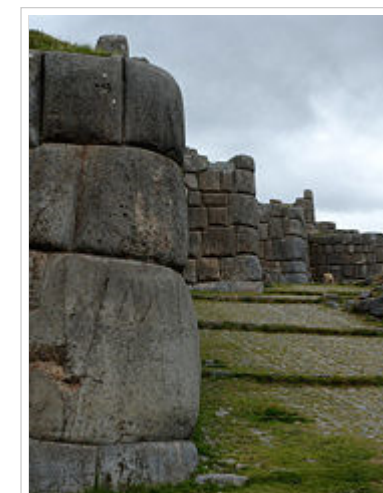
Pizarro did not have a formidable force; with just 168 men, 1 cannon and only 27 horses, he often needed to talk his way out of potential confrontations that could have easily wiped out his party. The Spanish horseman, fully armored, had great technological superiority over the Inca forces. The traditional mode of battle in the Andes was a kind of siege warfare where large numbers of usually reluctant draftees were sent to overwhelm opponents. The Spaniards had developed one of the finest military machines in the premodern world, tactics learned in their centuries' long fight against Moorish kingdoms in Iberia. Along with this tactical and material superiority, the Spaniards also had acquired tens of thousands of native allies who sought to end the Inca control of their territories. This, combined with an audacious military attack by the Spaniards in Cajamarca, allowed them to capture the emperor and send the Inca elite into a huge and paralyzing political struggle. Atahualpa ordered the death of his opponent, Huascar, and the Spaniards skillfully manipulated the various factions within the Inca state. They also were able to continually increase their native allies and ultimately launched a successful attack on the capital city of Cuzco.

Their first engagement was the Battle of Puná, near present-day Guayaquil, Ecuador on the Pacific Coast; Pizarro then founded the city of Piura in July 1532. Hernando de Soto was sent inland to explore the interior, and returned with an invitation to meet the Inca, Atahualpa, who had defeated his brother in the civil war and was resting at Cajamarca with his army of 80,000 troops.

Pizarro and some of his men, most notably a friar by the name of Vincente de Valverde met with the Inca, who had brought only a small retinue. Through an interpreter Friar Vincente demanded that he and his empire accept the yoke of King Charles I of Spain and convert to Christianity. Due to the language barrier and perhaps poor interpretation, Atahualpa became somewhat puzzled by the friar's description of Christian faith and was said to have not fully understood the envoy's intentions. After Atahualpa attempted further enquiry into the doctrines of the Christian faith under which Pizarro's envoy served, the Spanish became frustrated and impatient, attacking the Inca's retinue (see Battle of Cajamarca) and capturing Atahualpa as hostage.

Atahualpa offered the Spaniards enough gold to fill the room he was imprisoned in, and twice that amount of silver. The Inca fulfilled this ransom, but Pizarro deceived them, refusing to release the Inca afterwards. During Atahualpa's imprisonment Huascar was assassinated elsewhere. The Spaniards maintained that this was at Atahualpa's orders; this was used as one of the charges against Atahualpa when the Spaniards finally decided to put him to death, in August 1533.

## The last Incas



Sacsayhuamán, the Inca stronghold of Cuzco



The Spanish installed Atahualpa's brother Manco Inca Yupanqui in power; for some time Manco cooperated with the Spanish, while the Spanish fought to put down resistance in the north. Meanwhile an associate of Pizarro's, Diego de Almagro, attempted to claim Cuzco for himself. Manco tried to use this intra-Spanish feud to his advantage, recapturing Cuzco (1536), but the Spanish retook the city afterwards. Manco Inca then retreated to the mountains of Vilcabamba, Peru, where he and his successors ruled for another 36 years, sometimes raiding the Spanish or inciting revolts against them. In 1572 the last Inca stronghold was conquered, and the last ruler, Túpac Amaru, Manco's son, was captured and executed. This ended resistance to the Spanish conquest under the political authority of the Inca state.

After the fall of Tahuantinsuyu, the new Spanish rulers brutally oppressed the people and suppressed their traditions. Many aspects of Inca culture were systematically destroyed, including their sophisticated farming system. The Spaniards used the Inca mita (mandatory public service) system to literally work the people to death. One member of each family was forced to work in the gold and silver mines, the foremost of which was the titanic silver mine at Potosí. When a family member died, which would usually happen within a year or two, the family would be required to send a replacement.

The effects of smallpox on the Inca empire were even more devastating. Beginning in Colombia, smallpox spread rapidly before the Spanish invaders first arrived in the empire. The spread was probably aided by the efficient Inca road system. Within months, the disease had killed the Sapa Inca Huayna Capac, his successor, and most of the other leaders. Two of his surviving sons warred for power and, after a bloody and costly war of the two brothers, Atahualpa become the new Sapa Inca. As Atahualpa was returning to the capital Cuzco, Francisco Pizarro arrived and through a series of deceptions captured the young leader and his best general. Within a few years smallpox claimed between 60% and 94% of the Inca population, with other waves of European disease weakening them further. Smallpox was only the first epidemic.

Typhus (probably) in 1546, influenza and smallpox together in 1558, smallpox again in 1589, diphtheria in 1614, measles in 1618 - all ravaged the remains of Inca culture.

## Society

### Organization of the Empire



A view of Machu Picchu, "the Lost City of the Incas".



The most powerful figure in the empire was the Sapa Inca ('the unique Inca'). Only descendants of the original Inca tribe ever ascended to the level of Inca. Most young members of the Inca's family attended Yachay Wasis (houses of knowledge) to obtain their education.

The Tawantinsuyu was a federalist system which consisted of a central government with the Inca at its head and four provinces: Chinchay Suyu (NW), Anti Suyu (NE), Kunti Suyu (SW), and Qulla Suyu (SE). The four corners of these provinces met at the centre, Cusco. Each province had a governor who oversaw local officials, who in turn supervised agriculturally-productive river valleys, cities and mines. There were separate chains of command for both the military and religious institutions, which created a system of partial checks and balances on power. The local officials were responsible for settling disputes and keeping track of each family's contribution to the mita (mandatory public service).



## Language

*For more information look at Quechua*

Since the Inca Empire lacked a written language, the empire's main form of communication and recording came from quipus and Quechua, the language the Incas imposed upon the peoples within the empire. The plethora of civilizations in the Andean region provided for a general disunity that the Incas needed to subdue in order to maintain control, peace, and order within all of the empire. Hence, by establishing a uniform language, the Incas would be able to better achieve such a goal. Nonetheless, it should be noted that Quechua had been spoken in the Andean region, like central Peru, for several years prior to the expansion of the Inca civilization. Moreover, the type of Quechua the Incas imposed was an adaptation from the Kingdom of Cusco (an early form of "Southern Quechua") of what some historians define as "Proto-Quechua" (The original Quechua dialect).

As in many societies of the world, the language imposed by the Incas further diverted from its original phonetic tone as some societies formed their own regional varieties, or slang. Of course, the diversity of Quechua at that point and even today does not come as a direct result from the Incas, whom are just a part of the reason for Quechua's diversity. The civilizations within the empire that had previously spoken Quechua kept their own variety distinct to the Quechua the Incas spread. Although these many kinds of Quechua were in some form similar, they were not the exact same thing. Not only that, but even though most of the societies within the empire implemented Quechua into their lives, the Incas allowed several societies kept their old languages such as Aymara, which still remains a spoken language in various parts of South America. The linguistic body of the Tawantinsuyu was thus still largely varied, but it still remains quite an achievement for the Incas that went even beyond their times as the Spanish continued to use the spread of Quechua as a method to impose their culture upon the peoples of South America (even though that further increased the diversity of the language).

On the other hand, the actual "Inca," or ruling elite, their kind of Quechua tended to remain somewhat closer to the "early Southern Quechua" of the Kingdom of Cusco mainly due to the complex educational facilities the Tawantinsuyu offered them. This standardized governmental Quechua is what served as the backbone for the Tawantinsuyu, but it also differentiated the social status of the community. Moreover, some historians even discuss the possibility that the "secret language" of the ruling elite might have simply been another form of Quechua.



## Life, education and beliefs

The Inca diet consisted primarily of potatoes and grains, supplemented by fish, vegetables, nuts, and maize (corn). Camelid (llama and alpaca) meat and cuyes (guinea pigs) were also eaten in large quantities. In addition, they hunted various wild animals for meat, skins and feathers. Maize was malted and used to make chicha, a fermented alcoholic beverage. The Inca road system was key to farming success as it allowed distribution of foodstuffs over long distances. The Inca also constructed vast storehouses, which allowed them to live through El Niño years while neighboring civilizations suffered.

The Inca believed in reincarnation. Those who obeyed the Incan moral code — *ama suwa, ama llulla, ama quella* (do not steal, do not lie, do not be lazy) — "went to live in the Sun's warmth while others spent their eternal days in the cold earth". The Inca also practiced cranial deformation. They achieved this by wrapping tight cloth straps around the heads of newborns in order to alter the shape of their still-soft skulls into a more conical form. Studies are needed to determine whether these deformations caused actual brain damage.

### Aqllawasi

The Aqllawasi (Acclahuasi) which means "house of the sun virgins" was developed under the Incans in Peru at about 1438–1532 CE. Its central purpose was in the manufacturing of garments for the Inca royalty and the worship of the sun god, Inti.

## Arts and technology

### Monumental architecture

Architecture was by far the most important of the Inca arts, with pottery and textiles reflecting motifs that were at their height in architecture. The main example is the capital city of Cuzco itself. The breathtaking site of Machu Picchu was constructed by Inca engineers. The stone temples constructed by the Inca used a mortarless construction that fit together so well that you couldn't fit a knife through the stonework. This was a process first used on a large scale by the Pucara (ca. 300 BC–AD 300) peoples to the south in Lake Titicaca, and later in the great city of Tiwanaku (ca. AD 400–1100) in present day Bolivia. The Inca imported the stoneworkers of the Tiwanaku region to Cuzco when they conquered the lands south of Lake Titicaca. The rocks used in construction were sculpted to fit together exactly by repeatedly lowering a rock onto another and carving away any sections on the lower rock where the dust was compressed. The tight fit and the concavity on the lower rocks made them extraordinarily stable.

### Ceramics, precious metal work, and textiles



Approximately 200 varieties of potatoes were cultivated by the Incas and their predecessors



Inca tunic



Almost all of the gold and silver work of the empire was melted down by the conquistadores. Ceramics were painted in numerous motifs including birds, waves, felines, and geometric patterns. The most distinctive Inca ceramic objects are the Cusco bottles or "aryballos". Many of these pieces are on display in Lima in the Larco Archaeological Museum and the National Museum of Archaeology, Anthropology and History.

## Mathematics and astronomy

A very important Inca technology was the Quipu, which were assemblages of knotted strings used to record information, the exact nature of which is no longer known. Originally it was thought that Quipu were used only as mnemonic devices or to record numerical data. Recent discoveries, however, have led to the theory that these devices were instead a form of writing in their own right.

The Inca made many discoveries in medicine. They performed successful skull surgery, which involved cutting holes in the skull to release pressure from head wounds. Coca leaves were used to lessen hunger and pain, as they still are in the Andes. The Chasqui (messengers) chewed coca leaves for extra energy to carry on their tasks as runners delivering messages throughout the empire.

## Weapons, armor, and warfare

The Incas used weapons and had wars with other civilizations in the area. The Inca army was the most powerful in the area at that time, because they could turn an ordinary villager or farmer into a soldier, ready for battle. This is because every male Inca had to take part in war at least once so as to be prepared for warfare again when needed. By the time the empire had reached its large size, every section of the empire contributed in setting up an army for war.

The Incas had no iron or steel, and their weapons were no better than those of their enemies. They went into battle with the beating of drums and the blowing of trumpets. The armor used by the Incas included:

- Helmets made of wood, copper, bronze, cane, or animal skin; some were adorned with feathers
- Round or square shields made from wood or hide
- Cloth tunics padded with cotton and small wooden planks to protect spine

The Inca weaponry included:

- Bronze or bone-tipped spears
- Two-handed wooden swords with serrated edges (notched with teeth, like a saw)
- Clubs with stone and spiked metal heads
- Woolen slings and stones
- Stone or copper headed battle-axes
- Stones fastened to lengths of cord (bola)



A detail of a Inca stone work



Roads allowed very quick movement for the Inca army, and shelters called *quolla* were built one day's distance in travelling from each other, so that an army on campaign could always be fed and rested. (The name for the Sapa Inca's storehouses was *tambo*. This can be seen in names of ruins such as Ollantay Tambo, or My Lord's Storehouse. These were set up so the Inca and his entourage would always have supplies (and possibly shelter) ready as he traveled.)

## Inca flag

There are 16th and 17th century chronicles and references that support the idea of a banner, or flag, attributable to the Inca.

Francisco López de Jerez wrote in 1534:

"all of them came distributed into squads, with their flags and captains commanding them, as well-ordered as Turks"  
(*todos venían repartidos en sus escuadras con sus banderas y capitanes que los mandan, con tanto concierto como turcos*).

The chronicler, Bernabé Cobo, wrote:

"The royal standard or banner was a small square flag, ten or twelve spans around, made of cotton or wool linen, placed on the end of a long staff, stretched and stiff such that it did not wave in the air, and on it each king painted his arms and emblems, for each one chose different ones, though the sign of the Incas was the rainbow."

(*...el guión o estandarte real era una banderilla cuadrada y pequeña, de diez o doce palmos de ruedo, hecha de lienzo de algodón o de lana, iba puesta en el remate de una asta larga, tendida y tiesa, sin que ondease al aire, y en ella pintaba cada rey sus armas y divisas, porque cada uno las escogía diferentes, aunque las generales de los Incas eran el arco celeste.*)

-Bernabé Cobo, *Historia del Nuevo Mundo* (1653)



The rainbow flag

Guaman Poma's 1615 book, *El primer nueva corónica y buen gobierno*, shows numerous line drawings of Inca flags.

In modern times the rainbow flag has been associated with the Tawantinsuyu and is displayed as a symbol of Inca heritage in Peru and Bolivia. The city of Cusco flies the Rainbow Flag. Peruvian President Alejandro Toledo (2001–2006) flew the Rainbow Flag in Lima's presidential palace. The Rainbow Flag was taken down by President Alan Garcia in July 2006.

## Legacy

The major languages of the empire, Quechua and Aymara, were employed by the Roman Catholic Church to evangelize in the Andean region. In some cases, these languages were taught to peoples who had originally spoken other indigenous languages. Today, Quechua and Aymara remain the most widespread Amerindian languages. Those who spoke these two languages were regarded higher than the others and referred to as middle-class.

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# Indian Rebellion of 1857

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The **Indian Rebellion of 1857** was both a military mutiny and a rural civilian rebellion against the British East India Company. Confined mainly to north-central India (present-day Uttar Pradesh, northern Madhya Pradesh, and Delhi), it began in Meerut on 10 May 1857 and largely ended with the fall of Gwalior on 20 June 1858. The rebellion is also known as the **First War of Independence** (the official and popular name in India), **Indian Mutiny**, **Sepoy Mutiny**, and the **Revolt of 1857**.

Although there had been earlier mutinies by the Company's Indian troops, for example in Vellore in 1806, the 1857 uprising was notable for its larger scale, for the nexus between the civilian and the military revolts, and for "the threat it posed for British power throughout northern India." The rebels soon captured large swaths of the Northwest Provinces and Oudh, including Delhi, where they installed the Mughal ruler, Bahadur Shah Zafar, as *Emperor of Hindustan*. However, the British response came rapidly as well: by September 1857, with help from fresh British reinforcements, Delhi had been retaken. It then took the better part of 1858 for the rebellion to be completely suppressed in Oudh.

Throughout this time, other regions of British India— Bengal, the Bombay Presidency, and the Madras Presidency—remained calm. In Punjab,

## Indian Rebellion of 1857

Part of Indian independence movement



An engraving titled *Sepoy Indian troops dividing the spoils after their mutiny against East India Company rule*

<b>Location</b>	India (cf. 1857) (/A/Image_Indian_revolt_of_1857_states_map_svg_from_the_Schools_Wikipedia.html)
<b>Result</b>	Rebellion Suppressed, End of Company Rule in India Control taken by the British Crown
<b>Territorial changes</b>	Indian Empire created out of former- East India Company territory, some land returned to native rulers, other land confiscated by the Crown.

### Belligerents

Rebellious East India Company Sepoys,  
7 Indian princely states,  
deposed rulers of the independent states of Oudh,  
Jhansi  
Some Indian civilians.

British Army  
 East India Company's Sepoys Native Irregulars and  
British regulars, British civilian volunteer's raised in  
Bengal presidency  
20 Princely states aiding the British including the  
independent states of Nepal, Kashmir as well as  
smaller states in region

### Commanders





only recently annexed by the East India Company, the Sikh princes collaborated with the British to provide both soldiers and support. The large princely states, Hyderabad, Mysore, Travancore, and Kashmir, as well as the smaller ones of Rajputana, by not joining the rebellion, served, in the Governor General Lord Canning's words, as "breakwaters in a storm" for the British.

<p>Nana Sahib Mirza Mughal Bakht Khan Rani Lakshmi Bai Tantya Tope</p>	<p>Commander-in-Chief, India: George Anson (to May 1857) Sir Patrick Grant Sir Colin Campbell from (August 1857) Jang Bahadur</p>
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The rebellion was notable in several ways: although the fighting was marked by great violence on the part of both warring parties, the rebel soldiers, both Hindu and Muslim, as well as their rural supporters displayed unusual religious amity towards each other; although the rebel leaders, especially the Rani of Jhansi, became folk heroes in the burgeoning nationalist movement half a century later, they themselves "generated no coherent ideology or programme on which to build a new order;" the rebellion ended the East India Company's rule, and led the British to rethink their enterprise in India. Company rule was replaced in 1858 with direct rule by the British Crown in the new British Raj, a system of governance which was to last the next 90 years, until 1947.

## Brief history of British expansion in India

The British East India Company won the power of *Diwani* in Bengal after winning the Battle of Plassey in 1757, under Robert Clive. Their victory in the Battle of Buxar in 1764 won them the Nizamat of Bengal as well. Following the Permanent Settlement of Bengal shortly thereafter, the Company began to vigorously expand its area of control in India.

In 1845 the Company managed to extend its control over Sindh province after the gruelling and bloody campaign of Charles Napier (of 'Peccavi' fame). In 1848 the Second Anglo-Sikh War took place and the Company gained control of the Punjab as well in 1849, after the British Indian Army won a hard-fought victory against the *Khalsa* Army. In 1853 Nana Sahib, the adopted son of Bajji Rao, the last Maratha Peshwa, was denied his father's titles and HEIC pension; which, according to Indian custom, some felt, should have been passed on to him.

In 1854 Berar was annexed as was the state of Awadh/Oudh two years later.

## Causes

The rebellion or the war for independence had diverse political, economic, military, religious, and social causes.

Much of the resistance to the British came from the old aristocracy, who were seeing their power steadily eroded under the British. The British had annexed several states under the Doctrine of Lapse, according to which land belonging to a feudal ruler became the property of the East India Company if on his death, the ruler did not leave a male heir through natural process. It had long been the custom for a childless landowner to adopt an heir, but the East India Company ignored this tradition. Nobility, feudal landholders, and royal armies found themselves unemployed and humiliated due to British expansionism. Even the jewels



of the royal family of Nagpur were publicly auctioned in Calcutta, a move that was seen as a sign of abject disrespect by the remnants of the Indian aristocracy. Lord Dalhousie, the Governor-General of India, had asked the Mughal emperor Bahadur Shah Zafar and his successors to leave the Red Fort, the palace in Delhi. Later, Lord Canning, the next governor-general of India, announced in 1856 that Bahadur Shah's successors would not even be allowed to use the title of 'king'. Such discourtesies were resented by the deposed Indian rulers.

Some Indians were unhappy with the rule of the British and perceived a project of westernisation to be taking place, that, however well-meaning they may have been, they believed were imposed without any regard for Indian tradition or culture. The outlawing of Sati (self-immolation by widows) and child marriage, which to some appeared to be a precursor to an imposition of Christianity, has also been put forward as a reason for the revolt.

The justice system was considered to be 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. Some 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 reorganised 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 consumer could purchase cheap clothing from Britain. Indigenous industry simply could not compete, and therefore adjusted according to principles of comparative advantage: 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. The extraordinary quantity of wealth thus collected by the British was absolutely critical in expanding public and private infrastructure in Britain and in financing British expansion elsewhere in Asia and Africa.

## The Bengal Army

Each of the three "Presidencies" into which the East India Company divided India for administrative purposes, maintained their own armies. Of these, the Army of the Bengal Presidency was the largest. Unlike the other two, it recruited heavily from among high-caste Hindus (and comparatively wealthy Muslims). The Muslims formed a larger percentage of the Irregular units within the Bengal army, whilst Hindus were mainly to be found in the regular units. The sepoys (the native Indian soldiers) were therefore affected to a large degree by the concerns of the landholding and traditional members of Indian society. In the early years of the Company rule, the British tolerated and even encouraged the caste privileges and customs within the Bengal Army, which recruited its regular soldiers almost exclusively amongst the landowning Bhumihar Brahmins and Rajputs of the Ganges Valley. By the time these customs and privileges came to be threatened by modernizing regimes in Calcutta from the 1840s onwards, the sepoys had become accustomed to very high ritual status, and were extremely sensitive to suggestions that their caste might be polluted..

The sepoys also gradually became dissatisfied with various other aspects of army life. Their pay was relatively low and after Awadh and the Punjab were annexed, the soldiers no longer received extra pay (*batta* or *bhatta*) for service there, because they were no longer considered "foreign missions". The junior



British officers were increasingly estranged from their soldiers, in many cases treating them as their racial inferiors. Officers of an evangelical persuasion in the Company's Army (such as Herbert Edwardes and Colonel S.G. Wheeler of the 34th Bengal Infantry) had taken to preaching to their Sepoys in the hope of converting them to Christianity. In 1856, a new Enlistment Act was introduced by the Company, which in theory made every unit in the Bengal Army liable to service overseas. (Although it was intended to apply to new recruits only, the Sepoys feared that the Act might be applied retrospectively to them also. It was argued that a high-caste Hindu who travelled in the cramped, squalid conditions of a troopship would find it impossible to avoid losing caste through ritual pollution.)

In 1857, the controversy over the new Pattern 1853 Enfield Rifle, in the eyes of many Sepoys, added substance to the alarming rumours circulating about their imminent forced conversion to Christianity. To load the new rifle, the sepoy had to bite the cartridge open. It was believed that the cartridges that were standard issue with the rifle were greased with lard (pork fat) which was regarded as unclean by Muslims, or tallow (beef fat), regarded as sacred to Hindus..

British officers first became aware of the impending trouble over the cartridges in January, when they received reports of an altercation between a high-caste sepoy and a low-caste labourer at Dum Dum. The labourer had taunted the sepoy that by biting the cartridge, he had himself lost caste, although at this time the Dum-Dum arsenal had not actually started to produce the new round, nor had a single practice shot fired. On January 27 Colonel Richard Birch (the Military Secretary) ordered that all cartridges issued from depots were to be free from grease, and that Sepoys could grease them themselves using whatever mixture 'they may prefer'. This however, merely caused many Sepoys to be convinced that the rumours were true and that their fears were justified. Around the same time a rumour circulated that the British were contaminating the flour issued to sepoy with ground down cow and pig bone..

## Onset of the Rebellion

Several months of increasing tension and inflammatory incidents preceded the actual rebellion. Fires, possibly the result of arson, broke out near Calcutta on 24 January 1857. On February 26, 1857 the 19th Bengal Native Infantry (BNI) regiment came to know about new cartridges and refused to use them. Their Colonel confronted them angrily with artillery and cavalry on the parade ground, but then accepted their demand to withdraw the artillery, and cancel the next morning's parade.

## Mangal Pandey



On March 29, 1857 at the Barrackpore (now *Barrackpur*) parade ground, near Calcutta, 29-year-old Mangal Pandey of the 34th BNI, angered by the recent actions by the British, declared that he would rebel against his commanders. When his adjutant Lt. Baugh came out to investigate the unrest, Pandey opened fire but hit his horse instead.

General John Hearsey came out to see him on the parade ground, and claimed later that Mangal Pandey was in some kind of "religious frenzy". He ordered a Jemadar Ishwari Prasad to arrest Mangal Pandey, but the Jemadar refused. The whole regiment with the single exception of a soldier called Shaikh Paltu drew back from restraining or arresting Mangal Pandey. Shaikh Paltu restrained Pandey from continuing his attack.

Mangal Pandey, after failing to incite his comrades into an open and active rebellion, tried to take his own life by placing his musket to his chest, and pulling the trigger with his toe. He only managed to wound himself, and was court-martialled on April 6. He was hanged on April 8.

The Jemadar Ishwari Prasad too was sentenced to death and hanged on April 22. The whole regiment was disbanded -- stripped of their uniforms because it was felt that they harboured ill-feelings towards their superiors, particularly after this incident. Shaikh Paltu was, however, promoted to the rank of Jemadar in the Bengal Army.

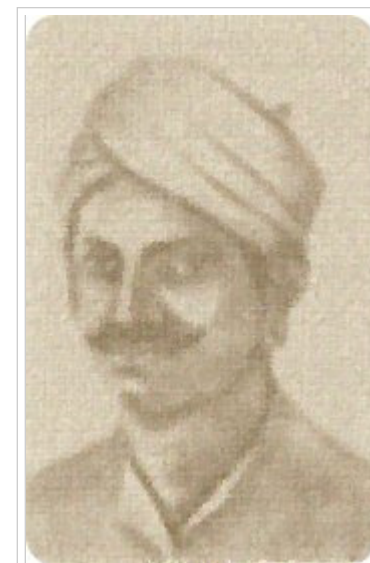
Sepoys in other regiments thought this a very harsh punishment. The show of disgrace while disbanding contributed to the extent of the rebellion in view of some historians, as disgruntled ex-sepoys returned home to Awadh with a desire to inflict revenge, as and when the opportunity arose.

April saw fires at Agra, Allahabad and Ambala. At Ambala in particular, which was a large military cantonment where several units had been collected for their annual musketry practice, it was clear to General Anson, Commander-in-Chief of the Bengal Army, that some sort of riot over the cartridges was imminent. Despite the objections of the Governor-General's staff, he agreed to postpone the musketry practice, and allow the new drill by which the soldiers tore the cartridges with their fingers rather than their teeth. Rather than remain at Ambala to defuse or overawe potential trouble, Anson then proceeded to Simla, the cool "hill station" where many high officials spent the summer.

Although there was no open revolt at Ambala, there was widespread incendiarism during late April. Barrack buildings (especially those belonging to soldiers who had used the Enfield cartridges) and European officers' bungalows were set on fire.

## Meerut and Delhi

At Meerut was another large military cantonment. Stationed there were 2,357 Indian sepoy and 2,038 British troops with 12 British-manned guns. Although the state of unrest within the Bengal Army was well known, on April 24, the unsympathetic commanding officer of the 3rd Bengal Light Cavalry ordered 90 of his men to parade and perform firing drills. All but 5 of the men on parade refused to accept their cartridges. On May 9, the remaining 85 men were court-martialled, and most were sentenced to 10 years' imprisonment with hard labour. Eleven comparatively young soldiers were given 5 years' imprisonment. The entire garrison was paraded and watched as the condemned men were stripped of their uniforms and placed in shackles. As they were marched off to jail, the



Mangal Pandey



condemned soldiers berated their comrades for failing to support them.

The next day was Sunday. Some Indian soldiers warned junior British officers that plans were afoot to release the imprisoned soldiers by force, but the senior officers took no action. There was also unrest in the city of Meerut itself, with angry protests in the bazaar and some buildings being set on fire.. In the evening, most British officers were preparing to attend Church, while many of the British soldiers were off duty and had gone into canteens or into the bazaar in Meerut. The Indian troops, led by the 3rd Cavalry, broke into revolt. British junior officers who attempted to quell the first outbreaks were killed by their own men. British officers' and civilians' quarters were attacked, and 4 civilian men, 8 women and 8 children died. Crowds in the bazaar also attacked the off-duty soldiers there. The sepoys freed their 85 imprisoned comrades from the jail, along with 800 other prisoners (debtors and criminals).

Some sepoys (especially from the 11th Bengal Native Infantry) escorted trusted British officers and women and children to safety before joining the revolt. Some officers and their families escaped to Rampur, where they found refuge with the Nawab. About 50 Indian civilians (some of whom were officers' servants who tried to defend or conceal their employers) were also killed by the sepoys.. Exaggerated tales of the number and manner of death of British who died during the uprising at Meerut were later to provide a pretext for British forces to commit extremely violent reprisals against innocent Indian civilians and rebellious sepoys alike during the later suppression of the Revolt.

The senior British officers, in particular Major General Hewitt, the commander of the division (who was nearly seventy years old and in poor health), were slow to react. The British troops (mainly the 1st Battalion of the 60th Rifles and two European-manned batteries of the Bengal Artillery) rallied, but received no orders to engage the rebels and could only guard their own headquarters and armouries. When, on the morning of May 11 they prepared to attack, they found Meerut was quiet and the rebels had marched off to Delhi.

That same morning, the first parties of the 3rd Cavalry reached Delhi. From beneath the windows of the King's apartments in the palace, they called on him to acknowledge and lead them. Bahadur Shah did nothing at this point, but others in the palace were quick to join the revolt. During the day, the revolt spread. British officials and dependents, Indian christians and shop keepers within the city were attacked, some by sepoys and others by crowds of rioters. Up to fifty were said to have been killed by some of the King's servants under a peepul tree in a courtyard outside the palace..

There were three battalions of Bengal Native Infantry stationed in or near the city. Some detachments quickly joined the rebellion, while others held back but also refused to obey orders to take action against the rebels. In the afternoon, a violent explosion in the city was heard for several miles. Fearing that the arsenal, which contained large stocks of arms and ammunition, would fall intact into rebel hands, the nine British Ordnance officers there had opened fire on the sepoys, including the men of their own guard. When resistance appeared hopeless, they blew up the arsenal. Although six of the nine officers survived, the blast killed many in the streets and nearby houses and other buildings. The news of these events finally tipped the sepoys stationed around Delhi into open rebellion. The sepoys were later able to salvage at least some arms from the arsenal, and a magazine two miles outside Delhi, containing up to 3,000 barrels of gunpowder, was captured without resistance.

Many fugitive British officers and civilians had congregated at the Flagstaff Tower on the ridge north of Delhi, where telegraph operators were sending news of the events to other British stations. When it became clear that no help could arrive, they made their way in carriages to Karnal. Those who became separated from the main body or who could not reach the Flagstaff Tower also set out for Karnal on foot. Some were helped by villagers on the way, others were robbed or murdered.



The next day, Bahadur Shah held his first formal court for many years. It was attended by many excited or unruly sepoys. The King was alarmed by the turn events had taken, but eventually accepted the sepoys' allegiance and agreed to give his countenance to the rebellion.

## Support and opposition

The rebellion now spread beyond the armed forces, but it did not result in a complete popular uprising across India. The Indian side was not completely unified. While Bahadur Shah Zafar was restored to the imperial throne there was a faction that wanted the Maratha rulers to be enthroned as well, and the Awadhis wanted to retain the powers that their Nawab used to have.

The war was mainly centred in northern and central areas of India. Delhi, Lucknow, Cawnpore, Jhansi, Bareilly, Arrah and Jagdishpur were the main centres of conflict. The Bhojpurias of Arrah and Jagdishpur supported the Marathas. The Marathas, Rohillas and the Awadhis supported Bahadur Shah Zafar and were against the British.

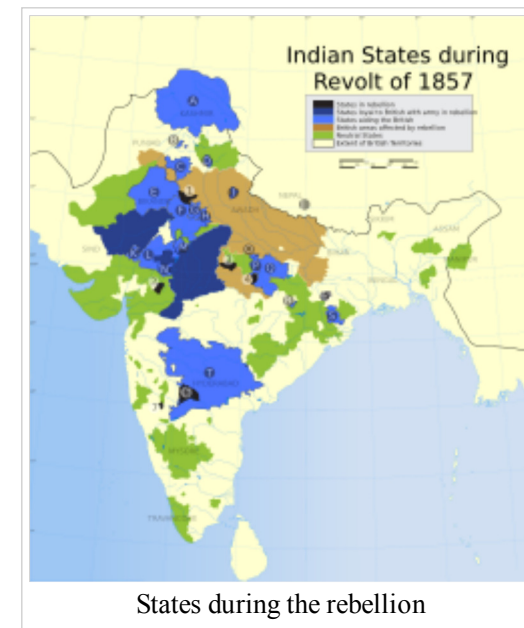
There were calls for jihad by Muslim leaders like Maulana Fazl-e-Haq Khairabadi including the millenarian Ahmedullah Shah, taken up by the Muslims, particularly Muslim artisans, which caused the British to think that the Muslims were the main force behind this event. In Awadh, Sunni Muslims did not want to see a return to Shiite rule, so they often refused to join what they perceived to be a Shia rebellion. However, some Muslims like the Aga Khan supported the British. The British rewarded him by formally recognizing his title. The Mughal emperor, Bahadur Shah, resisted these calls because, it has been suggested, he feared outbreaks of communal violence.

In Thana Bhawan, the Sunnis declared Haji Imdadullah their Ameer. In May 1857 the Battle of Shamli took place between the forces of Haji Imdadullah and the British.

The Sikhs and Pathans of the Punjab and North-West Frontier Province supported the British and helped in the capture of Delhi. Some historians have suggested that the Sikhs wanted to avenge the annexation of Punjab 8 years earlier by the British with the help of Purbhais (Bengalis and Marathis - Easterners) who helped the British.

In 1857, the Bengal Army had 12,000 British, 16,000 Punjabi and 1,500 Gurkha soldiers (Out of a total of (for the three Indian armies) 311,000 native troops (of which a total of 86,000 men were in the Bengal army) and 40,160 European troops (as well as 5,362 Officers) . Fifty-four of the Bengal Army's seventy-five regular Native Infantry Regiments rebelled, although some were immediately destroyed or broke up with their sepoys drifting away to their homes. Almost all the remainder were disarmed or disbanded to prevent or forestall rebellions. All ten of the Bengal Light Cavalry regiments rebelled.

The Bengal Army also included twenty-nine Irregular Cavalry and forty-two Irregular Infantry regiments. These included a substantial contingent from the recently annexed state of Awadh, which rebelled *en masse*. Another large contingent from Gwalior also rebelled, even though that state's ruler remained allied to the British. The remainder of the Irregular units were raised from a wide variety of sources and were less affected by the concerns of mainstream Indian





society. Three bodies in particular actively supported the British; three Gurkha and five (of six) Sikh infantry units, and the six infantry and six cavalry units of the recently-raised Punjab Irregular Force.

On April 1, 1858, the number of Indian soldiers loyal (within the Bengal army) to the British was 80,053. This total however, included a large number of soldiers hastily raised in the Punjab and North-West Frontier after the outbreak of the Rebellion.

The Bombay army had three mutinies in its 29 regiments whilst the Madras army had no mutinies though elements of one of its 52 regiments refused to volunteer for service in Bengal.

Most of southern India remained passive with only sporadic and haphazard outbreaks of violence. Most of the states did not take part in the war as many parts of the region were ruled by the Nizams or the Mysore royalty and were thus not directly under British rule.

## The Revolt

### Initial stages

Bahadur Shah Zafar proclaimed himself the Emperor of the whole of India. Most contemporary and modern accounts however suggest that he was coerced by the sepoys and his courtiers - against his own will - to sign the proclamation. The civilians, nobility and other dignitaries took the oath of allegiance to the Emperor. The Emperor issued coins in his name, one of the oldest ways of asserting Imperial status, and his name was added to the Khutbah, the acceptance by Muslims that he is their King. This proclamation, however, turned the Sikhs of Punjab away from the rebellion, as they did not want to return to Islamic rule, having fought many wars against the Mughal rulers.

The province of Bengal was quiet throughout the entire period. At that time, Bengal was the province where the British had implemented many of their 'modernizing' concepts, and it had many intellectuals who were well educated and aware of what was going on around the world.

Initially, the Indian soldiers were able to significantly push back Company forces, and captured several important towns in Haryana, Bihar, Central Provinces and the United Provinces. When the British were reinforced and began to counterattack, the sepoys who mutinied were especially handicapped by their lack of a centralised command and control system. Although they produced some natural leaders such as Bakht Khan (whom the Emperor later nominated as commander-in-chief after his son Mirza Mughal proved ineffectual), for the most part they were forced to look for leadership to rajahs and princes. Some of these were to prove dedicated leaders, but others were self-interested or inept.

Rao Tularam of Haryana along with Pran Sukh Yadav fought with the British Army at Nasibpur and then went to collect arms from Russia which had just been in a war with the British in the Crimea, but he died on the way. When a tribal leader from Peshawar sent a letter offering help, the king replied that he should not come to Delhi because the treasury was empty and the army had become uncontrollable.

### Delhi

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The British were slow to strike back at first. It would take time for troops stationed in Britain to make their way to India by sea, although some regiments moved overland through Persia from the Crimean War, and some regiments already *en route* for China were diverted to India.

It took time to organise the British troops already in India into field forces, but eventually two columns left Meerut and Simla. They proceeded slowly towards Delhi and fought, killed, and hanged numerous Indians along the way. Eventually, two months after the first outbreak of rebellion at Meerut, the two forces met near Karnal. The combined force (which included two Gurkha units serving in the Bengal Army under contract from the Kingdom of Nepal), fought the main army of the rebels at Badli-ke-Serai and drove them back to Delhi.

The British established a base on the Delhi ridge to the north of the city and the Siege of Delhi began. The siege lasted roughly from July 1 to September 21. However, the encirclement was hardly complete, and for much of the siege the British were outnumbered and it often seemed that it was the British and not Delhi that was under siege, and the rebels could easily receive resources and reinforcements. For several weeks, it seemed that disease, exhaustion and continuous sorties by rebels from Delhi would force the British to withdraw, but the outbreaks of rebellion in the Punjab were forestalled or suppressed, allowing the Punjab Movable Column of British, Sikh and Pakhtun soldiers under John Nicholson to reinforce the besiegers on the Ridge on August 14.

An eagerly-awaited heavy siege train also joined the besieging force, and from September 7, the siege guns battered breaches in the walls and silenced the rebels' artillery. An attempt to storm the city through the breaches and the Kashmiri gate was launched on September 14. The attackers gained a foothold within the city but suffered heavy casualties, including John Nicholson. The British commander wished to withdraw, but was persuaded to hold on by his junior officers. After a week of street fighting, the British reached the Red Fort. Bahadur Shah had already fled to Humayun's tomb. The British had retaken the city.

The troops of the besieging force proceeded to loot and pillage the city. A large number of the citizens were butchered in retaliation for the Europeans and Indian 'collaborators' that had been slaughtered by the rebel sepoys. Artillery was set up in the main mosque in the city and the neighbourhoods within the range of artillery were bombarded. These included the homes of the Muslim nobility from all over India, and contained innumerable cultural, artistic, literary and monetary riches. An example would be the loss of most of the works of Mirza Asadullah Khan Ghalib, thought of as the greatest Indian poet of that era.

The British soon arrested Bahadur Shah, and the next day British officer William Hodson shot his sons Mirza Mughal, Mirza Khizr Sultan, and grandson Mirza Abu Bakr under his own authority at the Khooni Darwaza (the bloody gate) near Delhi Gate. Their heads were reportedly presented to Bahadur Shah the next day.

Shortly after the fall of Delhi, the victorious attackers organised a column which relieved another besieged British force in Agra, and then pressed on to Cawnpore, which had also recently been recaptured. This gave the British a continuous, although still tenuous, line of communication from the east to west of India.

## **Cawnpore (Kanpur)**





In June, sepoys under General Wheeler in Cawnpore, (now known as Kanpur) rebelled and besieged the European entrenchment. Wheeler was not only a veteran and respected soldier, but also married to a high-caste Indian lady. He had relied on his own prestige, and his cordial relations with the Nana Sahib to thwart rebellion, and took comparatively few measures to prepare fortifications and lay in supplies and ammunition.

The British endured three weeks of the Siege of Cawnpore with little water or food, suffering continuous casualties to men, women and children. On June 25 Nana Sahib offered fairly generous surrender terms, and Wheeler had little choice but to accept. The Nana Sahib agreed to let them have safe passage to Allahabad but on June 27 when the British left their fortified barrack buildings to board the promised riverboats, firing broke out. Who fired first has remained a matter of debate.

The Indians claim that the British had already boarded the boats and Taty Tope raised his right hand to signal their departure. That very moment someone from the crowd blew a loud bugle which created disorder and in the ongoing bewilderment, the boatmen jumped off the boats. British soldiers and officers still had their arms and ammunition and they fired shots at these boatmen. The rebels lost all patience and started shooting indiscriminately. Nana Sahib, who was momentarily staying in Savada Kothi ( Bungalow) nearby, got the message and immediately came to stop it. The remaining men were, however, killed to ensure no further unrest.

The British claim that during the march to the boats, loyal sepoys were removed by the mutineers and lynched along with any British officer or soldier that attempted to help them, although these attacks were ignored in an attempt to reach the boats safely. After firing began the boats' pilots fled, setting fire to the boats, and the rebellious sepoys opened fire on the British soldiers and civilians. One boat with over a dozen wounded men initially escaped, but later grounded, was caught by mutineers and pushed back down the river towards the carnage at Cawnpore. The female occupants were removed and taken away as hostages and the men, including the wounded and elderly, were hastily put against a wall and shot. Only four men eventually escaped alive from Cawnpore on one of the boats: two privates (both of whom died later during the Rebellion), a Lieutenant, and Captain Mowbray Thomson, who wrote a firsthand account of his experiences entitled *The Story of Cawnpore* (London) 1859.

The surviving women and children from the massacre by the river were led to the Bibi-Ghar (the House of the Ladies) in Cawnpore. On the July 15, with British forces approaching Cawnpore and some believing that they would not advance if there were no hostages to save, their murders were ordered. Another motive for these killings was to ensure that no information was leaked to the British after the fall of Cawnpore. Other historians have suggested that the killings were an attempt to undermine Nana Sahib's relationship with the British. After the sepoys refused to carry out this order, Two Muslim Butchers, Two Hindu Peasants and one of Nana body guards went into the Bibi-Ghar where they proceeded to kill the hostages with Tulwars . The dead and the dying were then thrown down a nearby well.

The killing of the women and children proved to be a mistake. The British public was aghast and the pro-Indian proponents lost all their support. Cawnpore became a war cry for the British and their allies for the rest of the conflict. The Nana Sahib disappeared near the end of the Rebellion and it is not known what



A memorial erected (circa 1860) by the British after the Mutiny was crushed at the Bibi Ghar Well. After India's independence the statue was moved to the Memorial Church, Cawnpore. Albumen silver print by Samuel Bourne, 1860.



happened to him.

Other British accounts state that indiscriminate punitive measures were taken in early June, two weeks before the murders at the Bibi-Ghar (but after those at both Merrut and Delhi), specifically by Lieutenant Colonel James George Smith Neill of the Madras Fusiliers (a European unit), commanding at Allahabad while moving towards Cawnpore. At the nearby town of Fatehpur, it was alleged that a mob had murdered the local British population. On this pretext, Neill explicitly ordered all villages beside the Grand Trunk Road to be burned, and their inhabitants to be hanged. Neill's methods were "ruthless and horrible" and may well have induced previously undecided sepoys and communities to revolt.

Neill was killed in action at Lucknow on September 26 and was never called to account for his punitive measures, though contemporary British sources lionised Neill and his "gallant blue caps". By contrast with the actions of soldiers under Neill, the behaviour of most rebel soldiers was creditable. "Our creed does not permit us to kill a bound prisoner", one of the matchlockmen explained, "though we can slay our enemy in battle."

When the British retook Cawnpore later, the soldiers took their sepoy prisoners to the Bibi-Ghar and forced them to lick the bloodstains from the walls and floor. They then hanged or "blew from the cannon" the majority of the sepoy prisoners. Although some claimed the sepoys took no actual part in the killings themselves, they did not act to stop it and this was acknowledged by Captain Thompson after the British departed Cawnpore for a second time.

## Lucknow

Very soon after the events in Meerut, rebellion erupted in the state of Awadh (also known as Oudh, in modern-day Uttar Pradesh), which had been annexed barely a year before. The British Commissioner resident at Lucknow, Sir Henry Lawrence, had enough time to fortify his position inside the Residency compound. The British forces numbered some 1700 men, including loyal sepoys. The rebels' initial assaults were unsuccessful, and so they began a barrage of artillery and musket fire into the compound. Lawrence was one of the first casualties. The rebels tried to breach the walls with explosives and bypass them via underground tunnels that led to underground close combat. After 90 days of siege, numbers of British were reduced to 300 loyal sepoys, 350 British soldiers and 550 non-combatants.

On September 25 a relief column under the command of Sir Henry Havelock and accompanied by Sir James Outram (who in theory was his superior) fought its way from Cawnpore to Lucknow in a brief campaign in which the numerically small column defeated rebel forces in a series of increasingly large battles. This became known as 'The First Relief of Lucknow', as this force was not strong enough to break the siege or extricate themselves, and so was forced to join the garrison. In October another, larger, army under the new Commander-in-Chief, Sir Colin Campbell, was finally able to relieve the garrison and on the November 18, they evacuated the defended enclave within the city, the women and children leaving first. They then conducted an orderly withdrawal to Cawnpore, where they defeated an attempt by Taty Tope to recapture the city in the Second Battle of Cawnpore.



*Secundra Bagh after the slaughter of 2,000 Rebels by the 93rd Highlanders and 4th Punjab Regiment. Albumen silver print by Felice Beato, 1858.*



Early in 1858, Campbell once again advanced on Lucknow with a large army, this time seeking to suppress the rebellion in Awadh. He was aided by a large Nepalese contingent advancing from the north under Jang Bahadur, who decided to side with the British in December 1857. Campbell's advance was slow and methodical, and drove the large but disorganised rebel army from Lucknow with few casualties to his own troops. This nevertheless allowed large numbers of the rebels to disperse into Awadh, and Campbell was forced to spend the summer and autumn dealing with scattered pockets of resistance while losing men to heat, disease and guerilla actions.

## Jhansi

Jhansi was a Maratha-ruled princely state in Bundelkhand. When the Raja of Jhansi died without a male heir in 1853, it was annexed to the British Raj by the Governor-General of India under the Doctrine of lapse. His widow, Rani Lakshmi Bai, protested that she had not been allowed to adopt a successor, as per Indian custom.

When war broke out, Jhansi quickly became a centre of the rebellion. A small group of British officials and their families took refuge in Jhansi's fort, and the Rani negotiated their evacuation. However, when they left the fort, they were massacred by the rebels. Although the treachery might have occurred without the Rani's consent, the British suspected her of complicity, despite her protestations of innocence.

By the end of June 1857, the British had entirely lost control of much of Bundelkhand and eastern Rajasthan. The Bengal Army units in the area, having rebelled, marched to take part in the battles for Delhi and Cawnpore. The many princely states which made up this area began warring amongst themselves. In September and October 1857, the Rani led the successful defence of Jhansi against the invading armies of the neighbouring rajas of Datia and Orchha.

In March 1858, the Central India Field Force, led by Sir Hugh Rose, advanced on and laid siege to Jhansi. The British captured the city, but the Rani fled in disguise.

After being driven from Jhansi and Kalpi, on June 1, 1858 Rani Lakshmi Bai and a group of Maratha rebels captured the fortress city of Gwalior from the Scindia rulers, who were British allies. This might have reinvigorated the rebellion but the Central India Field Force very quickly advanced against the city. The Rani died on June 17, the second day of the Battle of Gwalior probably killed by a carbine shot from the 8th Hussars, according to the account of three independent Indian representatives. The British recaptured Gwalior within the next three days. In descriptions of the scene of her last battle, she was compared to Joan Of Arc by some commentators.

## Punjab

What was then referred to by the British as the Punjab was in fact a very large administrative division, centred on Lahore. It included not only the present-day Indian and Pakistani Punjabi regions but also the North West Frontier districts bordering Afghanistan.

Much of the region had been the Sikh kingdom, ruled by Ranjit Singh until his death in 1839. The kingdom had then fallen into disorder, with court factions and the Khalsa (the Sikh army) contending for power at the Lahore Durbar (court). After two Anglo-Sikh Wars, the entire region was annexed by the East India



Company in 1849. In 1857, the region still contained the highest numbers of both British and Indian troops.

The inhabitants of the Punjab were not as sympathetic to the sepoys as they were the areas from which many of them were raised, which limited many of the outbreaks to disjointed uprisings by regiments of sepoys isolated from each other. In some garrisons, notably Ferozepore, indecision on the part of the senior British officers allowed the sepoys to rebel, but the sepoys then left the area, mostly heading for Delhi. At the most important garrison, that of Peshawar close to the Afghan frontier, many comparatively junior officers ignored their nominal commander (the elderly General Reed) and took decisive action. They intercepted the sepoys' mail, thus preventing their coordinating an uprising, and formed a force known as the "Punjab Movable Column" to move rapidly to suppress any revolts as they occurred. When it became clear from the intercepted correspondence that some of the sepoys at Peshawar were on the point of open revolt, the four most disaffected Bengal Native regiments were disarmed by the two British infantry regiments in the cantonment, backed by artillery, on May 22. This decisive act induced many local chieftains to side with the British.

Some regiments in frontier garrisons subsequently rebelled, but became isolated among hostile Pakhtun villages and tribes. There were several mass executions, amounting to several hundred, of sepoys from units which rebelled or who deserted in the Punjab and North West Frontier provinces during June and July. The British had been recruiting irregular units from Sikh and Pakhtun communities even before the first unrest among the Bengal units, and the numbers of these were greatly increased during the Rebellion.

At one stage, faced with the need to send troops to reinforce the besiegers of Delhi, the Commissioner of the Punjab suggested handing the coveted prize of Peshawar to Dost Mohammed Khan of Afghanistan in return for a pledge of friendship. The British Agents in Peshawar and the adjacent districts were horrified. Referring to the massacre of a retreating British army in 1840, Herbert Edwardes wrote, "Dost Mahomed would not be a mortal Afghan ... if he did not assume our day to be gone in India and follow after us as an enemy. Europeans cannot retreat - Kabul would come again." In the event, Lord Canning insisted on Peshawar being held, and Dost Mohammed, whose relations with Britain had been equivocal for over twenty years, remained neutral.

The final large-scale military uprising in the Punjab took place on July 9, when most of a brigade of sepoys at Sialkot rebelled and began to move to Delhi. They were intercepted by John Nicholson with an equal British force as they tried to cross the Ravi River. After fighting steadily but unsuccessfully for several hours, the sepoys tried to fall back across the river but became trapped on an island. Three days later, Nicholson annihilated the 1100 trapped sepoys in the Battle of Trimmu Ghat.

In the countryside of the Punjab, Mohar Singh, a Khalsa army veteran, declared openly in Bahadur Shah Zafar's favour, going so far as to declare a Khalsa-Mughal Raj in Ropar. It has been argued by some Indian historians that only the cis-Sutlej Sikhs (from the area east of the River Chenab, outside the original Sikh kingdom) supported the British; but even so, in 1858 at Dera Ismail Khan in present-day Pakistan, the 10th Sikh Infantry revolted -- British officers and Patiala, Nabha, Jind rulers state on record that they could not trust their soldiers, and that even cis-Sutlej Sikhs were 'getting excited by news from Awadh and the Hindustani areas.'

Jhelum



Jhelum in Punjab was also a centre of resistance against the British. Here 35 British soldiers of HM XXIV regiment died on 7 July 1857. To commemorate this victory St. John's Church Jhelum was built and the names of those 35 British soldiers are carved on a marble lectern present in that church.

## Murree and Hazara

The War against the British reached Murree and the Southern Areas of Hazara part of which is now known as Circle Bakote in July 1857 when the Dhond Abbasi leader Sardar Sherbaz Khan planned to attack the British. Sardar Khan had managed to obtain the backing of the following important tribal leaders.

1. Satti leader Sardar Borha Khan
2. Karhal leader Sardar Hasan Ali Khan
3. Sardar Lalli Khan and Mian Abdul Aziz of Birote
4. Sardar Resham Khan of Ponch Kashmir

However the revolt did not succeed. The rebels were betrayed and as punishment, all of Sardar Sherbaz Khan's eight sons were blasted (by cannon fire) in Murree while Sardar Khan himself was hanged. The masterminds of this plan of independence were two Seyed brothers from Dhoke Syedan of Dewal Sharif. Not everyone had been against British rule, before British rule had been established in this area, the tribes had fought against the Sikh army. Under the command of the Pir of Plasi they had fought against the Sikh Army in Balakot - the troops here were commanded by Seyed Shah Ismail Shahid and Syed Ahmad Shaheed (known as the martyrs). Pir of Dewal Sharif late Abdul Majid Ahmed grandfather had also embraced martyrdom in Dewal fighting against Sikhs army chief Hari Singh Nalwa. Nalwa's troops had brutally crushed the tribes of Circle Bakote and beheaded many of them. The British, after battling in Rawalpindi in 1845 had captured Rani Jindan, the widow of Ranjit Singh (the former Ruler of Punjab) - this then caused the collapse of Sikh rule, when the British marched into the Murree area all the local tribes initially welcomed them with roses. Within a short space of time, many of the tribes then felt they had exchanged one form occupation for another one, and it was events elsewhere in India which encouraged the uprising. However the British had recruited many of the tribes in this area into their army, for example in this area large numbers of the Satti Tribe were recruited as Sepoys into the British Army and the British commanders (like elsewhere across Colonial India) won this war largely by the use of native infantry.

## Rest of India

The Rohillas centred in Bareilly were also very active in the war and this area was amongst the last to be recaptured by the British, after Campbell had finally quelled resistance in Awadh.

The rebellion in [Bihar] and the districts around Benares was also finally overcome about the same time. In the early days of the rebellion, British control was quickly lost, but the Bengal Army units stationed in the area broke up and dispersed to their homes. The area was largely bypassed by the British as they concentrated on Awadh. Eventually, following the recapture of Lucknow, the scattered bands of rebels were suppressed and British authority reimposed.



Marble Lectern in memory of 35 British soldiers in Jhelum



Within the Bombay Presidency, there were uprisings among Bombay army units in Kolhapur, Satara, Karachi, Bombay, Aurangabad, Nasirabad, and Ahmedabad, and the Maharashtra-Gujarat-Karnataka risings. One Hindu and one Muslim sepoy were blown apart from a cannon's mouth, in what today stands as Mumbai's Azad Maidan. The mutinies in the Bombay Army were nevertheless quickly put down, and two two regiments were disbanded.

During the 1858 Konkan-West Coast guerrilla fight, which stretched from Raigad and Ratnagiri to Savantwadi, and then onto Udupi and Mangalore, Mahar, Maratha, Kannada and Tulu warriors fought shoulder to shoulder. Nearly every Indian district, whether in the UP-Bihar-MP belt, or Orissa, or Assam-Bengal, or West India, also shows a pattern of 'one Hindu, one Muslim' martyr.

In Maharashtra, Pathans and Arabs figure prominently in the 1857 Khandesh (Nasik-Jalgaon-Dhule) struggles launched by Bhils and Kolis. In Karnataka, the Gulbarga, Dharwar, Raichur risings saw Lingayat-Ramoshi-Maratha-Muslim participation.

In Ayodhya, at the site where the Babri Masjid was demolished, Mahant Ramdas and Maulavi Amir Ali, as well as Shambhu Prasad Shukla and Achchan Khan, two religious Hindus and two religious Muslims, were hanged side by side.

It is commonly states that the Madras army and the Madras Presidency was bereft of risings, yet in Madras, at a place called Vaniyambadi, full of Labbai Muslims, the 8th Madras Cavalry rose. Elsewhere, led by Thevar-Vellala sepoys. Then in Vellore, in 1858, Madras army sepoys killed their British officers.

In the Andhra-Telangana country, Girijan tribes of the coastal-Godavery belt rose under a Reddi leader and a Muslim-Pathan ex-soldier; in Adibalad and Warangal, and Cuddapah and Nellore in Rayalseema, Pathans and Sheikhs formed a small army with Gond and Kapu help.

In Kerala, Moplah agitators, helped by Ezhavas, the Kerala scheduled castes, and Namboodri Brahmins, staged risings in the Malabar region.

## Aftermath

The Crown awarded 182 of the newly instituted Victoria Cross to soldiers who had fought in India during the period of the rebellion; the Crimean War gained 111 in a similar period.

## Retaliation — "The Devil's Wind"



From the end of 1857, the British had begun to gain ground again. Lucknow was retaken in March 1858. On 8 July 1858, a peace treaty was signed and the war ended. The last rebels were defeated in Gwalior on 20 June 1858. By 1859, rebel leaders Bakht Khan and Nana Sahib had either been slain or had fled. As well as hanging mutineers, the British had some "blown from cannon"; an old Mughal (also "Mogul" in English) punishment adopted many years before in India. A method of execution midway between firing squad and hanging but more demonstrative; sentenced rebels were set before the mouth of cannons and blown to pieces. It was a crude and brutal war, with both sides resorting to what would now be described as war crimes. In the end, however, in terms of sheer numbers, the casualties were significantly higher on the Indian side. A letter published after the fall of Delhi in the "Bombay Telegraph" and subsequently reproduced in the British press testified to the scale and nature of the retaliation:

.... All the city people found within the walls (of the city of Delhi) when our troops entered were bayoneted on the spot, and the number was considerable, as you may suppose, when I tell you that in some houses forty and fifty people were hiding. These were not mutineers but residents of the city, who trusted to our well-known mild rule for pardon. I am glad to say they were disappointed.

Another brief letter from General Montgomery to Captain Hodson, the conqueror of Delhi exposes how the British military high command approved of the cold blooded massacre of Delhites: "All honour to you for catching the king and slaying his sons. I hope you will bag many more!"

Another comment on the conduct of the British soldiers after the fall of Delhi is of Captain Hodson himself in his book, *Twelve years in India*: "With all my love for the army, I must confess, the conduct of professed Christians, on this occasion, was one of the most humiliating facts connected with the siege." (Hodson was killed during the recapture of Lucknow in early 1858).

Edward Vibart, a nineteen year-old officer, also recorded his experience:

It was literally murder... I have seen many bloody and awful sights lately but such a one as I witnessed yesterday I pray I never see again. The women were all spared but their screams on seeing their husbands and sons butchered, were most painful... Heaven knows I feel no pity, but when some old grey bearded man is brought and shot before your very eyes, hard must be that man's heart I think who can look on with indifference...

The British adopted a policy of "no prisoners", a policy which was enforced by means of massacre and mass executions. One officer, Thomas Lowe, later remembered how on one occasion his unit had taken 76 prisoners (they were just too tired to carry on killing and needed a rest, he recalled). Later, after a quick trial, the prisoners were all lined up with a British soldier standing a couple of yards in front of them. On the order "fire", they were all simultaneously shot, "swept... from their earthly existence". This was not the only mass execution Lowe participated in. On another occasion his unit took 149 prisoners, and once again they were lined up and all simultaneously shot.

As a result, the end of the war was followed by the execution of a vast majority of combatants from the Indian side as well as large numbers of civilians perceived to be sympathetic to the rebel cause. The British press and British government did not advocate clemency of any kind, though Governor General Canning tried to be sympathetic to native sensibilities, earning the scornful sobriquet "Clemency Canning". Soldiers took very few prisoners and often executed them later. Whole villages were wiped out for apparent pro-rebel sympathies. The Indians called this retaliation "the Devil's Wind."



*British soldiers looting Qaisar Bagh, Lucknow, after its recapture (steel engraving, late 1850s)*



To the steady beat of drums, the captured rebels were first stripped of their uniforms and then tied to cannons, their bellies pushed hard against the gaping mouths of the big guns. The order to fire was given. With an enormous roar, all the cannons burst into life at once, generating a cloud of black smoke that snaked into the summer sky. When the smoke cleared, there was nothing left of the rebels' bodies except their arms, still tied to the cannons, and their blackened heads, which landed with a soft thud on the baking parade ground. It was a terrible way to die and a terrible sight to witness.

British historian Saul David, author of *The Indian Mutiny*, reckoned that the death toll ran into "hundreds of thousands".

## Reorganisation

Bahadur Shah was tried for treason by a military commission assembled at Delhi, and exiled to Rangoon where he died in 1862, finally bringing the Mughal dynasty to an end. In 1877 Queen Victoria took the title of Empress of India on the advice of her Prime Minister, Benjamin Disraeli.

The rebellion saw the end of the British East India Company's rule in India. In August, by the Government of India Act 1858, the company was formally dissolved and its ruling powers over India were transferred to the British Crown. A new British government department, the India Office, was created to handle the governance of India, and its head, the Secretary of State for India, was entrusted with formulating Indian policy. The Governor-General of India gained a new title ( Viceroy of India), and implemented the policies devised by the India Office. The British colonial administration embarked on a program of reform, trying to integrate Indian higher castes and rulers into the government and abolishing attempts at Westernization. The Viceroy stopped land grabs, decreed religious tolerance and admitted Indians into civil service, albeit mainly as subordinates.

Essentially the old East India Company bureaucracy remained, though there was a major shift in attitudes. In looking for the causes of the Mutiny the authorities alighted on two things: religion and the economy. On religion it was felt that there had been too much interference with indigenous traditions, both Hindu and Muslim. On the economy it was now believed that the previous attempts by the Company to introduce free market competition had undermined traditional power structures and bonds of loyalty, placing the peasantry at the mercy of merchants and money-lenders. In consequence the new British Raj was constructed in part around a conservative agenda, based on a preservation of tradition and hierarchy.

On a political level it was also felt that the previous lack of consultation between rulers and ruled had been yet another significant factor in contributing to the uprising. In consequence, Indians were drawn into government at a local level. Though this was on a limited scale a crucial precedent had been set, with the creation of a new 'white collar' Indian elite, further stimulated by the opening of universities at Calcutta, Bombay and Madras, a result of the Indian Universities Act. So, alongside the values of traditional and ancient India, a new professional middle class was starting to arise, in no way bound by the values of the past. Their ambition can only have been stimulated by Victoria's Proclamation of November 1858, in which it is expressly stated that "We hold ourselves bound to the natives of our Indian territories by the same obligations of duty which bind us to our other subjects...it is our further will that... our subjects of whatever race or creed, be freely and impartially admitted to offices in our service, the duties of which they may be qualified by their education, ability and integrity, duly to discharge."

Acting on these sentiments, Lord Ripon, vice-roy from 1880 to 1885, extended the powers of local self-government and sought to remove racial practices in the

Image: Bahadur Shah Zafar.jpg  
Bahadur Shah Zafar exiled in Rangoon. Photograph by Robert Tytler and Charles Shepherd, May 1858.





law courts by the Ilbert Bill. But a policy at once liberal and progressive at one turn was reactionary and backward at the next, creating new elites and confirming old attitudes. The Ilbert Bill only had the effect of causing a White Mutiny, and the end of the prospect of perfect equality before the law. In 1886 measures were adopted, moreover, to restrict Indian entry into the civil service.

Militarily, the rebellion transformed both the "native" and European armies of British India. The British increased the ratio of British to Indian soldiers. Regiments which had remained loyal to the British were retained, and the number of Gurkha units, which had been crucial in the Delhi campaign, was increased. The inefficiencies of the old organisation, which had estranged sepoys from their British officers, were addressed, and the post-1857 units were mainly organised on the "irregular" system. (Before the rebellion, Bengal Infantry units had 26 British officers, who held every position of authority down to the second-in-command of each company. In irregular units, there were only six or seven or even fewer British officers, who associated themselves far more closely with their soldiers, while more trust and responsibility was given to the Indian officers.) Most new units were raised from among the so-called " Martial Races", which were not part of mainstream Indian culture. Sepoy artillery was abolished also, leaving all artillery (except some small detachments of mountain guns) in British hands. The post-rebellion changes formed the basis of the military organisation of British India until the early twentieth century.

## Debate about name

There is no agreed name for the events of this period,

- In India it has often been termed as the "War of Independence of 1857" or "First War of Independence" but it is not uncommon for people to continue to use terms such as the Sepoy Mutiny.
- In the UK, it is commonly called the "Indian Mutiny", but other terms such as "Great Indian Mutiny", the "Sepoy Mutiny", the "Sepoy Rebellion", the "Sepoy War", the "Great Mutiny", the "Rebellion of 1857", the "Mahomedan Rebellion" and the "Revolt of 1857" have also been used.

“ A number of dispossessed dynasts, both Hindu and Muslim, exploited the well-founded caste-suspensions of the sepoys and made these simple folk their cat's paw in gamble for recovering their thrones. The last scions of the Delhi Mughals or the Oudh Nawabs and the Peshwa, can by no ingenuity be called fighters for Indian freedom ”

“ In the light of the available evidence, we are forced to the conclusion that the uprising of 1857 was not the result of careful planning, nor were there any master-minds behind it. As I read about the events of 1857, I am forced to the conclusion that the Indian national character had sunk very low. The leaders of the revolt could never agree. They were mutually jealous and continually intrigued against one another. ... In fact these personal jealousies and intrigues were largely responsible for the Indian defeat. ”

— Maulana Abul Kalam Azad

William Dalrymple, in his recent work on the event, *The Last Mughal*, refers to it as "the Uprising".

The use of the term "Indian Mutiny" is considered by some historians and Indian politicians as unacceptable and offensive, as it is perceived to belittle what



they see as a "First War of Independence" and therefore reflecting a biased, imperialistic attitude of the erstwhile colonists.

For example, in October, 2006, the Speaker of the Lok Sabha, the lower house of Indian Parliament said:

“ The War of 1857 was undoubtedly an epoch-making event in India’s struggle for freedom. For what the British sought to deride as a mere sepoy mutiny was India’s First War of Independence in a very true sense, when people from all walks of life, irrespective of their caste, creed, religion and language, rose against the British rule. ”

— Chatterjee, Somnath - Office of the Speaker of the Lok Sabha

Some politicians from Punjab however doubt this interpretation of events. A recent complication has emerged in that some Sikhs claim that the First Anglo-Sikh War (1845) should be called the first war of Indian independence.

## Debate about character

Historians remain divided on whether the rebellion can properly be considered a war of Indian independence or not, although it is popularly considered to be one in India. Arguments against include:

- A united India did not exist at that time in political terms;
- The rebellion was put down with the help of other Indian soldiers drawn from the Madras Army, the Bombay Army and the Sikh regiments, 80% of the British forces were Indian ;
- Many of the local rulers fought amongst themselves rather than uniting against the British, and in one or two cases revolts occurred in areas not under British rule as a result of local politics;
- Many rebel Sepoy regiments disbanded and went home rather than fight;
- Not all of the rebels accepted the return of the Moghuls.
- The revolt was fractured along religious, ethnic and regional lines.

“ "the demon of communalism also raised its head. The Muslims spat over the Hindus and openly defiled their houses by sprinkling them with cows' blood and placing cows' bones within the compounds. Concrete instances are given where Hindu Sepoy came into clash with Muslim hooligans and a complete riot ensued. The Hindus, oppressed by the Muslims, were depressed at the success of the Mutiny, and daily offered prayers to God for the return of "the English." ”

A second school of thought while acknowledging the validity of the above-mentioned arguments opines that this rebellion may indeed be called a war of India's independence. The reasons advanced are:

- Even though the rebellion had various causes (e.g. Sepoy grievances, British high-handedness, the Doctrine of Lapse etc.), most of the rebel sepoys set out to revive the old Mughal empire, that signified a national symbol for them, instead of heading home or joining services of their regional principalities,



- which would not have been unreasonable if their revolt were only inspired by grievances;
- There was a widespread popular revolt in many areas such as Awadh, Bundelkhand and Rohilkhand. The rebellion was therefore more than just a military rebellion, and it spanned more than one region;
- The sepoys did not seek to revive small kingdoms in their regions, instead they repeatedly proclaimed a "country-wide rule" of the Moghuls and vowed to drive out the British from "India", as they knew it then. (The sepoys ignored local princes and proclaimed in cities they took over: **Khalq Khuda Ki, Mulk Badshah Ka, Hukm Subahdar Sipahi Bahadur Ka** - i.e. the world belongs to God, the country to the Emperor and executive powers to the Sepoy Commandant in the city). The objective of driving out "foreigners" from not only one's own area but from their conception of the entirety of "India", signifies a nationalist sentiment;
- The troops of the Bengal Army were used extensively in warfare by the British and had therefore travelled extensively across the Indian subcontinent, leading them perhaps to develop some notion of a nation-state called India. They displayed for the first time in this rebellion, some contemporary British accounts (Malleon) suggest, patriotic sentiments in the modern sense.

Besides this, a contemporary British chronicler, Thomas Lowe, in Central India during the rebellion, wrote in 1860: "To live in India, now, was like standing on the verge of a volcanic crater, the sides of which were fast crumbling away from our feet, while the boiling lava was ready to erupt and consume us." Further, he exclaimed: "The infanticide Rajput, the bigoted Brahmin, the fanatic Mussalman, had joined together in the cause; cow-killer and the cow-worshipper, the pig-hater and the pig-eater... had revolted together."

In short, we may summarise the discussion in following terms.

1. If the criterion of a National War of Independence is set as "a war (or numerous conflicts) spread all over the nation **cutting across regional lines**", the rebellion in that case does not qualify as a war of India's independence.
2. If the criterion for a National War of Independence is set as "a war, which even if geographically confined to certain regions, is waged with the **intention of driving out from the complete national area a power perceived to be foreign**", then it was a war of national independence.

This discussion shows that the term "national war" is subject to individual opinions and cannot be answered decisively.

## In popular culture

The Government of India celebrated 2007 as the 150<sup>th</sup> anniversary of what Indians term as "India's First War of Independence". In the Union Budget of 2007, an amount of Rs. 10 crore was set aside for the celebration. The (British) National Army Museum in London mounted a display to mark the 150<sup>th</sup> anniversary on 10 May, 2007 and also has an ongoing online exhibition called "India Rising".

- The 2005 Bollywood film *Mangal Pandey: The Rising* is set immediately prior to the outbreak of the Rebellion.



The hanging of two participants in the Indian Rebellion of 1857. Albumen silver print by Felice Beato, 1858



- The 1981 Bollywood film *Kranti* is set during these times.
- The 1978 Bollywood film *Junoon* was set in 1857.
- In the 1984 Hollywood film *Indiana Jones and the Temple of Doom*, the Rebellion is referenced by Captain Philip Blumburttt while discussing the Thuggees at a dinner hosted by the Maharajah of the fictitious princely state of Pankot
- The film *King of the Khyber Rifles* is set during this time (although the book is set during World War I).
- The book *Flashman in the Great Game* (5th book in the Flashman series) is a historical novel by George MacDonald Fraser set in India during the rebellion and involves many of the locations and persons involved.
- The episode of the ITV TV series *The Adventures of Sherlock Holmes* The Sign of Four is set in (in a flash back) but mainly after the Mutiny and revolves around the fate of loot from the conflict.
- The novel *Nightrunners of Bengal* by John Masters is set during the rebellion.
- The novel *The Siege of Krishnapur* by J.G. Farrell shows three facets of the rebellion - the British, the Sepoys and the Indian princes.
- The game *Age of Empires 3: The Asian Dynasties* uses the rebellion as basis for one of its campaigns.

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# Industrial Revolution

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The **Industrial Revolution** was a period in the late 18th and early 19th centuries when major changes in agriculture, manufacturing, and transportation had a profound effect on the socioeconomic and cultural conditions in Britain. The changes subsequently spread throughout Europe and North America and eventually the world, a process that continues as industrialisation. The onset of the Industrial Revolution marked a major turning point in human society; almost every aspect of daily life was eventually influenced in some way. In the later part of the 1700s the manual labour-based economy of some parts of Great Britain began to be replaced by one dominated by the manufacture by machinery. It started with the mechanisation of the textile industries, the development of iron-making techniques and the increased use of refined coal. Trade expansion was enabled by the introduction of canals, improved roads and railways. The introduction of steam power (fuelled primarily by coal) and powered machinery (mainly in textile manufacturing) underpinned the dramatic increases in production capacity. The development of all-metal machine tools in the first two decades of the 19th century facilitated the manufacture of more production machines for manufacturing in other industries. The effects spread throughout Western Europe and North America during the 19th century, eventually affecting most of the world. The impact of this change on society was enormous.

The First Industrial Revolution, which began in the eighteenth century, merged into the Second Industrial Revolution around 1850, when technological and economic progress gained momentum with the development of steam-powered ships, railways, and later in the nineteenth century with the internal combustion engine and electrical power generation.

The period of time covered by the Industrial Revolution varies with different historians. Eric Hobsbawm held that it 'broke out' in the 1780s and was not fully felt until the 1830s or 1840s, while T. S. Ashton held that it occurred roughly between 1760 and 1830. Some twentieth century historians such as John Clapham and Nicholas Crafts have argued that the process of economic and social change took place gradually and the term *revolution* is not a true description of what took place. This is still a subject of debate amongst historians.

GDP per capita was broadly stable before the Industrial Revolution and the emergence of the modern capitalist economy. The Industrial Revolution began an era of per-capita economic growth in capitalist economies.

## Causes

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A Watt steam engine, the steam engine that propelled the Industrial Revolution in Britain and the world.



The causes of the Industrial Revolution were complicated and remain a topic for debate, with some historians feeling the Revolution as an outgrowth of social and institutional changes brought by the end of feudalism in Britain after the English Civil War in the 17th century. As national border controls became more effective, the spread of disease was lessened, therefore preventing the epidemics common in previous times. The percentage of children who lived past infancy rose significantly, leading to a larger workforce. The Enclosure movement and the British Agricultural Revolution made food production more efficient and less labour-intensive, forcing the surplus population who could no longer find employment in agriculture into cottage industry, for example weaving, and in the longer term into the cities and the newly developed factories. The colonial expansion of the 17th century with the accompanying development of international trade, creation of financial markets and accumulation of capital are also cited as factors, as is the scientific revolution of the 17th century.

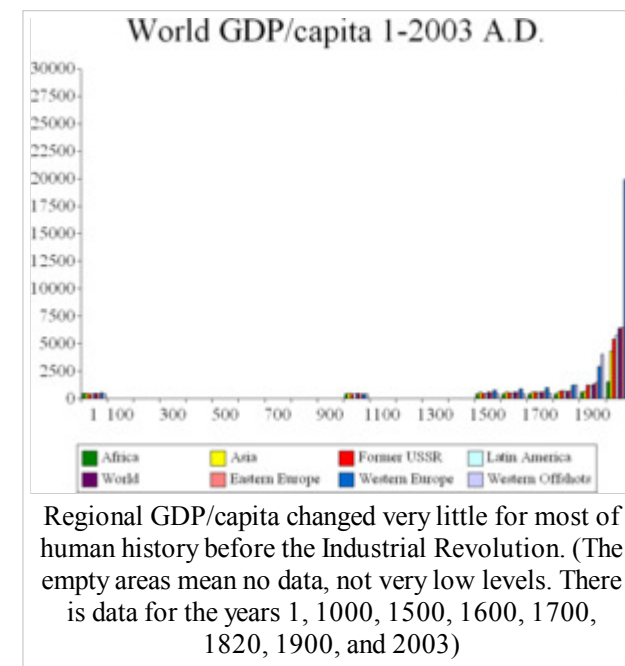
Technological innovation was the heart of the Industrial Revolution and the key enabling technology was the invention and improvement of the steam engine.

Historian Lewis Mumford has proposed that the Industrial Revolution had its origins in the early Middle Ages, much earlier than most estimates. He explains that the model for standardised mass production was the printing press and that "the archetypal model for the industrial era was the clock". He also cites the monastic emphasis on order and time-keeping, as well as the fact that mediaeval cities had at their centre a church with bell ringing at regular intervals as being necessary precursors to a greater synchronisation necessary for later, more physical, manifestations such as the steam engine.

The presence of a large domestic market should also be considered an important driver of the Industrial Revolution, particularly explaining why it occurred in Britain. In other nations, such as France, markets were split up by local regions, which often imposed tolls and tariffs on goods traded amongst them.

Governments' grant of limited monopolies to inventors under a developing patent system (the Statute of Monopolies 1623) is considered an influential factor. The effects of patents, both good and ill, on the development of industrialisation are clearly illustrated in the history of the steam engine, the key enabling technology. In return for publicly revealing the workings of an invention the patent system rewards inventors by allowing, e.g. James Watt to monopolise the production of the first steam engines, thereby enabling inventors and increasing the pace of technological development. However, monopolies bring with them their own inefficiencies which may counterbalance, or even overbalance, the beneficial effects of publicising ingenuity and rewarding inventors. Watt's monopoly may have prevented other inventors, such as Richard Trevithick, William Murdoch or Jonathan Hornblower, from introducing improved steam engines thereby retarding the industrial revolution by up to 20 years.

## Causes for occurrence in Europe





One question of active interest to historians is why the industrial revolution occurred in Europe and not in other parts of the world in the 18th century, particularly China, India, and the Middle East, or at other times like in Classical Antiquity or the Middle Ages. Numerous factors have been suggested, including ecology, government, and culture.

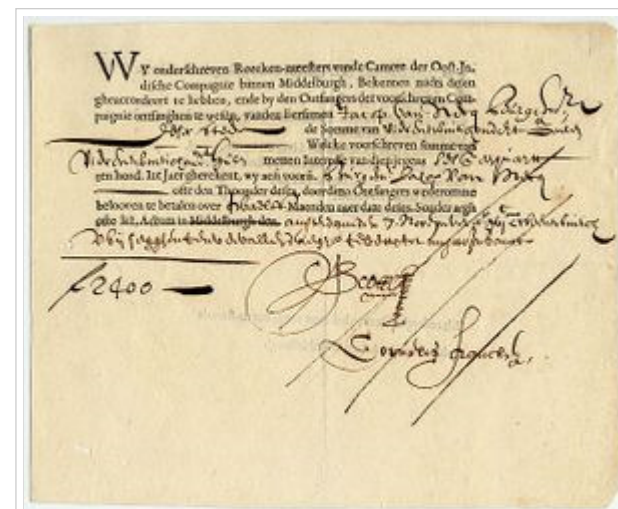
Benjamin Elman argues that China was in a high level equilibrium trap in which the non-industrial methods were efficient enough to prevent use of industrial methods with high costs of capital. Kenneth Pomeranz, in the *Great Divergence*, argues that Europe and China were remarkably similar in 1700, and that the crucial differences which created the Industrial Revolution in Europe were sources of coal near manufacturing centres, and raw materials such as food and wood from the New World, which allowed Europe to expand economically in a way that China could not.

However, most historians contest the assertion that Europe and China were roughly equal because modern estimates of per capita income on Western Europe in the late 18th century are of roughly 1,500 dollars in purchasing power parity (and Britain had a per capita income of nearly 2,000 dollars) whereas China, by comparison, had only 450 dollars. Also, the average interest rate was about 5% in Britain and over 30% in China, which illustrates how capital was much more abundant in Britain; capital that was available for investment.

Some historians such as David Landes and Max Weber credit the different belief systems in China and Europe with dictating where the revolution occurred. The religion and beliefs of Europe were largely products of Judaeo-Christianity, and Greek thought. Conversely, Chinese society was founded on men like Confucius, Mencius, Han Feizi ( Legalism), Lao Tzu (Taoism), and Buddha (Buddhism). The key difference between these belief systems was that those from Europe focused on the individual, while Chinese beliefs centred around relationships between people. The family unit was more important than the individual for the large majority of Chinese history, and this may have played a role in why the Industrial Revolution took much longer to occur in China. There was the additional difference as to whether people looked backwards to a reputedly glorious past for answers to their questions or looked hopefully to the future. Furthermore, Western European peoples had experienced the Renaissance, Reformation and Enlightenment; other parts of the world had not had a similar intellectual breakout, a condition that holds true even into the 21st century.

Regarding India, the Marxist historian Rajani Palme Dutt said: "The capital to finance the Industrial Revolution in India instead went into financing the Industrial Revolution in England." In contrast to China, India was split up into many competing kingdoms, with the three major ones being the Marathas, Sikhs and the Mughals. In addition, the economy was highly dependent on two sectors—agriculture of subsistence and cotton, and technical innovation was non-existent. The vast amounts of wealth were stored away in palace treasuries, and as such, were easily moved to Britain.

## Causes for occurrence in Britain



A 1623 Dutch East India Company bond.  
European 17th century colonial expansion, international trade, and creation of financial markets produced a new legal and financial environment, one which supported and enabled 18th century industrial growth.



The debate about the start of the Industrial Revolution also concerns the massive lead that Great Britain had over other countries. Some have stressed the importance of natural or financial resources that Britain received from its many overseas colonies or that profits from the British slave trade between Africa and the Caribbean helped fuel industrial investment. It has been pointed out, however, that slavery provided only 5% of the British national income during the years of the Industrial Revolution.

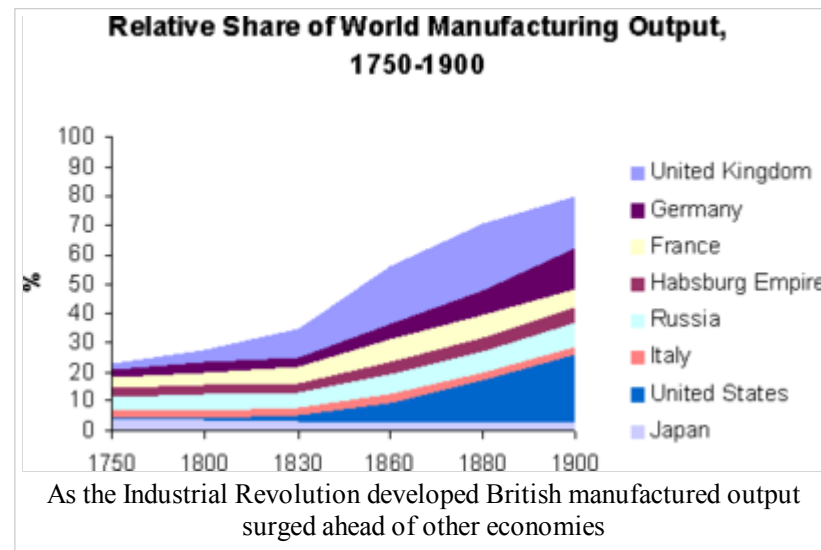
Alternatively, the greater liberalisation of trade from a large merchant base may have allowed Britain to produce and use emerging scientific and technological developments more effectively than countries with stronger monarchies, particularly China and Russia. Britain emerged from the Napoleonic Wars as the only European nation not ravaged by financial plunder and economic collapse, and possessing the only merchant fleet of any useful size (European merchant fleets having been destroyed during the war by the Royal Navy). Britain's extensive exporting cottage industries also ensured markets were already available for many early forms of manufactured goods. The conflict resulted in most British warfare being conducted overseas, reducing the devastating effects of territorial conquest that affected much of Europe. This was further aided by Britain's geographical position — an island separated from the rest of mainland Europe.

Another theory is that Britain was able to succeed in the Industrial Revolution due to the availability of key resources it possessed. It had a dense population for its small geographical size. Enclosure of common land and the related Agricultural Revolution made a supply of this labour readily available. There was also a local coincidence of natural resources in the North of England, the English Midlands, South Wales and the Scottish Lowlands. Local supplies of coal, iron, lead, copper, tin, limestone and water power, resulted in excellent conditions for the development and expansion of industry. Also, the damp, mild weather conditions of the North West of England provided ideal conditions for the spinning of cotton, providing a natural starting point for the birth of the textiles industry.

The stable political situation in Britain from around 1688, and British society's greater receptiveness to change (compared with other European countries) can also be said to be factors favouring the Industrial Revolution. In large part due to the Enclosure movement, the peasantry was destroyed as significant source of resistance to industrialisation, and the landed upper classes developed commercial interests that made them pioneers in removing obstacles to the growth of capitalism. (This point is also made in Hilaire Belloc's *The Servile State*.)

### Protestant work ethic

Another theory is that the British advance was due to the presence of an entrepreneurial class which believed in progress, technology and hard work. The existence of this class is often linked to the Protestant work ethic (see Max Weber) and the particular status of the Baptists and the dissenting Protestant sects, such as the Quakers and Presbyterians that had flourished with the English Civil War. Reinforcement of confidence in the rule of law, which followed establishment of the prototype of constitutional monarchy in Britain in the Glorious Revolution of 1688, and the emergence of a stable financial market there based on the management of the national debt by the Bank of England, contributed to the capacity for, and interest in, private financial investment in industrial







ventures.

Dissenters found themselves barred or discouraged from almost all public offices, as well as education at England's only two universities at the time (although dissenters were still free to study at Scotland's four universities). When the restoration of the monarchy took place and membership in the official Anglican Church became mandatory due to the Test Act, they thereupon became active in banking, manufacturing and education. The Unitarians, in particular, were very involved in education, by running Dissenting Academies, where, in contrast to the universities of Oxford and Cambridge and schools such as Eton and Harrow, much attention was given to mathematics and the sciences —areas of scholarship vital to the development of manufacturing technologies.

Historians sometimes consider this social factor to be extremely important, along with the nature of the national economies involved. While members of these sects were excluded from certain circles of the government, they were considered fellow Protestants, to a limited extent, by many in the middle class, such as traditional financiers or other businessmen. Given this relative tolerance and the supply of capital, the natural outlet for the more enterprising members of these sects would be to seek new opportunities in the technologies created in the wake of the scientific revolution of the 17th century.

## Innovations

The commencement of the Industrial Revolution is closely linked to a small number of innovations, made in the second half of the 18th century:

- **Textiles** - Cotton spinning using Richard Arkwright's water frame, James Hargreaves's Spinning Jenny, and Samuel Crompton's Spinning Mule (a combination of the Spinning Jenny and the Water Frame). This was patented in 1769 and so came out of patent in 1783. The end of the patent was rapidly followed by the erection of many cotton mills. Similar technology was subsequently applied to spinning worsted yarn for various textiles and flax for linen.
- **Steam power** - The improved steam engine invented by James Watt was initially mainly used for pumping out mines, but from the 1780s was applied to power machines. This enabled rapid development of efficient semi-automated factories on a previously unimaginable scale in places where waterpower was not available.
- **Iron founding** - In the Iron industry, coke was finally applied to all stages of iron smelting, replacing charcoal. This had been achieved much earlier for lead and copper as well as for producing pig iron in a blast furnace, but the second stage in the production of bar iron depended on the use of potting and stamping (for which a patent expired in 1786) or puddling (patented by Henry Cort in 1783 and 1784).



The only surviving example of a Spinning Mule built by the inventor Samuel Crompton

These represent three 'leading sectors', in which there were key innovations, which allowed the economic take off by which the Industrial Revolution is usually defined. This is not to belittle many other inventions, particularly in the textile industry. Without some earlier ones, such as spinning jenny and flying shuttle in the textile industry and the smelting of pig iron with coke, these achievements might have been impossible. Later inventions such as the power loom and Richard Trevithick's high pressure steam engine were also important in the growing industrialisation of Britain. The application of steam engines to powering cotton mills and ironworks enabled these to be built in places that were most convenient because other resources were available, rather than where there was water to power a mill.



In the textile sector, such mills became the model for the organisation of human labour in factories, epitomised by Cottonopolis, the name given to the vast collection of cotton mills, factories and administration offices based in Manchester. The assembly line system greatly improved efficiency, both in this and other industries. With a series of men trained to do a single task on a product, then having it moved along to the next worker, the number of finished goods also rose significantly.

Also important was the 1756 rediscovery of concrete (based on hydraulic lime mortar) by the British engineer John Smeaton, which had been lost for 13 centuries.

## Transfer of knowledge

Knowledge of new innovation was spread by several means. Workers who were trained in the technique might move to another employer or might be poached. A common method was for someone to make a study tour, gathering information where he could. During the whole of the Industrial Revolution and for the century before, all European countries and America engaged in study-touring; some nations, like Sweden and France, even trained civil servants or technicians to undertake it as a matter of state policy. In other countries, notably Britain and America, this practice was carried out by individual manufacturers anxious to improve their own methods. Study tours were common then, as now, as was the keeping of travel diaries. Records made by industrialists and technicians of the period are an incomparable source of information about their methods.

Another means for the spread of innovation was by the network of informal philosophical societies, like the Lunar Society of Birmingham, in which members met to discuss 'natural philosophy' (*i.e.* science) and often its application to manufacturing. The Lunar Society flourished from 1765 to 1809, and it has been said of them, "They were, if you like, the revolutionary committee of that most far reaching of all the eighteenth century revolutions, the Industrial Revolution". Other such societies published volumes of proceedings and transactions. For example, the London-based Royal Society of Arts published an illustrated volume of new inventions, as well as papers about them in its annual *Transactions*.

There were publications describing technology. Encyclopaedias such as Harris's *Lexicon Technicum* (1704) and Dr Abraham Rees's *Cyclopaedia* (1802-1819) contain much of value. *Cyclopaedia* contains an enormous amount of information about the science and technology of the first half of the Industrial Revolution, very well illustrated by fine engravings. Foreign printed sources such as the *Descriptions des Arts et Métiers* and Diderot's *Encyclopédie* explained foreign methods with fine engraved plates.

Periodical publications about manufacturing and technology began to appear in the last decade of the 18th century, and many regularly included notice of the latest patents. Foreign periodicals, such as the *Annales des Mines*, published accounts of travels made by French engineers who observed British methods on study tours.

## Technological developments in Britain

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A Philosopher Lecturing on the Orrery (ca. 1766)

Informal philosophical societies spread scientific advances



## Textile manufacture

In the early 18th century, British textile manufacture was based on wool which was processed by individual artisans, doing the spinning and weaving on their own premises. This system is called a cottage industry. Flax and cotton were also used for fine materials, but the processing was difficult because of the pre-processing needed, and thus goods in these materials made only a small proportion of the output.

Use of the spinning wheel and hand loom restricted the production capacity of the industry, but incremental advances increased productivity to the extent that manufactured cotton goods became the dominant British export by the early decades of the 19th century. India was displaced as the premier supplier of cotton goods.

Lewis Paul patented the Roller Spinning machine and the flyer-and-bobbin system for drawing wool to a more even thickness, developed with the help of John Wyatt in Birmingham. Paul and Wyatt opened a mill in Birmingham which used their new rolling machine powered by a donkey. In 1743, a factory was opened in Northampton with fifty spindles on each of five of Paul and Wyatt's machines. This operated until about 1764. A similar mill was built by Daniel Bourn in Leominster, but this burnt down. Both Lewis Paul and Daniel Bourn patented carding machines in 1748. Using two sets of rollers that travelled at different speeds, it was later used in the first cotton spinning mill. Lewis's invention was later developed and improved by Richard Arkwright in his water frame and Samuel Crompton in his spinning mule.

Other inventors increased the efficiency of the individual steps of spinning (carding, twisting and spinning, and rolling) so that the supply of yarn increased greatly, which fed a weaving industry that was advancing with improvements to shuttles and the loom or 'frame'. The output of an individual labourer increased dramatically, with the effect that the new machines were seen as a threat to employment, and early innovators were attacked and their inventions destroyed.

To capitalise upon these advances, it took a class of entrepreneurs, of which the most famous is Richard Arkwright. He is credited with a list of inventions, but these were actually developed by people such as Thomas Highs and John Kay; Arkwright nurtured the inventors, patented the ideas, financed the initiatives, and protected the machines. He created the cotton mill which brought the production processes together in a factory, and he developed the use of power — first horse power and then water power — which made cotton manufacture a mechanised industry. Before long steam power was applied to drive textile machinery.

## Metallurgy



Model of the spinning jenny in a museum in Wuppertal, Germany. The spinning jenny was one of the innovations that started the revolution



The major change in the metal industries during the era of the Industrial Revolution was the replacement of organic fuels based on wood with fossil fuel based on coal. Much of this happened somewhat before the Industrial Revolution, based on innovations by Sir Clement Clerke and others from 1678, using coal reverberatory furnaces known as cupolas. These were operated by the flames, which contained carbon monoxide, playing on the ore and reducing the oxide to metal. This has the advantage that impurities (such as sulphur) in the coal do not migrate into the metal. This technology was applied to lead from 1678 and to copper from 1687. It was also applied to iron foundry work in the 1690s, but in this case the reverberatory furnace was known as an air furnace. The foundry cupola is a different (and later) innovation.

This was followed by Abraham Darby, who made great strides using coke to fuel his blast furnaces at Coalbrookdale in 1709. However, the coke pig iron he made was used mostly for the production of cast iron goods such as pots and kettles. He had the advantage over his rivals in that his pots, cast by his patented process, were thinner and cheaper than theirs. Coke pig iron was hardly used to produce bar iron in forges until the mid 1750s, when his son Abraham Darby II built Horsehay and Ketley furnaces (not far from Coalbrookdale). By then, coke pig iron was cheaper than charcoal pig iron.

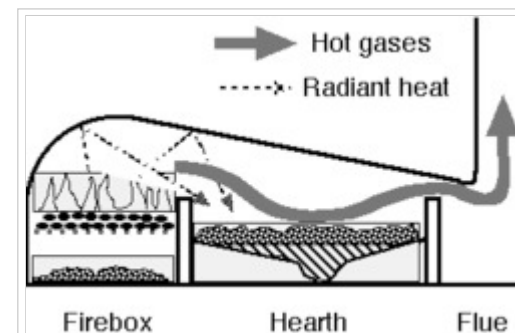
Bar iron for smiths to forge into consumer goods was still made in finery forges, as it long had been. However, new processes were adopted in the ensuing years. The first is referred to today as potting and stamping, but this was superseded by Henry Cort's puddling process. From 1785, perhaps because the improved version of potting and stamping was about to come out of patent, a great expansion in the output of the British iron industry began. The new processes did not depend on the use of charcoal at all and were therefore not limited by charcoal sources.

Up to that time, British iron manufacturers had used considerable amounts of imported iron to supplement native supplies. This came principally from Sweden from the mid 17th century and later also from Russia from the end of the 1720s. However, from 1785, imports decreased because of the new iron making technology, and Britain became an exporter of bar iron as well as manufactured wrought iron consumer goods.

Since iron was becoming cheaper and more plentiful, it also became a major structural material following the building of the innovative The Iron Bridge in 1778 by Abraham Darby III.



Coalbrookdale by Night, 1801, Philipp Jakob Loutherbourg the Younger  
Blast furnaces light the iron making town of Coalbrookdale



The Reverberatory Furnace could produce wrought iron using mined coal. The burning coal remained separate from the iron ore and so did not contaminate the iron with impurities like sulphur. This opened the way to increased iron production.



The Iron Bridge

An improvement was made in the production of steel, which was an expensive commodity and used only where iron would not do, such as for the cutting edge of tools and for springs. Benjamin Huntsman developed his crucible steel technique in the 1740s. The raw material for this was blister steel, made by the cementation process.

The supply of cheaper iron and steel aided the development of boilers and steam engines, and eventually railways. Improvements in machine tools allowed better working of iron and steel and further boosted the industrial growth of Britain.

### **Mining**

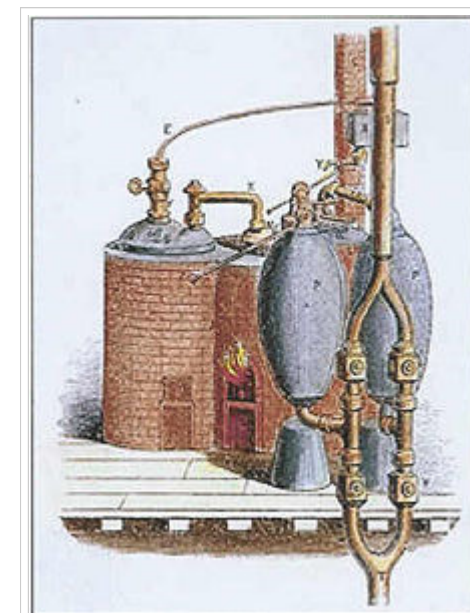
Coal mining in Britain, particularly in South Wales started early. Before the steam engine, pits were often shallow bell pits following a seam of coal along the surface, which were abandoned as the coal was extracted. In other cases, if the geology was favourable, the coal was mined by means of an adit or drift mine driven into the side of a hill. Shaft mining was done in some areas, but the limiting factor was the problem of removing water. It could be done by hauling buckets of water up the shaft or to a sough (a tunnel driven into a hill to drain a mine). In either case, the water had to be discharged into a stream or ditch at a level where it could flow away by gravity. The introduction of the steam engine greatly facilitated the removal of water and enabled shafts to be made deeper, enabling more coal to be extracted. These were developments that had begun before the Industrial Revolution, but the adoption of James Watt's more efficient steam engine from the 1770s reduced the fuel costs of engines, making mines more profitable. Coal mining was very dangerous owing to the presence of firedamp in many coal seams. Some degree of safety was provided by the safety lamp which was invented in 1816 by Sir Humphrey Davy and independently by George Stephenson. However, the lamps proved a false dawn because they became unsafe very quickly and provided a weak light. Firedamp explosions continued, often setting off coal dust explosions, so casualties grew during the entire nineteenth century. Conditions of work were very poor, with a high casualty rate from rock falls.

### **Steam power**

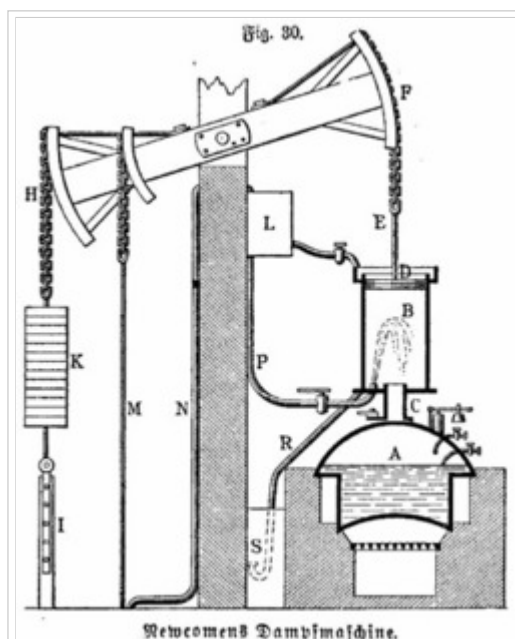


The development of the stationary steam engine was an essential early element of the Industrial Revolution; however, for most of the period of the Industrial Revolution, the majority of industries still relied on wind and water power as well as horse and man-power for driving small machines.

The first real attempt at industrial use of steam power was due to Thomas Savery in 1698. He constructed and patented in London a low-lift combined vacuum and pressure water pump, that generated about one horsepower (hp) and was used as in numerous water works and tried in a few mines (hence its "brand name", *The miner's Friend*), but it was not a success since it was limited in pumping height and prone to boiler explosions.



The 1698 **Savery Engine** - the world's first engine built by Thomas Savery as based on the designs of Denis Papin.



Newcomen's steam powered atmospheric engine was the first practical engine. Subsequent steam engines were to power the Industrial Revolution

The first safe and successful steam power plant was introduced by Thomas Newcomen from 1719. Newcomen apparently conceived his machine quite independently of Savery, but as the latter had taken out a very wide-ranging patent, Newcomen and his associates were obliged to come to an arrangement with him, marketing the engine until 1733 under a joint patent. Newcomen's engine appears to have been based on Papin's experiments carried out 30 years earlier, and employed a piston and cylinder, one end of which was open to the atmosphere above the piston. Steam just above atmospheric pressure (all that the boiler could stand) was introduced into the lower half of the cylinder beneath the piston during the gravity-induced upstroke; the steam was then condensed by a jet of cold water injected into the steam space to produce a partial vacuum; the pressure differential between the atmosphere and the vacuum on either side of the piston displaced it downwards into the cylinder, raising the opposite end of a rocking beam to which was attached a gang of gravity-actuated reciprocating force pumps housed in the mineshaft. The engine's downward power stroke raised the pump, priming it and preparing the pumping stroke. At first the phases were controlled by hand, but within ten years an escapement mechanism had been devised worked by of a vertical *plug tree* suspended from the rocking beam which rendered the engine self-acting.

A number of Newcomen engines were successfully put to use in Britain for draining hitherto unworkable deep mines, with the engine on the surface; these were large machines, requiring a lot of capital to build, and produced about 5 hp (3.7 kW). They were extremely inefficient by modern standards, but when located where coal was cheap

at pit heads, opened up a great expansion in coal mining by allowing mines to go deeper. Despite their disadvantages, Newcomen engines were reliable and easy to maintain and continued to be used in the coalfields until the early decades of the nineteenth century. By 1729, when Newcomen died, his engines had spread (first) to Hungary in 1722, Germany, Austria, and Sweden. A total of 110 are known to have been built by 1733 when the joint patent expired, of which 14 were abroad. In the 1770s, the engineer John Smeaton built some very large examples and introduced a number of improvements. A total of 1,454 engines had been built by 1800.



A fundamental change in working principles was brought about by James Watt. With the close collaboration Matthew Boulton, he had succeeded by 1778 in perfecting his steam engine, which incorporated a series of radical improvements, notably the closing off of the upper part of the cylinder thereby making the low pressure steam drive the top of the piston instead of the atmosphere, use of a steam jacket and the celebrated separate steam condenser chamber. All this meant that a more constant temperature could be maintained in the cylinder and that engine efficiency no longer varied according to atmospheric conditions. These improvements increased engine efficiency by a factor of about five, saving 75% on coal costs.

Nor could the atmospheric engine be easily adapted to drive a rotating wheel, although Wasborough and Pickard did succeed in doing so towards 1780. However by 1783 the more economical Watt steam engine had been fully developed into a double-acting rotative type, which meant that it could be used to directly drive the rotary machinery of a factory or mill. Both of Watt's basic engine types were commercially very successful, and by 1800, the firm Boulton & Watt had constructed 496 engines, with 164 driving reciprocating pumps, 24 serving blast furnaces, and 308 powering mill machinery; most of the engines generated from 5 to 10 hp (7.5 kW).

The development of machine tools, such as the lathe, planing and shaping machines powered by these engines, enabled all the metal parts of the engines to be easily and accurately cut and in turn made it possible to build larger and more powerful engines.

Until about 1800, the most common pattern of steam engine was the beam engine, built as an integral part of a stone or brick engine-house, but soon various patterns of self-contained portable engines (readily removable, but not on wheels) were developed, such as the table engine. Towards the turn of the 19th century, the Cornish engineer Richard Trevithick, and the American, Oliver Evans began to construct higher pressure non-condensing steam engines, exhausting against the atmosphere. This allowed an engine and boiler to be combined into a single unit compact enough to be used on mobile road and rail locomotives and steam boats.

In the early 19th century after the expiration of Watt's patent, the steam engine underwent many improvements by a host of inventors and engineers.

## Chemicals



James Watt



The large scale production of chemicals was an important development during the Industrial Revolution. The first of these was the production of sulphuric acid by the lead chamber process invented by the Englishman John Roebuck (James Watt's first partner) in 1746. He was able to greatly increase the scale of the manufacture by replacing the relatively expensive glass vessels formerly used with larger, less expensive chambers made of riveted sheets of lead. Instead of a few pounds at a time, he was able to make a hundred pounds (45 kg) or so at a time in each of the chambers.

The production of an alkali on a large scale became an important goal as well, and Nicolas Leblanc succeeded in 1791 in introducing a method for the production of sodium carbonate. The Leblanc process was a reaction of sulphuric acid with sodium chloride to give sodium sulphate and hydrochloric acid. The sodium sulphate was heated with limestone (calcium carbonate) and coal to give a mixture of sodium carbonate and calcium sulphide. Adding water separated the soluble sodium carbonate from the calcium sulphide. The process produced a large amount of pollution (the hydrochloric acid was initially vented to the air, and calcium sulphide was a useless waste product). Nonetheless, this synthetic soda ash proved economical compared to that from burning certain plants (barilla) or from kelp, which were the previously dominant sources of soda ash, and also to potash (potassium carbonate) derived from hardwood ashes.

These two chemicals were very important because they enabled the introduction of a host of other inventions, replacing many small-scale operations with more cost-effective and controllable processes. Sodium carbonate had many uses in the glass, textile, soap, and paper industries. Early uses for sulphuric acid included pickling (removing rust) iron and steel, and for bleaching cloth.

The development of bleaching powder (calcium hypochlorite) by Scottish chemist Charles Tennant in about 1800, based on the discoveries of French chemist Claude Louis Berthollet, revolutionised the bleaching processes in the textile industry by dramatically reducing the time required (from months to days) for the traditional process then in use, which required repeated exposure to the sun in bleach fields after soaking the textiles with alkali or sour milk. Tennant's factory at St Rollox, North Glasgow, became the largest chemical plant in the world.

In 1824 Joseph Aspdin, a British brick layer turned builder, patented a chemical process for making portland cement which was an important advance in the building trades. This process involves sintering a mixture of clay and limestone to about 1400 °C, then grinding it into a fine powder which is then mixed with water, sand and gravel to produce concrete. Portland cement was used by the famous English engineer Marc Isambard Brunel several years later when constructing the Thames Tunnel. Cement was used on a large scale in the construction of the London sewerage system a generation later.

### Machine tools



The Thames Tunnel (opened 1843)  
Cement was used in the world's first underwater tunnel





The Industrial Revolution could not have developed without machine tools, for they enabled manufacturing machines to be made. They have their origins in the tools developed in the 18th century by makers of clocks and watches and scientific instrument makers to enable them to batch-produce small mechanisms. The mechanical parts of early textile machines were sometimes called 'clock work' because of the metal spindles and gears they incorporated. The manufacture of textile machines drew craftsmen from these trades and is the origin of the modern engineering industry.

Machines were built by various craftsmen— carpenters made wooden framings, and smiths and turners made metal parts. A good example of how machine tools changed manufacturing took place in Birmingham, England, in 1830. The invention of a new machine by William Joseph Gillott, William Mitchell and James Stephen Perry allowed mass manufacture of robust, cheap steel pen nibs; the process had been laborious and expensive. Because of the difficulty of manipulating metal and the lack of machine tools, the use of metal was kept to a minimum. Wood framing had the disadvantage of changing dimensions with temperature and humidity, and the various joints tended to rack (work loose) over time. As the Industrial Revolution progressed, machines with metal frames became more common, but they required machine tools to make them economically. Before the advent of machine tools, metal was worked manually using the basic hand tools of hammers, files, scrapers, saws and chisels. Small metal parts were readily made by this means, but for large machine parts, production was very laborious and costly.

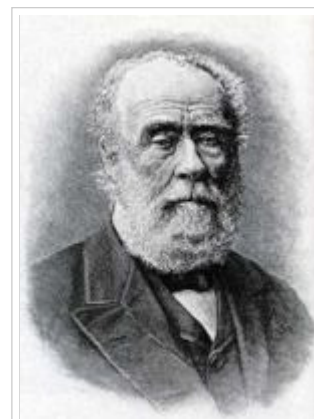
Apart from workshop lathes used by craftsmen, the first large machine tool was the cylinder boring machine used for boring the large-diameter cylinders on early steam engines. The planing machine, the slotting machine and the shaping machine were developed in the first decades of the 19th century. Although the milling machine was invented at this time, it was not developed as a serious workshop tool until during the Second Industrial Revolution.

Military production had a hand in the development of machine tools. Henry Maudslay, who trained a school of machine tool makers early in the 19th century, was employed at the Royal Arsenal, Woolwich, as a young man where he would have seen the large horse-driven wooden machines for cannon boring made and worked by the Verbruggans. He later worked for Joseph Bramah on the production of metal locks, and soon after he began working on his own. He was engaged to build the machinery for making ships' pulley blocks for the Royal Navy in the Portsmouth Block Mills. These were all metal and were the first machines for mass production and making components with a degree of interchangeability. The lessons Maudslay learned about the need for stability and precision he adapted to the development of machine tools, and in his workshops he trained a generation of men to build on his work, such as Richard Roberts, Joseph Clement and Joseph Whitworth.

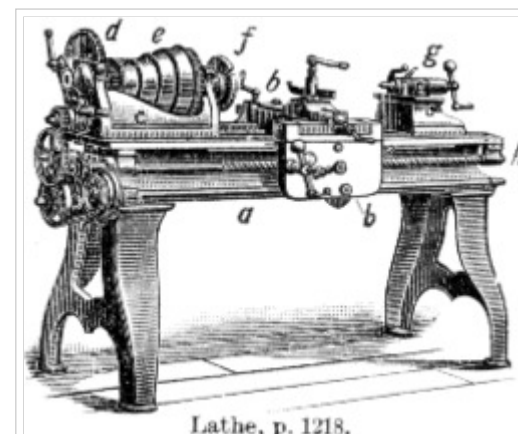
James Fox of Derby had a healthy export trade in machine tools for the first third of the century, as did Matthew Murray of Leeds. Roberts was a maker of high-quality machine tools and a pioneer of the use of jigs and gauges for precision workshop measurement.

## Gas lighting

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Sir Joseph Whitworth



A lathe from 1911. A type of machine tool able to make other machines



Another major industry of the later Industrial Revolution was gas lighting. Though others made a similar innovation elsewhere, the large scale introduction of this was the work of William Murdoch, an employee of Boulton and Watt, the Birmingham steam engine pioneers. The process consisted of the large scale gasification of coal in furnaces, the purification of the gas (removal of sulphur, ammonium, and heavy hydrocarbons), and its storage and distribution. The first gaslighting utilities were established in London between 1812-20. They soon became one of the major consumers of coal in the UK. Gaslighting had in impact on social and industrial organisation because it allowed factories and stores to remain open longer than with tallow candles or oil. Its introduction allowed night life to flourish in cities and towns as interiors and street could be lighted on a larger scale than before.

### Glass making

A new method of producing glass, known as the cylinder process, was developed in Europe during the early 19th century. In 1832, this process was used by the Chance Brothers to create sheet glass. They became the leading producers of window and plate glass. This advancement allowed for larger panes of glass to be created without interruption, thus freeing up the space planning in interiors as well as the fenestration of buildings. The crystal palace is the supreme example of the use of sheet glass in a new and innovative structure.



The 1851 Great Exhibition in Hyde Park .

### Agriculture

In the mid nineteenth century John Fowler, an engineer and inventor, began to look at the possibility of using steam engines for ploughing and digging drainage channels. The system that he invented involved either a single stationary engine at the corner of a field drawing a plough via sets of winches and pulleys, or two engines placed at either end of a field drawing the plough backwards and forwards between them by means of a cable attached to winches. Fowler's ploughing system vastly reduced the cost of ploughing farmland compared with horse-drawn ploughs. Also his ploughing system, when used for digging drainage channels, made possible the cultivation of previously unusable swampy land. The traction engine later became a common sight in working threshing machines during haymaking time and ploughing fields.



A John Fowler & Co. Ploughing Engine

### Transport in Britain

At the beginning of the Industrial Revolution, inland transport was by navigable rivers and roads, with coastal vessels employed to move heavy goods by sea. Railways or wagon ways were used for conveying coal to rivers for further shipment, but canals had not yet been constructed. Animals supplied all of the motive power on land, with sails providing the motive power on the sea.

The Industrial Revolution improved Britain's transport infrastructure with a turnpike road network, a canal, and waterway network, and a railway network. Raw materials and finished products could be moved more quickly and cheaply than before. Improved transportation also allowed new ideas to spread quickly.

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## Coastal sail

Sailing vessels had long been used for moving goods round the British coast. The trade transporting coal to London from Newcastle had begun in mediaeval times. The major international seaports such as London, Bristol, and Liverpool, were the means by which raw materials such as cotton might be imported and finished goods exported. Transporting goods onwards within Britain by sea was common during the whole of the Industrial Revolution and only fell away with the growth of the railways at the end of the period.

## Navigable rivers

All the major rivers of the United Kingdom were navigable during the Industrial Revolution. Some were anciently navigable, notably the Severn, Thames, and Trent. Some were improved, or had navigation extended upstream, but usually in the period before the Industrial Revolution, rather than during it.

The Severn, in particular, was used for the movement of goods to the Midlands which had been imported into Bristol from abroad, and for the export of goods from centres of production in Shropshire (such as iron goods from Coalbrookdale) and the Black Country. Transport was by way of trows—small sailing vessels which could pass the various shallows and bridges in the river. The trows could navigate the Bristol Channel to the South Wales ports and Somerset ports, such as Bridgwater and even as far as France.

## Canals

Canals began to be built in the late eighteenth century to link the major manufacturing centres in the Midlands and north with seaports and with London, at that time itself the largest manufacturing centre in the country. Canals were the first technology to allow bulk materials to be easily transported across country. A single canal horse could pull a load dozens of times larger than a cart at a faster pace. By the 1820s, a national network was in existence. Canal construction served as a model for the organisation and methods later used to construct the railways. They were eventually largely superseded as profitable commercial enterprises by the spread of the railways from the 1840s on.

Britain's canal network, together with its surviving mill buildings, is one of the most enduring features of the early Industrial Revolution to be seen in Britain.

## Roads



Pontcysyllte Aqueduct



Much of the original British road system was poorly maintained by thousands of local parishes, but from the 1720s (and occasionally earlier) turnpike trusts were set up to charge tolls and maintain some roads. Increasing numbers of main roads were turnpiked from the 1750s to the extent that almost every main road in England and Wales was the responsibility of some turnpike trust. New engineered roads were built by John Metcalf, Thomas Telford and John Macadam. The major turnpikes radiated from London and were the means by which the Royal Mail was able to reach the rest of the country. Heavy goods transport on these roads was by means of slow, broad wheeled, carts hauled by teams of horses. Lighter goods were conveyed by smaller carts or by teams of pack horse. Stage coaches carried the rich, and the less wealthy could pay to ride on carriers carts.

## Railways

Wagonways for moving coal in the mining areas had started in the 17th century and were often associated with canal or river systems for the further movement of coal. These were all horse drawn or relied on gravity, with a stationary steam engine to haul the wagons back to the top of the incline. The first applications of the steam locomotive were on wagon or plate ways (as they were then often called from the cast iron plates used). Horse-drawn public railways did not begin until the early years of the 19th century. Steam-hauled public railways began with the Stockton and Darlington Railway in 1825 and the Liverpool and Manchester Railway in 1830. Construction of major railways connecting the larger cities and towns began in the 1830s but only gained momentum at the very end of the first Industrial Revolution.

After many of the workers had completed the railways, they did not return to their rural lifestyles but instead remained in the cities, providing additional workers for the factories.

Railways helped Britain's trade enormously, providing a quick and easy way of transport.

## Social effects

In terms of social structure, the Industrial Revolution witnessed the triumph of a middle class of industrialists and businessmen over a landed class of nobility and gentry.

Ordinary working people found increased opportunities for employment in the new mills and factories, but these were often under strict working conditions with long hours of labour dominated by a pace set by machines. However, harsh working conditions were prevalent long before the Industrial Revolution took place. Pre-industrial society was very static and often cruel—child labour, dirty living conditions and long working hours were just as prevalent before the Industrial Revolution.



The Iron Bridge (1781)  
The first large bridge made of cast iron



A replica of the early locomotive *Sans Pareil* at a 1980 restaging of the Rainhill Trials of 1829



## Factories and urbanisation

Industrialisation led to the creation of the factory. Arguably the first was John Lombe's water-powered silk mill at Derby, operational by 1721. However, the rise of the factory came somewhat later when cotton spinning was mechanised.

The factory system was largely responsible for the rise of the modern city, as large numbers of workers migrated into the cities in search of employment in the factories. Nowhere was this better illustrated than the mills and associated industries of Manchester, nicknamed "Cottonopolis", and arguably the world's first industrial city. For much of the 19th century, production was done in small mills, which were typically water-powered and built to serve local needs. Later each factory would have its own steam engine and a chimney to give an efficient draft through its boiler.

The transition to industrialisation was not without difficulty. For example, a group of English workers known as Luddites formed to protest against industrialisation and sometimes sabotaged factories.

In other industries the transition to factory production was not so divisive. Some industrialists themselves tried to improve factory and living conditions for their workers. One of the earliest such reformers was Robert Owen, known for his pioneering efforts in improving conditions for workers at the New Lanark mills, and often regarded as one of the key thinkers of the early socialist movement.

By 1746, an integrated brass mill was working at Warmley near Bristol. Raw material went in at one end, was smelted into brass and was turned into pans, pins, wire, and other goods. Housing was provided for workers on site. Josiah Wedgwood and Matthew Boulton were other prominent early industrialists, who employed the factory system.

## Child labour



Manchester, England ("Cottonopolis"), pictured in 1840, showing the mass of factory chimneys



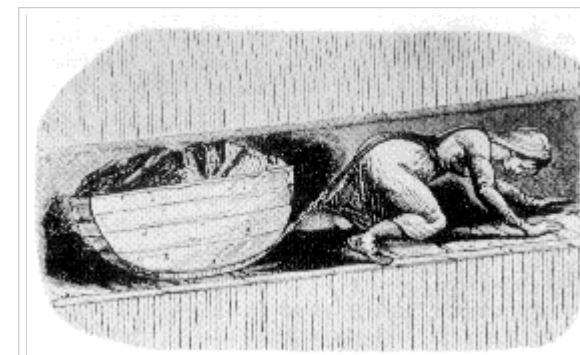
The Industrial Revolution led to a population increase, but the chance of surviving childhood did not improve throughout the industrial revolution (although *infant* mortality rates were improved markedly). There was still limited opportunity for education, and children were expected to work. Employers could pay a child less than an adult even though their productivity was comparable; there was no need for strength to operate an industrial machine, and since the industrial system was completely new there were no experienced adult labourers. This made child labour the labour of choice for manufacturing in the early phases of the Industrial Revolution between the 18th and 19th centuries.

Child labour had existed before the Industrial Revolution, but with the increase in population and education it became more visible. Before the passing of laws protecting children, many were forced to work in terrible conditions for much lower pay than their elders.

Reports were written detailing some of the abuses, particularly in the coal mines and textile factories and these helped to popularise the children's plight. The public outcry, especially among the upper and middle classes, helped stir change in the young workers' welfare.

Politicians and the government tried to limit child labour by law, but factory owners resisted; some felt that they were aiding the poor by giving their children money to buy food to avoid starvation, and others simply welcomed the cheap labour. In 1833 and 1844, the first general laws against child labour, the Factory Acts, were passed in England: Children younger than nine were not allowed to work, children were not permitted to work at night, and the work day of youth under the age of 18 was limited to twelve hours. Factory inspectors supervised the execution of the law. About ten years later, the employment of children and women in mining was forbidden. These laws decreased the number of child labourers; however, child labour remained in Europe up to the 20th century.

## Housing



A young "drawer" pulling a coal tub up a mine shaft



Living conditions during the Industrial Revolution varied from the splendour of the homes of the owners to the squalor of the lives of the workers. Cliffe Castle, Keighley, is a good example of how the newly rich chose to live. This is a large home modelled loosely on a castle with towers and garden walls. The home is very large and was surrounded by a massive garden, the Cliffe Castle is now open to the public as a museum.

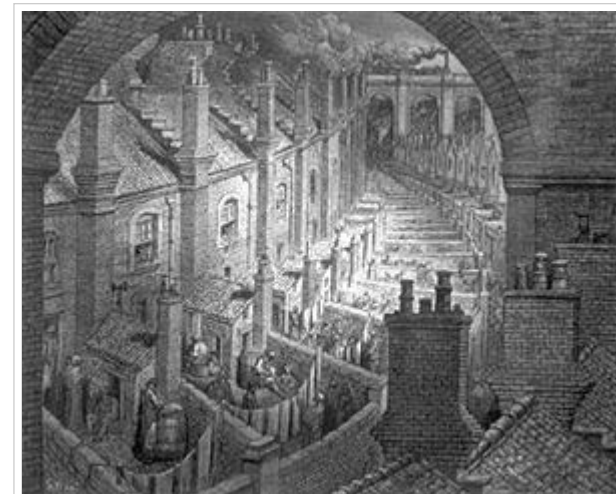
Poor people lived in very small houses in cramped streets. These homes would share toilet facilities, have open sewers and would be at risk of damp. Disease was spread through a contaminated water supply. Conditions did improve during the 19th century as public health acts were introduced covering things such as sewage, hygiene and making some boundaries upon the construction of homes. Not everybody lived in homes like these. The Industrial Revolution created a larger middle class of professionals such as lawyers and doctors. The conditions for the poor improved over the course of the 19th century because of government and local plans which led to cities becoming cleaner places, but life had not been easy for the poor before industrialisation. However, as a result of the Revolution, huge numbers of the working class died due to diseases spreading through the cramped living conditions. Chest diseases from the mines, cholera from polluted water and typhoid were also extremely common, as was smallpox. Accidents in factories with child and female workers were regular. Dickens' novels perhaps best illustrate this; even some government officials were horrified by what they saw. Strikes and riots by workers were also relatively common.

## Luddites

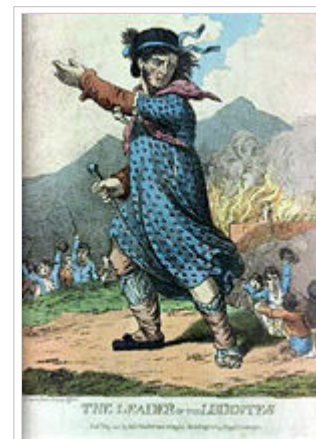
The rapid industrialisation of the English economy cost many craft workers their jobs. The movement started first with lace and hosiery workers near Nottingham and spread to other areas of the textile industry owing to early industrialisation. Many weavers also found themselves suddenly unemployed since they could no longer compete with machines which only required relatively limited (and unskilled) labour to produce more cloth than a single weaver. Many such unemployed workers, weavers and others, turned their animosity towards the machines that had taken their jobs and began destroying factories and machinery. These attackers became known as Luddites, supposedly followers of Ned Ludd, a folklore figure. The first attacks of the Luddite movement began in 1811. The Luddites rapidly gained popularity, and the British government took drastic measures using the militia or army to protect industry. Those rioters who were caught were tried and hanged, or transported for life.

Unrest continued in other sectors as they industrialised, such as agricultural labourers in the 1830s, when large parts of southern Britain were affected by the Captain Swing disturbances. Threshing machines were a particular target, and rick burning was a popular activity. The riots led however, to the first formation of trade unions, and further pressure for reform.

## Organisation of labour



*Over London by Rail* Gustave Doré c. 1870. Shows the densely populated and polluted environments created in the new industrial cities



*The Leader of the Luddites*, engraving of 1812



The Industrial Revolution concentrated labour into mills, factories and mines, thus facilitating the organisation of *combinations* or trade unions to help advance the interests of working people. The power of a union could demand better terms by withdrawing all labour and causing a consequent cessation of production. Employers had to decide between giving in to the union demands at a cost to themselves or suffer the cost of the lost production. Skilled workers were hard to replace, and these were the first groups to successfully advance their conditions through this kind of bargaining.

The main method the unions used to effect change was strike action. Many strikes were painful events for both sides, the unions and the management. In England, the Combination Act forbade workers to form any kind of trade union from 1799 until its repeal in 1824. Even after this, unions were still severely restricted.

In 1832, the year of the Reform Act which extended the vote in England but did not grant universal suffrage, six men from Tolpuddle in Dorset founded the Friendly Society of Agricultural Labourers to protest against the gradual lowering of wages in the 1830s. They refused to work for less than 10 shillings a week, although by this time wages had been reduced to seven shillings a week and were due to be further reduced to six shillings. In 1834 James Frampton, a local landowner, wrote to the Prime Minister, Lord Melbourne, to complain about the union, invoking an obscure law from 1797 prohibiting people from swearing oaths to each other, which the members of the Friendly Society had done. James Brine, James Hammett, George Loveless, George's brother James Loveless, George's brother-in-law Thomas Standfield, and Thomas's son John Standfield were arrested, found guilty, and transported to Australia. They became known as the Tolpuddle martyrs. In the 1830s and 1840s the Chartist movement was the first large scale organised working class political movement which campaigned for political equality and social justice. Its *Charter* of reforms received over three million signatures but was rejected by Parliament without consideration.

Working people also formed friendly societies and co-operative societies as mutual support groups against times of economic hardship. Enlightened industrialists, such as Robert Owen also supported these organisations to improve the conditions of the working class.

Unions slowly overcame the legal restrictions on the right to strike. In 1842, a General Strike involving cotton workers and colliers was organised through the Chartist movement which stopped production across Great Britain.

Eventually effective political organisation for working people was achieved through the trades unions who, after the extensions of the franchise in 1867 and 1885, began to support socialist political parties that later merged to become the British Labour Party.

## Other effects

The application of steam power to the industrial processes of printing supported a massive expansion of newspaper and popular book publishing, which reinforced rising literacy and demands for mass political participation.

During the Industrial Revolution, the life expectancy of children increased dramatically. The percentage of the children born in London who died before the age



The Great Chartist Meeting on Kennington Common, 1848





of five decreased from 74.5% in 1730 - 1749 to 31.8% in 1810 - 1829. Also, there was a significant increase in worker wages during the period 1813-1913.

## Industrial Revolution elsewhere

### United States

As in Britain, the United States originally used water power to run its factories, with the consequence that industrialisation was essentially limited to New England and the rest of the Northeastern United States, where fast-moving rivers were located. However, the raw materials (cotton) came from the Southern United States. It was not until after the American Civil War in the 1860s that steam-powered manufacturing overtook water-powered manufacturing, allowing the industry to fully spread across the nation.

Samuel Slater (1768–1835) is popularly known as the founder of the American cotton industry. As a boy apprentice in Derbyshire, England he learnt of the new techniques in the textile industry and defied laws against the emigration of skilled workers by leaving for New York in 1789, hoping to make money with his knowledge. Slater started Slater's mill at Pawtucket, Rhode Island, in 1793 and went on to own thirteen textile mills. Daniel Day established a wool carding mill in the Blackstone Valley at Uxbridge, Massachusetts in 1810, the third woollen mill established in the U.S. (The first was in Hartford, CT, and the second at Watertown, MA). The John H. Chafee Blackstone River Valley National Heritage Corridor retraces the history of "America's Hardest working River", the Blackstone. The Blackstone River and its tributaries, which cover more than 45 miles (72 km) from Worcester to Providence, was the birthplace of America's Industrial Revolution. At its peak over 1100 mills operated in this valley, including Slater's mill, and with it the earliest beginnings of America's Industrial and Technological Development. (see also Blackstone River Valley National Heritage Corridor)

While on a trip to England in 1810, Newburyport, Massachusetts merchant Francis Cabot Lowell was allowed to tour the British textile factories, but not take notes. Realising the War of 1812 had ruined his import business but that a market for domestic finished cloth was emerging in America, he memorised the design of textile machines, and on his return to the United States, he set up the Boston Manufacturing Company. Lowell and his partners built America's first cotton-to-cloth textile mill at Waltham, Massachusetts. After his death in 1817, his Associates built America's first planned factory town, which they named after him. This enterprise was capitalised in a public stock offering, one of the first uses of it in the United States. Lowell, Massachusetts, utilising 5.6 miles (9.0 km) of canals and ten thousand horsepower delivered by the Merrimack River, is considered the 'Cradle of the American Industrial Revolution'. The short-lived utopia-like Lowell System was formed, as a direct response to the poor working conditions in Britain. However, by 1850, especially following the Irish Potato Famine, the system had been replaced by poor immigrant labour.



Slater's Mill

### Continental Europe



The Industrial Revolution on Continental Europe came later than in Great Britain. In many industries, this involved the application of technology developed in Britain in new places. Often the technology was purchased from Britain or British engineers and entrepreneurs moved abroad in search of new opportunities. By 1809 part of the Ruhr Valley in Westphalia were being called *Miniature England* because of its similarities to the industrial areas of England. The German, Russian and Belgian governments all provided state funding to the new industries.

In some cases (such as iron), the different availability of resources locally meant that only some aspects of the British technology were adopted.

## Japan

In 1871 a group of Japanese politicians known as the Iwakura Mission toured Europe and the USA to learn western ways. The result was a deliberate state led industrialisation policy to prevent Japan from falling behind. The Bank of Japan, founded in 1877, used taxes to fund model steel and textile factories. Education was expanded and Japanese students were sent to study in the west.

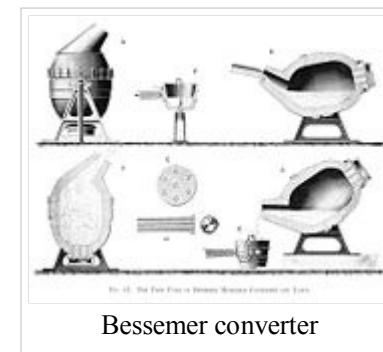
## Second Industrial Revolutions and later evolution

The insatiable demand of the railways for more durable rail led to the development of the means to cheaply mass-produce steel. Steel is often cited as the first of several new areas for industrial mass-production, which are said to characterise a "Second Industrial Revolution", beginning around 1850, although a method for mass manufacture of steel was not invented until the 1860s, when Sir Henry Bessemer invented a new furnace which could make wrought iron and steel in large quantities. However, it only became widely available in the 1870s. This second Industrial Revolution gradually grew to include the chemical industries, petroleum refining and distribution, electrical industries, and, in the twentieth century, the automotive industries, and was marked by a transition of technological leadership from Britain to the United States and Germany.

The introduction of hydroelectric power generation in the Alps enabled the rapid industrialisation of coal-deprived northern Italy, beginning in the 1890s. The increasing availability of economical petroleum products also reduced the importance of coal and further widened the potential for industrialisation.

Marshall McLuhan analysed the social and cultural impact of the electric age. While the previous age of mechanisation had spread the idea of splitting every process into a sequence, this was ended by the introduction of the instant speed of electricity that brought simultaneity. This imposed the cultural shift from the approach of focusing on "specialized segments of attention" (adopting one particular perspective), to the idea of "instant sensory awareness of the whole", an attention to the "total field", a "sense of the whole pattern". It made evident and prevalent the sense of "form and function as a unity", an "integral idea of structure and configuration". This had major impact in the disciplines of painting (with cubism), physics, poetry, communication and educational theory.

By the 1890s, industrialisation in these areas had created the first giant industrial corporations with burgeoning global interests, as companies like U.S. Steel,





General Electric, and Bayer AG joined the railroad companies on the world's stock markets.

## Intellectual paradigms and criticism

### Capitalism

The advent of The Enlightenment provided an intellectual framework which welcomed the practical application of the growing body of scientific knowledge — a factor evidenced in the systematic development of the steam engine, guided by scientific analysis, and the development of the political and sociological analyses, culminating in Adam Smith's *The Wealth of Nations*. One of the main arguments for capitalism, presented for example in the book *The Improving State of the World*, is that industrialisation increases wealth for all, as evidenced by raised life expectancy, reduced working hours, and no work for children and the elderly.

### Marxism

Marxism is essentially a reaction to the Industrial Revolution. According to Karl Marx, industrialisation polarised society into the bourgeoisie (those who own the means of production, the factories and the land) and the much larger proletariat (the working class who actually perform the labour necessary to extract something valuable from the means of production). He saw the industrialisation process as the logical dialectical progression of feudal economic modes, necessary for the full development of capitalism, which he saw as in itself a necessary precursor to the development of socialism and eventually communism. ;

### Romanticism

During the Industrial Revolution an intellectual and artistic hostility towards the new industrialisation developed. This was known as the Romantic movement. Its major exponents in English included the artist and poet William Blake and poets William Wordsworth, Samuel Taylor Coleridge, John Keats, Byron and Percy Bysshe Shelley. The movement stressed the importance of "nature" in art and language, in contrast to 'monstrous' machines and factories; the "*Dark satanic mills*" of Blake's poem *And did those feet in ancient time*. Mary Shelley's short story *Frankenstein* reflected concerns that scientific progress might be two-edged.

## History of the name

The term *Industrial Revolution* applied to technological change was common in the 1830s. Louis-Auguste Blanqui in 1837 spoke of *la révolution industrielle*. Friedrich Engels in *The Condition of the Working Class in England in 1844* spoke of "an industrial revolution, a revolution which at the same time changed the whole of civil society."

In his book *Keywords: A Vocabulary of Culture and Society*, Raymond Williams states in the entry for Industry: *The idea of a new social order based on major industrial change was clear in Southey and Owen, between 1811 and 1818, and was implicit as early as Blake in the early 1790s and Wordsworth at the turn*

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*of the century.*

Credit for popularising the term may be given to Arnold Toynbee, whose lectures given in 1881 gave a detailed account of the process.

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# Middle Ages

2008/9 Schools Wikipedia Selection. Related subjects: General history

The **Middle Ages** form the middle period in a traditional schematic division of European history into three "ages": the classical civilization of Antiquity, the Middle Ages and Modern Times. The idea of such a periodisation is attributed to Flavio Biondo, an Italian Renaissance humanist historian.

The Middle Ages are commonly dated from the fall of the Western Roman Empire (or by some scholars, before that) in the 5th century to the beginning of the Early Modern Period in the 16th century, marked by the rise of nation-states, the division of Christianity in the Reformation, the rise of humanism in the Italian Renaissance, and the beginnings of European overseas expansion which allowed for the Columbian Exchange. There is some variation in the dating of the edges of these periods which is due mainly to differences in specialization and focus of individual scholars. Commonly seen periodization ranges span the years ca. 400–476 AD ( the sackings of Rome by the Visigoths to the deposing of Romulus Augustus) to ca. 1453–1517 (the Fall of Constantinople to the Protestant reformation begun with Martin Luther's *Ninety-Five Theses*). Dates are approximate, and are based upon nuanced arguments; for other dating schemes and the reasoning behind them, see "periodisation issues", below.

The Middle Ages witnessed the first sustained urbanization of northern and western Europe. Modern European states owe their origins to events unfolding in the Middle Ages; present European political boundaries are, in many regards, the result of the military and dynastic achievements in this tumultuous period.

## Etymology

The term "Middle Age" (*medium ævum*) was first coined by Flavio Biondo, an Italian humanist, in the early 15th century. The name is from the Latin *medium* (middle) and *ævum* (age). The Middle Ages are often referred to as the "*medieval period*" (sometimes spelled "*mediaeval*" or "*mediæval*"), also from the Latin.

## Historiography

### Middle Ages in history



The fortified town and abbey of Mont Saint-Michel off the northern coast of France is an iconic image of the Middle Ages that remains little changed since it was painted by the de Limbourg brothers in the 1430s



After the Middle Ages ended, subsequent generations imagined, portrayed and interpreted the Middle Ages in very different ways. Every century has created its own vision of the Middle Ages; the 16th century view of the Middle Ages was entirely different from the 19th century which was different from the 20th century view. The different perceptions of the Middle Ages remain with us today in the form of literature, art, revival styles of architecture, film and popular conception.

## Terminology

Until the Renaissance (and for some time after) the standard scheme of history was to divide history into six ages, inspired by the biblical six days of creation, or four monarchies based on Daniel 2:40. The early Renaissance historians, in their glorification of all things classical, declared two periods in history, that of Ancient times and that of the period referred to as the "Dark Age". In the early 15th century it was believed history had evolved from the Dark Age to a new period with its revival of things classical so some scholars, such as Flavio Biondo, began to write about a middle period between the Ancient and Modern, which became known as the Middle Age. It was not until the late 17th century when German scholar Christoph Cellarius' published *Universal History Divided into an Ancient, Medieval, and New Period* that the tripartite periodization scheme began to be used more systemically.

The plural form of the term, *Middle Ages*, is used in English, Dutch, Russian, Bulgarian and Icelandic while other European languages use the singular form ( Italian *medioevo*, French *le moyen âge*, German *das Mittelalter* Spanish *edad media*). This difference originates in different Neo-Latin terms used for the Middle Ages before *media aetas* became the standard term. Some were singular (*media aetas*, *media antiquitas*, *medium saeculum* and *media tempestas*), others plural (*media saecula* and *media tempora*). There seem to be no simple reason why a particular language ended up with the singular or the plural form. The term "mediaeval" (American: medieval) was first contracted from the Latin *medium aevum*, or more precisely "middle epoch", by Enlightenment thinkers as a pejorative descriptor of the Middle Ages.

The common subdivision into Early, High and Late Middle Ages came into use after World War I. It was caused by the works of Henri Pirenne (in particular the article "Les periodes de l'histoire du capitalism" in *Academie Royale de Belgique. Bulletin de la Classe des Lettres*, 1914) and Johan Huizinga ( *The Autumn of the Middle Ages*, 1919).

Dorothy Sayers, a noted scholar in medieval literature as well as a famous writer of detective books, strongly objected to the term. In the foreword to her translation of *The Song of Roland*, she writes "That new-washed world of clear sun and glittering colour, which we call the Middle Age (as though it were middle-aged), has perhaps a better right than the blown summer of the Renaissance to be called the Age of Re-Birth."

## Periodisation issues



A Medieval re-enactment in modern Germany



It is difficult to decide when the Middle Ages ended; in fact, scholars assign different dates in different parts of Europe. Most scholars who work in 15th century Italian history, for instance, consider themselves Renaissance, while anyone working elsewhere in Europe during the early 15th century is considered a mediaevalist. Others choose specific events, such as the Turkish capture of Constantinople or the end of the Anglo-French Hundred Years' War (both 1453), the invention of printing by Johann Gutenberg (around 1455), the fall of Muslim Spain or Christopher Columbus's voyage to America (both 1492), the Protestant Reformation starting 1517, or the Battle of Lepanto (1571) to mark the period's end. In England the change of monarchs which occurred on 22 August 1485 at the Battle of Bosworth is often considered to mark the end of the period, Richard III representing the old mediaeval world and the Tudors, a new royal house and a new historical period.

Similar differences are now emerging in connection with the start of the period. Traditionally, the Middle Ages is said to have begun when the West Roman Empire formally ceased to exist in 476. However, that date is not important in itself, since the West Roman Empire had been very weak for some time, while Roman culture was to survive at least in Italy for yet a few decades or more. Today, some date the beginning of the Middle Ages to the division and Christianisation of the Roman Empire (4th century); others, like Henri Pirenne, see the period to the rise of Islam (7th century) as "late Classical". Another argument for a late beginning to the Middle Ages was presented by Peter Brown. Brown championed the idea of Late Antiquity, a period that was culturally distinct from both the preceding Empire and from the rest of the Middle Ages. Brown's argument rests less on the economic changes within the Mediterranean than on social and religious change within the Empire between 300 and 750. To Brown, the slow collapse of the Empire allowed a period of great creativity and expressiveness in which Christianity flourished and became institutionalized.

The Middle Ages in Western Europe are often subdivided into three intervals. This includes an early period (sometimes called the "Dark Ages", at least from the fifth to eighth centuries) of shifting polities, a relatively low level of economic activity and successful incursions by non-Christian peoples (Slavs, Arabs, Scandinavians, Magyars). The middle period (the High Middle Ages) follows, a time of developed institutions of lordship and vassalage, castle-building and mounted warfare, and reviving urban and commercial life. The last span is a later period of growing royal power, the rise of commercial interests, and weakening customary ties of dependence, especially after the 14th century plague.

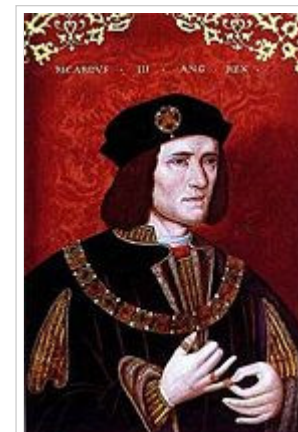
In the history of Scandinavia, the Middle Ages followed prehistory during the 11th century, as the rulers converted to Christianity, and substantial written records appeared.

## Geographic issues

While the term "medieval period", often used synonymously with "Middle Ages", is usually used to describe a period of European history, some 20th century historians have described non-European countries as "medieval" when those countries show characteristics of "feudal" organization. The pre-Westernisation period in the history of Japan, and the pre-colonial period in developed parts of sub-Saharan Africa, are also sometimes termed "medieval." These terms have fallen out of favour, as modern historians are reluctant to try to fit the history of other regions to the European model.

## Origins: The later Roman Empire

<http://cd3wd.com> [wikipedia-for-schools](http://wikipedia-for-schools) <http://gutenberg.org> page no: 279 of 541

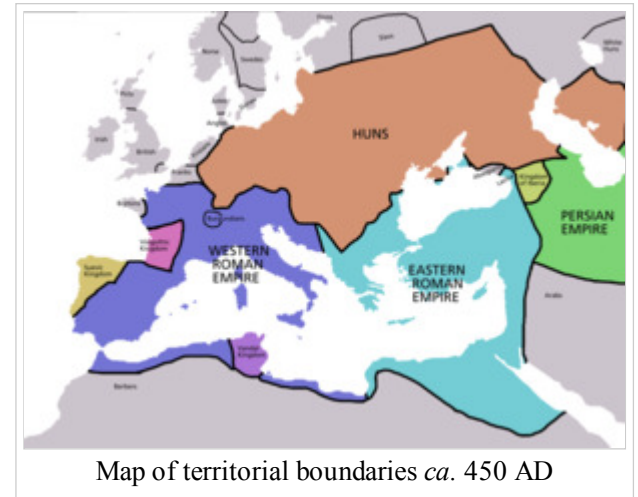


Richard III is considered the last Medieval monarch of England



The Roman empire reached its greatest territorial extent during the 2nd century. The following two centuries witnessed the slow decline of Roman control over its outlying territories. The Emperor Diocletian split the empire into separately administered eastern and western halves in 285. The division between east and west was encouraged by Constantine, who refounded the city of Byzantium as the new capital, Constantinople, in 330.

Military expenses increased steadily during the 4th century, even as Rome's neighbours became restless and increasingly powerful. Tribes who previously had contact with the Romans as trading partners, rivals, or mercenaries had sought entrance to the empire and access to its wealth throughout the 4th century. Diocletian's reforms had created a strong governmental bureaucracy, reformed taxation, and strengthened the army. These changes bought the Empire time, but these reforms demanded money. Rome's declining revenue left it dangerously dependent on tax revenue. Future setbacks forced Rome to pour ever more wealth into its armies, spreading the empire's wealth thinly into its border regions. In periods of expansion, this would not be a critical problem. The defeat in 378 at the Battle of Adrianople, however, destroyed much of the Roman army, leaving the western empire undefended. Without a strong army in the west, and with no promise of salvation coming from the emperor in Constantinople, the western Empire sought compromise.



Map of territorial boundaries ca. 450 AD

Known in traditional historiography collectively as the "barbarian invasions", the Migration Period, or the *Völkerwanderung* ("wandering of the peoples") specifically by German historians, this migration of peoples was a complicated and gradual process. Some early historians have given this period the epithet of "Dark Ages". Recent research and archaeology have also revealed complex cultures persisting throughout the period. Some of these "barbarian" tribes rejected the classical culture of Rome, while others admired and aspired to it. Theodoric the Great of the Ostrogoths, as only one example, had been raised in Constantinople and considered himself an heir to its culture, employing erudite Roman ministers like Cassiodorus. Other prominent tribal groups that migrated into Roman territory were the Huns, Bulgars, Avars and Magyars, along with a large number of Germanic, and later Slavic peoples. Some tribes settled in the empire's territory with the approval of the Roman senate or emperor. In return for land to farm and, in some regions, the right to collect tax revenues for the state, federated tribes provided military support to the empire. Other incursions were small-scale military invasions of tribal groups assembled to gather plunder. The most famous invasion culminated in the sack of Rome by the Visigoths in 410.

By the end of the 5th century, Roman institutions were crumbling. The last emperor of the west, Romulus Augustulus, was deposed by the barbarian king Odoacer in 476. The Eastern Roman Empire (conventionally referred to as the "Byzantine Empire" after the fall of its western counterpart) maintained its order by abandoning the west to its fate. Even though Byzantine emperors maintained a claim over the territory, and no barbarian king dared to elevate himself to the position of emperor of the west, Byzantine control over the west could not be sustained. For the next three centuries, the region of the former western empire would be without a legitimate emperor. It was, instead, ruled by kings who enjoyed the support of the largely barbarian armies. Some kings ruled as regents for titular emperors, and some ruled in their own name. Throughout the 5th century, cities throughout the empire declined, receding inside heavily fortified walls. The western empire, particularly, experienced the decay of infrastructure which was not adequately maintained by the central government. Where civic functions and infrastructure such as chariot races, aqueducts, and roads were maintained, the work was frequently done at the expense of city officials and bishops. Augustine of Hippo is an example of a bishop who acted as an able administrator. One scholar, Thomas Cahill, has dubbed Augustine the last of the





classical men and the first of medieval men.

## Early Middle Ages

### Breakdown of Roman society

The breakdown of Roman society was dramatic. The patchwork of petty rulers was incapable of supporting the depth of civic infrastructure required to maintain libraries, public baths, arenas and major educational institutions. Any new building was on a far smaller scale than before. The social effects of the fracture of the Roman state were manifold. Cities and merchants lost the economic benefits of safe conditions for trade and manufacture, and intellectual development suffered from the loss of a unified cultural and educational milieu of far-ranging connections. As it became unsafe to travel or carry goods over any distance, there was a collapse in trade and manufacture for export. The major industries that depended on long-distance trade, such as large-scale pottery manufacture, vanished almost overnight in places like Britain. Whereas sites like Tintagel in Cornwall (the extreme southwest of modern day England) had managed to obtain supplies of Mediterranean luxury goods well into the 6th century, this connection was now lost.

Between the 5th and 8th centuries, new peoples and powerful individuals filled the political void left by Roman centralized government. Germanic tribes established regional hegemonies within the former boundaries of the Empire, creating divided, decentralized kingdoms like those of the Ostrogoths in Italy, the Visigoths in Hispania, the Franks and Burgundians in Gaul and western Germany, the Angles and the Saxons in Britain, and the Vandals in North Africa.

Roman landholders beyond the confines of city walls were also vulnerable to extreme changes, and they could not simply pack up their land and move elsewhere. Some were dispossessed and fled to Byzantine regions, others quickly pledged their allegiances to their new rulers. In areas like Spain and Italy, this often meant little more than acknowledging a new overlord, while Roman forms of law and religion could be maintained. In other areas where there was a greater weight of population movement, it might be necessary to adopt new modes of dress, language and custom.

The Muslim conquests of the 7th and 8th centuries of the Persian Empire, Roman Syria, Roman Egypt, Roman North Africa, Visigothic Spain and Portugal, Sicily and southern Italy eroded the area of the Roman Empire and controlled strategic areas of the Mediterranean Sea. By the end of the 8th century the former Western Roman Empire was decentralized and overwhelmingly rural.

### Church and monasticism



The Book of Kells is one of the most famous artworks of the Early Middle Ages. It shows marked contrast to classical Roman art



The Catholic Church was the major unifying cultural influence, preserving its selection from Latin learning, maintaining the art of writing, and a centralised administration through its network of bishops. Some regions that were populated by Catholics were conquered by Arian rulers, which provoked much tension between Arian kings and the Catholic hierarchy. Clovis I of the Franks is a well-known example of a barbarian king who chose Catholic orthodoxy over Arianism. His conversion marked a turning point for the Frankish tribes of Gaul. Bishops were central to Middle Age society due to the literacy they possessed. As a result, they often played a significant role in governance. However, beyond the core areas of Western Europe there remained many peoples with little or no contact with Christianity or with classical Roman culture. Martial societies such as the Avars and the Vikings were still capable of causing major disruption to the newly emerging societies of Western Europe.

The Early Middle Ages witnessed the rise of monasticism within the west. Although the impulse to withdraw from society to focus upon a spiritual life is experienced by people of all cultures, the shape of European monasticism was determined by traditions and ideas that originated in the deserts of Egypt and Syria. The style of monasticism that focuses on community experience of the spiritual life, called cenobitism, was pioneered by the saint Pachomius in the 4th century. Monastic ideals spread from Egypt to western Europe in the 5th and 6th centuries through hagiographical literature such as the Life of Saint Anthony. Saint Benedict wrote the definitive Rule for western monasticism during the 6th century, detailing the administrative and spiritual responsibilities of a community of monks led by an abbot. The style of monasticism based upon the Benedictine Rule spread widely rapidly across Europe, replacing small clusters of cenobites. Monks and monasteries had a deep effect upon the religious and political life of the Early Middle Ages, in various cases acting as land trusts for powerful families, centres of propaganda and royal support in newly conquered regions, bases for mission and proselytization. They were the main outposts of education and literacy.

## Carolingians

A nucleus of power developed in a region of northern Gaul and developed into kingdoms called Austrasia and Neustria. These kingdoms were ruled for three centuries by a dynasty of kings called the Merovingians, after their mythical founder Merovech. The history of the Merovingian kingdoms is one of family politics that frequently erupted into civil warfare between the branches of the family. The legitimacy of the Merovingian throne was granted by a reverence for the bloodline, and even after powerful members of the Austrasian court, the mayors of the palace, took de facto power during the 7th century, the Merovingians were kept as ceremonial figureheads. The Merovingians engaged in trade with northern Europe through Baltic trade routes known to historians as the Northern Arc trade, and they are known to have minted small-denomination silver pennies called sceattae for circulation. Aspects of Merovingian culture could be described as "Romanized", such as the high value placed on Roman coinage as a symbol of rulership and the patronage of monasteries and bishoprics. Some have hypothesized that the Merovingians were in contact with Byzantium. However, the Merovingians also buried the dead of their elite families in grave mounds and traced their lineage to a mythical sea beast called the Quinotaur.

The 7th century was a tumultuous period of civil wars between Austrasia and Neustria. Such warfare was exploited by the patriarch of a family line, Pippin of Herstal, who curried favour with the Merovingians and had himself installed in the office of



The Abbey of Cluny was one of the most influential



The coronation of Charlemagne depicted in the 14th century *Grandes Chroniques de France*



Mayor of the Palace at the service of the King. From this position of great influence, Pippin accrued wealth and supporters. Later members of his family line inherited the office, acting as advisors and regents. The dynasty took a new direction in 732, when Charles Martel won the Battle of Tours, halting the advance of Muslim armies across the Pyrenees.



Charlemagne's cathedral at Aachen

The Carolingian dynasty, as the successors to Charles Martel are known, officially took the reins of the kingdoms of Austrasia and Neustria in a coup of 753 led by Pippin III. A contemporary chronicle claims that Pippin sought, and gained, authority for this coup from the Pope. Pippin's successful coup was reinforced with propaganda that portrayed the Merovingians as inept or cruel rulers and exalted the accomplishments of Charles Martel and circulated stories of the family's great piety. At the time of his death in 783, Pippin left his kingdoms in the hands of his two sons, Charles and Carloman. When Carloman died of natural causes, Charles blocked the succession of Carloman's minor son and installed himself as the king of the united Austrasia and Neustria. This Charles, known to his contemporaries as Charles the Great or Charlemagne, embarked in 774 upon a program of systematic expansion that would unify a large portion of Europe. In the wars that lasted just beyond 800, he rewarded loyal allies with war booty and command over parcels of land. Much of the nobility of the High Middle Ages was to claim its roots in the Carolingian nobility that was generated during this period of expansion.

The Imperial Coronation of Charlemagne on Christmas day of 800 is frequently regarded as a turning-point in mediaeval history, because it filled a power vacancy that had existed since 476. It also marks a change in Charlemagne's leadership, which assumed a more imperial character and tackled difficult aspects of controlling a mediaeval empire. He established a system of diplomats who possessed imperial authority, the missi, who in theory provided access to imperial justice in the farthest corners of the empire. He also sought to reform the Church in his domains, pushing for uniformity in liturgy and material culture.

## Carolingian Renaissance

Charlemagne's court in Aachen was the centre of a cultural revival that is sometimes referred to as the "Carolingian Renaissance". This period witnessed an increase of literacy, developments in the arts, architecture, jurisprudence, as well as liturgical and scriptural studies. The English monk Alcuin was invited to Aachen, and brought with him the precise classical Latin education that was available in the monasteries of Northumbria. The return of this Latin proficiency to the kingdom of the Franks is regarded as an important step in the development of mediaeval Latin. Charlemagne's chancery made use of a type of script currently known as Carolingian minuscule, providing a common writing style that allowed for communication across most of Europe. After the decline of the Carolingian dynasty, the rise of the Saxon Dynasty in Germany was accompanied by the Ottonian Renaissance.

## Breakup of the Carolingian empire



While Charlemagne continued the Frankish tradition of dividing the *regnum* (kingdom) between all his heirs (at least those of age), the assumption of the *imperium* (imperial title) supplied a unifying force not available previously. Charlemagne was succeeded by his only legitimate son of adult age at his death, Louis the Pious.

Louis's long reign of 26 years was marked by numerous divisions of the empire among his sons and, after 829, numerous civil wars between various alliances of father and sons against other sons in an effort to determine a just division by battle. The final division was made at Crémieux in 838. The Emperor Louis recognised his eldest son Lothair I as emperor and confirmed him in the Regnum Italicum (Italy). He divided the rest of the empire between Lothair and Charles the Bald, his youngest son, giving Lothair the opportunity to choose his half. He chose East Francia, which comprised the empire on both banks of the Rhine and eastwards, leaving Charles West Francia, which comprised the empire to the west of the Rhineland and the Alps. Louis the German, the middle child, who had been rebellious to the last, was allowed to keep his subregnum of Bavaria under the suzerainty of his elder brother. The division was not undisputed. Pepin II of Aquitaine, the emperor's grandson, rebelled in a contest for Aquitaine while Louis the German tried to annex all of East Francia. In two final campaigns, the emperor defeated both his rebellious descendants and vindicated the division of Crémieux before dying in 840.



Map of Europe in 998

A three-year civil war followed his death. At the end of the conflict, Louis the German was in control of East Francia and Lothair was confined to Italy. By the Treaty of Verdun (843), a kingdom of Middle Francia was created for Lothair in the Low Countries and Burgundy and his imperial title was recognised. East Francia would eventually morph into the Kingdom of Germany and West Francia into the Kingdom of France, around both of which the history of Western Europe can largely be described as a contest for control of the middle kingdom. Charlemagne's grandsons and great-grandsons divided their kingdoms between their sons until all of the various *regna* and the imperial title fell into the hands of Charles the Fat by 884. He was deposed in 887 and died in 888, to be replaced in all his kingdoms but two (Lotharingia and East Francia) by non-Carolingian "petty kings". The Carolingian Empire was destroyed, though the imperial tradition would eventually give rise to the Holy Roman Empire in 962.

The breakup of the Carolingian Empire was accompanied by the invasions, migrations, and raids of external foes as not seen since the Migration Period. The Atlantic and northern shores were harassed by the Vikings, who forced Charles the Bald to issue the Edict of Pistres against them and who besieged Paris in 885–886. The eastern frontiers, especially Germany and Italy, were under constant Magyar assault until their great defeat at the Battle of the Lechfeld in 955. The Saracens also managed to establish bases at Garigliano and Fraxinetum and to conquer the islands of Corsica, Sardinia, and Sicily, and their pirates raided the Mediterranean coasts, as did the Vikings. The Christianisation of the pagan Vikings provided an end to that threat.

## Art and architecture



Few large stone buildings were attempted between the Constantinian basilicas of the 4th century, and the 8th century. At this time the establishment of churches and monasteries, and a comparative political stability brought about the development of a form of stone architecture loosely based upon Roman forms and hence later named Romanesque. Where available, Roman brick and stone buildings were heavily robbed for their materials. From the fairly tentative beginnings known as the First Romanesque, the style flourished and spread across Europe in a remarkably homogeneous form. The features are massive stone walls, openings topped by semi-circular arches, small windows and, particularly in France, arched stone vaults.

In the decorative arts, Celtic and Germanic barbarian forms were absorbed into Christian art, although the central impulse remained Roman and Byzantine. High quality jewellery and religious imagery were produced throughout Western Europe, Charlemagne and other monarchs provided patronage for religious artworks such as reliquaries and books. Some of the principal artworks of the age were the fabulous Illuminated manuscripts produced by monks on vellum, using gold, silver and precious pigments to illustrate biblical narratives. Early examples include the Book of Kells and many Carolingian and Ottonian Frankish manuscripts.



Romanesque architecture at St. Michael's, Hildesheim

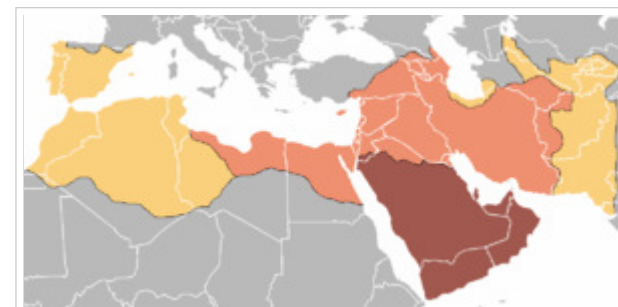
## High Middle Ages

The High Middle Ages were characterized by the urbanization of Europe, military expansion, and intellectual revival that historians identify between the 11th century and the end of the 13th century. This revival was aided by the conversion of the raiding Scandinavians and Magyars to Christianity, as well as the assertion of power by castellans to fill the power vacuum left by the Carolingian decline. The High Middle Ages saw an explosion in population. This population flowed into towns, sought conquests abroad, or cleared land for cultivation. The cities of antiquity had been clustered around the Mediterranean. By 1200 the growing urban centres were in the centre of the continent, connected by roads or rivers. By the end of this period Paris might have had as many as 200,000 inhabitants. In central and northern Italy and in Flanders the rise of towns that were self-governing to some degree within their territories stimulated the economy and created an environment for new types of religious and trade associations. Trading cities on the shores of the Baltic entered into agreements known as the Hanseatic League, and Italian city-states such as Venice, Genoa, and Pisa expanded their trade throughout the Mediterranean. This period marks a formative one in the history of the western state as we know it, for kings in France, England, and Spain consolidated their power during this time period, setting up lasting institutions to help them govern. The Papacy, which had long since created an ideology of independence from the secular kings, first asserted its claims to temporal authority over the entire Christian world. The entity that historians call the Papal Monarchy reached its apogee in the early 13th century under the pontificate of Innocent III. Northern Crusades and the advance of Christian kingdoms and military orders into previously pagan regions in the Baltic and Finnic northeast brought the forced assimilation of numerous native peoples to the European entity. With the brief exception of the Kipchak and Mongol invasions, major barbarian incursions ceased.

## Crusades



The Crusades were armed pilgrimages intended to liberate Jerusalem from Muslim control. Jerusalem was part of the Muslim possessions won during a rapid military expansion in the 7th century through the Near East, Northern Africa, and Anatolia (in modern Turkey). The first Crusade was preached by Pope Urban II at the Council of Clermont in 1095 in response to a request from the Byzantine emperor Alexios I Komnenos for aid against further advancement. Urban promised indulgence to any Christian who took the Crusader vow and set off for Jerusalem. The resulting fervour that swept through Europe mobilized tens of thousands of people from all levels of society, and resulted in the capture of Jerusalem in 1099 as well as other regions. The movement found its primary support in the Franks; it is by no coincidence that the Arabs referred to Crusaders generically as "*Frangj*". Although they were minorities within this region, the Crusaders tried to consolidate their conquests, as a number of Crusader states – the Kingdom of Jerusalem, as well as the County of Edessa, the Principality of Antioch, and the County of Tripoli (collectively Outremer). During the 12th century and 13th century there were a series of conflicts between these states and surrounding Islamic ones. Crusades were essentially resupply missions for these embattled kingdoms. Military orders such as the Knights Templar and the Knights Hospitaller were formed to play an integral role in this support.



The Muslim conquests of the 7th and 8th centuries  
 Expansion under the Prophet Mohammad, 622-632  
 Expansion during the Patriarchal Caliphate, 632-661  
 Expansion during the Umayyad Caliphate, 661-750

By the end of the Middle Ages the Christian Crusaders had captured all the Islamic territories in modern Spain, Portugal and Southern Italy. Meanwhile, Islamic counter attacks had retaken all the Crusader possessions on the Asian mainland, leaving a de facto boundary between Islam and western Christianity that continued until modern times.

Substantial areas of northern Europe also remained outside Christian influence until the 12th century or later; these areas also became crusading venues during the expansionist High Middle Ages. Throughout this period the Byzantine Empire was in decline, having peaked in influence during the High Middle Ages. Beginning with the Battle of Manzikert in 1071, the empire underwent a cycle of decline and renewal, including the sacking of Constantinople by the Fourth Crusade in 1204. Despite another short upswing following the recapture of Constantinople in 1261, the empire continued to deteriorate.

## Science and technology



During the early Middle Ages and the Islamic Golden Age, Islamic philosophy, science, and technology were more advanced than in Western Europe. Islamic scholars both preserved and built upon earlier Ancient Greek and Roman traditions and also added their own inventions and innovations. Islamic al-Andalus passed much of this on to Europe (see Islamic contributions to Medieval Europe). The replacement of Roman numerals with the decimal positional number system and the invention of algebra allowed more advanced mathematics. Another consequence was that the Latin-speaking world regained access to lost classical literature and philosophy. Latin translations of the 12th century fed a passion for Aristotelian philosophy and Islamic science that is frequently referred to as the Renaissance of the 12th century. Meanwhile, trade grew throughout Europe as the dangers of travel were reduced, and steady economic growth resumed. Cathedral schools and monasteries ceased to be the sole sources of education in the 11th century when universities were established in major European cities. Literacy became available to a wider class of people, and there were major advances in art, sculpture, music and architecture. Large cathedrals were built across Europe, first in the Romanesque, and later in the more decorative Gothic style.

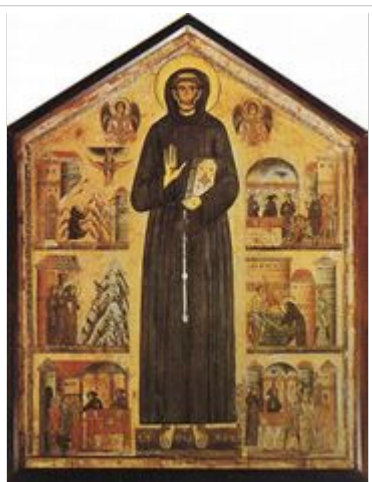
During the 12th and 13th century in Europe there was a radical change in the rate of new inventions, innovations in the ways of managing traditional means of production, and economic growth. The period saw major technological advances, including the invention of cannon, spectacles, and artesian wells; and the cross-cultural introduction of gunpowder, silk, the compass, and the astrolabe from the east. There were also great improvements to ships and the clock. The latter advances made possible the dawn of the Age of Exploration. At the same time huge numbers of Greek and Arabic works on medicine and the sciences were translated and distributed throughout Europe. Aristotle especially became very important, his rational and logical approach to knowledge influencing the scholars at the newly forming universities which were absorbing and disseminating the new knowledge during the 12th Century Renaissance.



Cambridge and many other universities were founded at this time.

## Religious and social change

Monastic reform became an important issue during the 11th century, when elites began to worry that monks were not adhering to their Rules with the discipline that was required for a good religious life. During this time, it was believed that monks were performing a very practical task by sending their prayers to God and inducing Him to make the world a better place for the virtuous. The time invested in this activity would be wasted, however, if the monks were not virtuous. The monastery of Cluny, founded in the Mâcon in 909, was founded as part of a larger movement of monastic reform in response to this fear. It was a reformed monastery that quickly established a reputation for austerity and rigour. Cluny sought to maintain the high quality of spiritual life by electing its own abbot from within the cloister, and maintained an economic and political independence from local lords by placing itself under the protection of the Pope. Cluny provided a popular solution to the problem of bad monastic codes, and in the 11th century its abbots were frequently called to participate in imperial politics as well as reform monasteries in France and Italy.



St Francis of Assisi, depicted by Bonaventura in 1235, brought about reform in the church

Monastic reform inspired change in the secular church, as well. The ideals that it was based upon were brought to the papacy by Pope Leo IX on his election in 1049, providing the ideology of clerical independence that fuelled the Investiture Controversy in the late 11th century. The Investiture Controversy involved Pope Gregory VII and Henry IV, Holy Roman Emperor, who initially clashed over a specific bishop's appointment and turned into a battle over the ideas of investiture, clerical marriage, and simony. The Emperor, as a Christian ruler, saw the protection of the Church as one of his great rights and responsibilities. The Papacy, however, had begun insisting on its independence from secular lords. The open warfare ended with Henry IV's occupation of Rome in 1085, and the death of the Pope several months later, but the issues themselves remained unresolved even after the compromise of 1122 known as the Concordat of Worms. The conflict represents a significant stage in the creation of a papal monarchy separate from lay authorities. It also had the permanent consequence of empowering German princes at the expense of the German emperors.

The High Middle Ages was a period of great religious movements. The Crusades, which have already been mentioned, have an undeniable religious aspect. Monastic reform was similarly a religious movement effected by monks and elites. Other groups sought to participate in new forms of religious life. Landed elites financed the construction of new parish churches in the European countryside, which increased the Church's impact upon the daily lives of peasants. Cathedral canons adopted monastic rules, groups of peasants and laypeople abandoned their possessions to live like the Apostles, and people formulated ideas about their religion that were deemed heretical. Although the success of the 12th century papacy in fashioning a Church

that progressively affected the daily lives of everyday people cannot be denied, there are still indicators that the tail could wag the dog. The new religious groups called the Waldensians and the Humiliati were condemned for their refusal to accept a life of cloistered monasticism. In many aspects, however, they were not very different from the Franciscans and the Dominicans, who were approved by the papacy in the early 13th century (the Franciscan and the Dominican friars developed the popular sermon). The picture that modern historians of the religious life present is one of great religious zeal welling up from the peasantry during the High Middle Ages, with clerical elites striving, only sometimes successfully, to understand and channel this power into familiar paths.

## Late Middle Ages





The Late Middle Ages were a period initiated by calamities and upheavals. During this time, agriculture was affected by a climate change that has been documented by climate historians, and was felt by contemporaries in the form of periodic famines, including the Great Famine of 1315-1317. The Black Death, a bacterial disease that spread among the malnourished populace like wildfire, killed as much as a third of the population in the mid-14th century, in some regions the toll was as high as one half of the population. Towns were especially hard-hit because of the crowded conditions. Large areas of land were left sparsely inhabited, and in some places fields were left unworked. As a consequence of the sudden decline in available labourers, the price of wages rose as landlords sought to entice workers to their fields. Workers also felt that they had a right to greater earnings, and popular uprisings broke out across Europe. This period of stress, paradoxically, witnessed creative social, economic, and technological responses that laid the groundwork for further great changes in the Early Modern Period. It was also a period when the Catholic Church was increasingly divided against itself. During the time of the Western Schism, the Church was led by as many as three popes at one time. The divisiveness of the Church undermined papal authority, and allowed the formation of national churches. The final fall of The Roman Empire was the Fall of Constantinople to the Ottoman Turks in 1453. It had a great effect upon the European economy and intellectual and religious life.



A bishop blesses victims of the Black Death

## State resurgence

The Late Middle Ages also witnessed the rise of strong, royalty-based nation-states, particularly the Kingdom of England, the Kingdom of France, and the Christian kingdoms of the Iberian Peninsula (Aragon, Castile, Navarre and Portugal).

The long conflicts of this time, such as the Hundred Years' War fought between England and France, actually strengthened royal control over the kingdoms, even though they were extremely hard on the peasantry. Kings profited from warfare by gaining land.



The *Allegory of Good Government* was painted for the town council in Siena by Ambrogio Lorenzetti

France shows clear signs of a growth in royal power during the 14th century, from the active persecution of heretics and lepers, expulsion of the Jews, and the dissolution of the Knights Templar. In all of these cases, undertaken by Philip IV, the king confiscated land and wealth from these minority groups. The conflict between Philip and Pope Boniface VIII, a conflict which began over Philip's unauthorized taxation of clergy, ended with the violent death of Boniface and the installation of Pope Clement V, a weak, French-controlled pope, in Avignon. This action enhanced French prestige, at the expense of the papacy.

England, too, began the 14th century with warfare and expansion. Edward I waged war against the Principality of Wales and the Kingdom of Scotland, with mixed success, to assert what he considered his right to the entire island of Great Britain.

Both the Kings of France and the Kings of England of this period presided over effective states administered by literate bureaucrats and sought baronial consent for their decisions through early versions of parliamentary systems, called the Estates General in France and the Parliament in England. Towns and merchants allied with kings during the 15th century,



allowing the kings to distance themselves further from the territorial lords. As a result of the power gained during the 14th and 15th centuries, late medieval kings built truly sovereign states, which were able to impose taxes, declare war, and create and enforce laws, all by the will of the king. Kings encouraged cohesion in their administration by appointing ministers with broad ambitions and a loyalty to the state. By the last half of the 15th century, kings like Henry VII of England and Louis XI of France were able to rule without much baronial interference.

## Hundred Years' War

The Hundred Years' War was a conflict between France and England, lasting 116 years from 1337 to 1453. It was fought primarily over claims by the English kings to the French throne and was punctuated by several brief and two lengthy periods of peace before it finally ended in the expulsion of the English from France, with the exception of the Calais Pale. Thus, the war was in fact a series of conflicts and is commonly divided into three or four phases: the Edwardian War (1337-1360), the Caroline War (1369-1389), the Lancastrian War (1415-1429), and the slow decline of English fortunes after the appearance of Joan of Arc, (1429-1453). Though primarily a dynastic conflict, the war gave impetus to ideas of both French and English nationality. Militarily, it saw the introduction of new weapons and tactics, which eroded the older system of feudal armies dominated by heavy cavalry. The first standing armies in Western Europe since the time of the Western Roman Empire were introduced for the war, thus changing the role of the peasantry. For all this, as well as for its long duration, it is often viewed as one of the most significant conflicts in the history of mediaeval warfare.

## Controversy within the Church

The troubled 14th century saw both the Avignon Papacy of 1305–1378, also called the *Babylonian Captivity of the Papacy* (a reference to the Babylonian Captivity of the Jews), and the so-called Western Schism that lasted from 1378–1418. The practice of granting papal indulgences, fairly commonplace since the 11th century, was reformulated and explicitly monetized in the 14th century. Indulgences came to be an important source of revenue for the Church, revenue that filtered through parish churches to bishoprics and then to the pope himself. This was viewed by many as a corruption of the Church. In the early years of the 15th century, after a century of turmoil, ecclesiastical officials convened in Constance in 1417 to discuss a resolution to the Schism. Traditionally, councils needed to be called by the Pope, and none of the contenders were willing to call a council and risk being unseated. The act of convening a council without papal approval was justified by the argument that the Church was represented by the whole population of the faithful. The council deposed the warring popes and elected Martin V. The turmoil of the Church, and the perception that it was a corrupted institution, sapped the legitimacy of the papacy within Europe and fostered greater loyalty to regional or national churches. Martin Luther published objections to the Church. Although his disenchantment had long been forming, the denunciation of the Church was precipitated by the arrival of preachers raising money to rebuild the Basilica of Saint Peter in Rome. Luther might have been silenced by the Church, but the death of the Holy Roman Emperor Maximilian I brought the imperial succession to the forefront of concern. Lutherans' split with the Church in 1517, and the subsequent division of Catholicism into Lutheranism, Calvinism, and Anabaptism put a definitive end to the unified Church built during the Middle Ages.

## Religion

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Joan of Arc in a 15th century miniature



- Church and state in medieval Europe
- The Crusades
- Pilgrimage
- Papacy
- Medieval Inquisition
- Heresy (for example, Arian; Cathar; John Wyclif; Hussites)
- Monastic orders
  - Benedictines
  - Carthusians
  - Cistercians
- Mendicant friars
  - Franciscans
  - Dominicans
  - Carmelites
  - Augustinians
- Judaism
- Islam (Western Europe): Al-Andalus; Emirate of Sicily
- Islam (Eastern Europe): Golden Horde; Crimean Khanate; Sultanate of Rûm & Ottoman Empire
- Reconquista
- Ottoman wars in Europe

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# Modern history

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**Modern history** describes the history of the Modern Times, the era after the Middle Ages.

## Modernity

The concepts and ideas developed since then are part of Modernity. Modern history may contain references to the history of Early modern Europe from the turn of the 15th century until the late 18th century, but generally refers to the history of the world since the advent of the Age of Reason and the Age of Enlightenment in the 17th and 18th centuries and the beginning of the Industrial Revolution. The term should not be confused with modernism, a late 19th and early 20th century movement in art.

## Industrial Revolution

### Modern Chronology

- Modern (Europe, 18th century – 20th century)
  - Industrial Revolution (Europe 18th and 19th centuries)
  - Napoleonic Era, 1799–1815
  - Victorian era (United Kingdom, 1837–1901)
  - Edwardian period (United Kingdom, 1901–1910)
  - Meiji era (Japan, 1868–1912)
  - World War I (Earth, 1914–1918)
  - Interwar period (Earth, 1918–1939\*)
  - World War II (Earth, 1939\*–1945)
  - Cold War (Soviet Union and United States, as well as Earth, 1945–1989)
  - Post-communist



The **Industrial Revolution** was the major technological, socioeconomic and cultural change in late 18th and early 19th century that began in Britain and spread throughout the world. During that time, an economy based on manual labour was replaced by one dominated by industry and the manufacture of machinery. It began with the mechanisation of the textile industries and the development of iron-making techniques, and trade expansion was enabled by the introduction of canals, improved roads and then railways. The introduction of steam power (fuelled primarily by coal) and powered machinery (mainly in textile manufacturing) underpinned the dramatic increases in production capacity. The development of all-metal machine tools in the first two decades of the 19th century facilitated the manufacture of more production machines for manufacturing in other industries.

The date of the Industrial Revolution is not exact. Eric Hobsbawm held that it 'broke out' in the 1780s and wasn't fully felt until the 1830s or 1840s, while T.S. Ashton held that it occurred roughly between 1760 and 1830 (in effect the reigns of George III, The Regency, and George IV).

The effects spread throughout Western Europe and North America during the 19th century, eventually affecting the majority of the world. The impact of this change on society was enormous and is often compared to the Neolithic revolution, when mankind developed agriculture and gave up its nomadic lifestyle.

The first Industrial Revolution merged into the Second Industrial Revolution around 1850, when technological and economic progress gained momentum with the development of steam-powered ships and railways, and later in the nineteenth century with the internal combustion engine and electric power generation.

It has been argued that GDP per capita was much more stable and progressed at a much slower rate until the industrial revolution and the emergence of the modern capitalist economy, and that it has since increased rapidly in capitalist countries.

## Napoleonic Era

The **Napoleonic Era** is a period in the History of France and Europe. It is generally classified as the fourth stage of the French Revolution, the first being the National Assembly, the second being the Legislative Assembly, and the third being the Directory. The Napoleonic Era begins roughly with Napoleon's coup d'état, overthrowing the Directory and ends at the Hundred Days and his defeat at Waterloo ( November 9, 1799 – June 28, 1815). The congress of Vienna soon set out to restore Europe to pre-French revolution days. And it was very sexy

## 19th century

The **19th century** lasted from 1801 to 1900 in the Gregorian calendar.

period (Russia,  
after 1991)



A Watt steam engine in Madrid. The development of the steam engine started the industrial revolution in England. The steam engine was created to pump water from coal mines, enabling them to be deepened beyond groundwater levels.



Historians sometimes define a "Nineteenth Century" historical era stretching from 1815 (the Congress of Vienna) to 1914 (the outbreak of the First World War); alternatively, Eric Hobsbawm defined the "Long Nineteenth Century" as spanning the years 1789 to 1914.

During this century, the Spanish, Portuguese, and Ottoman empires began to crumble and the Holy Roman and Mughal empires ceased.

Following the Napoleonic Wars, the British Empire became the world's leading power, controlling one quarter of the World's population and one third of the land area. It enforced a Pax Britannica, encouraged trade, and battled rampant piracy.

Slavery was greatly reduced around the world. Following a successful slave revolt in Haiti, Britain forced the Barbary pirates to halt their practice of kidnapping and enslaving Europeans, banned slavery throughout its domain, and charged its navy with ending the global slave trade. Slavery was then abolished in Russia, America, and Brazil (see Abolitionism).

Following the abolition of the slave trade, and propelled by economic exploitation, the Scramble for Africa was initiated formally at the Berlin West Africa Conference in 1884-1885. All the major European powers laid claim to the areas of Africa where they could exhibit a sphere of influence over the area. These claims did not have to have any substantial land holdings or treaties to be legitimate. The French gained major ground in West Africa, the British in East Africa, and the Portuguese and Spanish at various points throughout the continent, while King Leopold was able to retain his personal fiefdom, Congo.

Electricity, steel, and petroleum fueled a Second Industrial Revolution which enabled Germany, Japan, and the United States to become Great Powers that raced to create empires of their own. However, Russia and Qing Dynasty China failed to keep pace with the other world powers which led to massive social unrest in both empires.

## 20th century

Above all, the *20th century* is distinguished from most of human history in that its most significant changes were directly or indirectly economic and technological in nature.

Economic development was the force behind vast changes in everyday life, to a degree which was unprecedented in human history. The great changes of centuries before the 19th were more connected with ideas, religion or military conquest, and technological advance had only made small changes in the material wealth of ordinary people. Over the course of the 20th century, the world's per-capita gross domestic product grew by a factor of five , much more than all earlier centuries combined (including the 19th with its Industrial Revolution). Many economists make the case that this understates the magnitude of growth, as many of the goods and services consumed at the end of the century, such as improved medicine (causing world life expectancy to increase by more than two decades) and communications technologies, were not available at any price at its beginning. However, the gulf between the world's rich and poor grew much wider than it had ever been in the past, and the majority of the global population remained in the poor side of the divide.

Still, advancing technology and medicine has had a great impact even in the Global South. Large-scale industry and more centralized media made brutal dictatorships possible on an unprecedented scale in the middle of the century, leading to wars that were also unprecedented. However, the increased



communications contributed to democratization.

Technological developments included the development of airplanes and space exploration, nuclear technology, advancement in genetics, and the dawning of the Information Age.

Major political developments included the Israeli–Palestinian conflict, two world wars, and the Cold War.

## World War I

The **First World War**, also known as the **Great War**, **The War to End All Wars**, and **World War I** (abbreviated **WWI**) after 1939, was a world conflict, raging from July 1914 to the final Armistice on 1918- 11-11. The Allied Powers, led by the British Empire, France, Russia until March 1918, and the United States after 1917, defeated the Central Powers, led by the German Empire, Austro-Hungarian Empire and the Ottoman Empire. The war caused the disintegration of four empires — the Austro-Hungarian, German, Ottoman, and Russian ones — as well as radical change in the European and Middle Eastern maps. The Allied powers before 1917 are sometimes referred to as the Triple Entente, and the Central Powers are sometimes referred to as the Triple Alliance.

Much of the fighting in World War I took place along the Western Front, within a system of opposing manned trenches and fortifications (separated by a “No man's land”) running from the North Sea to the border of Switzerland. On the Eastern Front, the vast eastern plains and limited rail network prevented a trench warfare stalemate from developing, although the scale of the conflict was just as large. Hostilities also occurred on and under the sea and — for the first time — from the air. More than 9 million soldiers died on the various battlefields, and nearly that many more in the participating countries' home fronts on account of food shortages and genocide committed under the cover of various civil wars and internal conflicts. Notably, more people died of the worldwide influenza outbreak at the end of the war and shortly after than died in the hostilities. The unsanitary conditions engendered by the war, severe overcrowding in barracks, wartime propaganda interfering with public health warnings, and migration of so many soldiers around the world helped the outbreak become a pandemic.

Ultimately, World War I created a decisive break with the old world order that had emerged after the Napoleonic Wars, which was modified by the mid-19th century's nationalistic revolutions. The results of World War I would be important factors in the development of World War II approximately 20 years later..

## World War II

**World War II**, also **WWII**, or the **Second World War**, was a global military conflict that took place in 1939–1945. It was the largest and deadliest war in history, culminating in the Holocaust and ending with the dropping of the atom bomb.

Even though Japan had been fighting in China since 1937, the conventional view is that the war began on September 1, 1939, when Nazi Germany invaded Poland. Within two days the United Kingdom and France declared war on Germany, even though the fighting was confined to Poland. Pursuant to a then-secret provision of its non-aggression Molotov-Ribbentrop Pact, the Soviet Union joined with Germany on September 17, 1939, to conquer Poland and to divide Eastern Europe.

The Allies were initially made up of Poland, the United Kingdom, France, Australia, Canada, New Zealand, South Africa, as well as British Commonwealth

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countries which were controlled directly by the UK, such as the Indian Empire. All of these countries declared war on Germany in September 1939.

Following the lull in fighting, known as the "Phoney War", Germany invaded western Europe in May 1940. Six weeks later, France, in the mean time attacked by Italy as well, surrendered to Germany, which then tried unsuccessfully to conquer Britain. On September 27, Germany, Italy, and Japan signed a mutual defense agreement, the Tripartite Pact, and were known as the Axis Powers.

Nine months later, on June 22, 1941, Germany launched a massive invasion of the Soviet Union, which promptly joined the Allies. Germany was now engaged in fighting a war on two fronts. This proved to be a mistake by Germany - many historians believe that if Germany had successfully carried out the invasion of Britain and put forth their best effort, the war may have turned in favour of the Axis.

On December 7, 1941, Japan attacked the United States at Pearl Harbour, bringing it too into the war on the Allied side. China also joined the Allies, as eventually did most of the rest of the world. China was in turmoil at the time, and attacked Japanese armies through guerrilla-type warfare. By the beginning of 1942, the major combatants were aligned as follows: the British Commonwealth, the United States, and the Soviet Union were fighting Germany and Italy; and the British Commonwealth, China, and the United States were fighting Japan. From then through August 1945, battles raged across all of Europe, in the North Atlantic Ocean, across North Africa, throughout Southeast Asia, throughout China, across the Pacific Ocean and in the air over Japan.

Italy surrendered in September 1943 and split in a northern Germany-occupied puppet state and in an Allies-friendly state in the South; Germany surrendered in May 1945. Following the atomic bombings of Hiroshima and Nagasaki, Japan surrendered, marking the end of the war on September 2, 1945.

It is possible that around 62 million people died in the war; estimates vary greatly. About 60% of all casualties were civilians, who died as a result of disease, starvation, genocide (in particular, the Holocaust), and aerial bombing. The former Soviet Union and China suffered the most casualties. Estimates place deaths in the Soviet Union at around 23 million, while China suffered about 10 million. No country lost a greater portion of its population than Poland: approximately 5.6 million, or 16%, of its pre-war population of 34.8 million died.

The Holocaust (which roughly means "burnt whole") was the deliberate and systematic murder of millions of Jews and other unwanted (to the Nazis) peoples during World War II by the Nazi regime in Germany. Several differing views exist regarding whether it was intended to occur from the war's beginning, or if the plans for it came about later. Regardless, persecution of Jews extended well before the war even started, such as in the *Kristallnacht* (Night of Broken Glass). The Nazis used propaganda to great effect to stir up anti-Semitic feelings within ordinary Germans.

After World War II, Europe was informally split into Western and Soviet spheres of influence. Western Europe later aligned as North Atlantic Treaty Organization (NATO) and Eastern Europe as the Warsaw Pact. There was a shift in power from Western Europe and the British Empire to the two new superpowers, the United States and the Soviet Union. These two rivals would later face off in the Cold War. In Asia, the defeat of Japan led to its democratization. China's civil war continued through and after the war, resulting eventually in the establishment of the People's Republic of China. The former colonies of the European powers began their road to independence.

## Cold War and Contemporary History





After the Second World War, the Cold War between the "West" (USA, Western Europe, Japan) and the "East" (Soviet Union, Eastern Europe, and partially China) dominated politics from roughly 1943, still in the middle of the World War, until 1989 and 1990, in which the system conflict ended.

The Korean War and Vietnam War, later the Afghanistan occupation by the Soviet Union, dominated the political life, while the Generation of Love and the rise of computers changed society in very different, complex ways, including higher social and local mobility.

At the end of the twentieth century, the world was at a major crossroads. Throughout the century, more technological advances had been made than in all of preceding history. Computers, the Internet, and other technology radically altered daily lives. However, several problems faced the world.

First of all, the gap between rich and poor nations continued to widen. Some said that this problem could not be fixed, that there were a set amount of wealth and it could only be shared by so many. Others said that the powerful nations with large economies were not doing enough to help improve the rapidly evolving economies of the Third World. However, developing countries faced many challenges, including the scale of the task to be surmounted, rapidly growing populations, and the need to protect the environment, and the cost that goes along with it.

Secondly, disease threatened to destabilize many regions of the world. New viruses such as SARS, West Nile, and Bird Flu continued to spread quickly and easily. In poor nations, malaria and other diseases affected the majority of the population. Millions were infected with HIV, the virus which causes AIDS. The virus was becoming an epidemic in southern Africa.

Increased globalization, specifically Americanization, was also occurring. While not necessarily a threat, it was causing anti-Western and anti-American feelings in parts of the world, especially the Middle East. English was quickly becoming the global language, with people who did not speak it becoming increasingly disadvantaged.

Terrorism, dictatorship, and the spread of nuclear weapons were also issues requiring immediate attention. Dictators such as Kim Jong-il in North Korea continued to lead their nations toward the development of nuclear weapons. The fear existed that not only are terrorists already attempting to get nuclear weapons, but that they have already obtained them.

## 21st century

The 2000s decade refers to the years from 2000 to 2009 inclusively. Technically, however, the millennium began in 2001 because there is no such thing as the "year zero", but in informal and non-technical settings the millennium usually began in 2000. Many individuals do have their own beliefs of when the 2000s decade began. Informally, it can also include a few years at the end of the preceding decade or the beginning of the following decade. Others believe it pop culturally began right on target in 2000 or around 2002. Some also state that the symbolic beginning of the decade (and the 21st Century) was the 9/11 attacks, although others find this view pessimistic.

So far, the 2000s has been marked generally with an escalation of the social issues of the 1990s, which included the rise of terrorism, stress, the rapid, exponential expansion of economic globalization on an unprecedented scale, the rapid expansion of communications and telecommunications with mobile



phones and the Internet and international pop culture.

In North America and the Middle East, most major political developments in the 2000s revolved around the War on Terrorism and the Iraq War. Elsewhere, the major theme has been the rapid development of Asia's economic and political potential, with China, experiencing immense economic growth, moving toward the status of a regional power and billion-consumer market. India, along with many other developing countries, is also growing rapidly, and began integrating itself into the world economy.

A trend connecting economic and political events in North America, Asia and the Middle East is the rapidly increasing demand for fossil fuels, which, along with fewer new petroleum finds, greater extraction costs (see peak oil), and political turmoil, saw the price of gas and oil soar ~500% between 2000 and 2005. In some places, especially in Europe could see \$5 a gallon, depending on their currency.

Major events relating to the War on Terrorism include the September 11, 2001 Attacks, the Moscow Theatre Siege, the Madrid train bombings, the Beslan school hostage crisis, the 2005 London bombings, and the October 2005 New Delhi bombings.

The violence in Iraq, even after democratic elections on January 30th, 2005, caused much political stir in all countries occupying the country (USA, Britain, Australia, etc), and political debates of these countries in 2006 and 2007 are highly influenced by the unstable situation in the Near East, especially Iraq and the discussion over Iran's nuclear weapons program.

Less influential, but omnipresent, is the debate on Turkey's participation in the European Union.

## As a subject

Although many of the subjects of modern history coincide with that of standard history, the subject is taught in some parts of the world. A-level is the lowest tier of education at which modern history is taught in the UK, and students can also choose the subject at University. The material covered includes from the mid-18th century, to analysis of the present day. Virtually all colleges and sixth forms that do teach modern history do it alongside standard history; very few teach the subject exclusively.

## Oxford

At the University of Oxford 'Modern History' has a somewhat different meaning. The contrast is not with the Middle Ages but with Antiquity. The earliest period that can be studied in the Final Honour School of Modern History begins in 285.

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# Mughal Empire

2008/9 Schools Wikipedia Selection. Related subjects: General history

The **Mughal Empire** ( Persian: **سلطنت مغولی هند**, *Solṭanat Moġuli Hend*; Urdu: **مغلیہ سلطنت**, *Muġalīh Sulṭanat*; self-designation: **گورکانی**, *Gurakāni*), was an imperial power which ruled most of the Indian subcontinent from the early 16th to the mid-19th centuries. At the height of its power, around 1700, it controlled most of the subcontinent and parts of what is now Afghanistan. Its population at that time has been estimated as between 110 and 130 million, over a territory of over 4 million km<sup>2</sup> (1.5 million mi<sup>2</sup>). Following 1725 it declined rapidly. Its decline has been variously explained as caused by wars of succession, agrarian crises fuelling local revolts, the growth of religious intolerance and British colonialism. The last Emperor, Bahadur Shah II, whose rule was restricted to the city of Delhi, was imprisoned and exiled by the British after the Indian Rebellion of 1857.

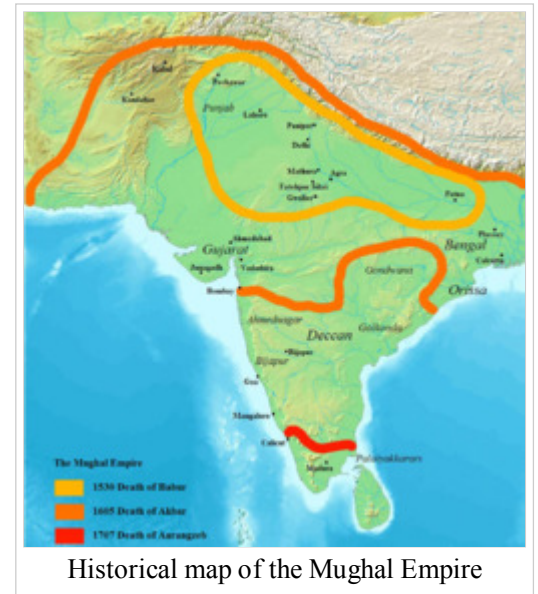
The classic period of the Empire starts with the accession of Akbar the Great in 1556 and ends with the death of Aurangzeb in 1707, although the Empire continued for another 150 years. During this period, the Empire was marked by a highly centralized administration connecting the different regions of India. All the significant monuments of the Mughals, their most visible legacy, date to this period.

## Early history

The foundation for Mughal empire was established around 1504 by the Timurid prince Babur, a descendant of Genghis Khan and Timur, when he took control of Kabul and eastern regions of Khorasan controlling the fertile Sindh region and the lower valley of the Indus River.

In 1526, Babur defeated the last of the Delhi Sultans, Ibrahim Shah Lodi, at the First Battle of Panipat. To secure his newly founded kingdom, Babur then had to face the Rajput confederacy led by Rana Sanga of Chittor, at the battle of Khanwa. These early military successes of the Mughals, achieved by an army much smaller than its opponents, have been attributed to their cohesion, mobility, horse-mounted archers, and use of artillery.

Babur's son Humayun succeeded him in 1530 but suffered major reversals at the hands of the Pashtun Sher Shah Suri and effectively lost most of the fledgling empire before it could grow beyond a minor regional state. From 1540 Humayun became a ruler in exile, reaching the Court of Safavid ruler in 1542 while his forces still controlled some fortresses and small regions. But when the Afghans fell into disarray with the



<b>گورکانی</b> <b>The Mughal Empire</b>	
← <span style="border: 1px solid black; display: inline-block; width: 20px; height: 10px;"></span> <b>1526 – 1857</b> <span style="border: 1px solid black; display: inline-block; width: 10px; height: 10px; background-color: red;"></span> →	
<b>Capital</b>	Lahore, Delhi, Agra
<b>Language(s)</b>	Persian (initially also Chagatai; later also Urdu)
<b>Government</b> <b>Emperor</b>	Monarchy



death of Sher Shah Suri, Humayun returned with a mixed army, raised more troops and managed to reconquer Delhi in 1555.

Humayun crossed the rough terrain of Makran with his wife, but left behind their infant son Akbar to spare him the rigours of the journey. Akbar was eventually transported from the Rajput fortress of Umarkot in Sind where he was born, to Afghanistan to be raised by his uncle Askari. There he became an excellent outdoors man, horseman, hunter and learned the arts of war.

The resurgent Humayun conquered the central plateau around Delhi, but months later died in an accident, leaving the realm unsettled and in war. Akbar succeeded his father on 14 February 1556, while in the midst of a war against Sikandar Shah Suri for the reclamation of the Mughal throne. He soon won his first victory at age 13 or 14. The rump remnant began to grow, then it grew considerably. He became called Akbar, as he was a wise ruler, set fair but steep taxes. He investigated the production in a certain area and taxed inhabitants 1/3 of their agricultural produce. He also set up an efficient bureaucracy and was tolerant of religious differences which softened the resistance by the conquered.

Jahangir, the son of Mughal Emperor Akbar and Rajput princess Mariam-uz-Zamani, ruled the empire from 1605– 1627. In October 1627, Shah Jahan, son of Mughal Emperor Jahangir and Rajput princess Manmati, succeeded to the throne, where he inherited a vast and rich empire in India. At mid-century this was perhaps the greatest empire in the world. Shah Jahan commissioned the famous Taj Mahal ( 1630– 1653) in Agra as a tomb for his wife Mumtaz Mahal, who died giving birth to their 14th child. By 1700 the empire reached its peak with major parts of present day India, except for the North eastern states, the Sikh lands in Punjab, the lands of the Marathas, areas in the south and most of Afganistan under its domain, under the leadership of Aurangzeb Alamgir. Aurangzeb was the last of what are now referred to as the Great Mughal kings.

## Religion

After the invasion of Persia by the Mongol Empire, a regional Turko-Persio-Mongol dynasty formed. Just as eastern Mongol dynasties inter-married with locals and adopted the local religion of Buddhism and the Chinese culture, this group adopted the local religion of Islam and the Persian culture. The first Mughal King, Babur, established the Mughal dynasty in regions spanning parts of present-day Pakistan and India. Upon invading this region, the Mughals inter-married with local royalty once again, creating a dynasty of combined Turko-Persian, and Mongol background. King Babur did this to create peace among the different religions in the region. In accordance to Islamic values, Babur focused on setting a good example for the Mughal Dynasty by emphasizing religious tolerance.

The language of the court was Persian. The language spoken was Urdūn, which today has advanced into Urdu. Urdūn originated from Persio-Arabic formation, and took on various characteristics of Persian, Chagatai, and Arabic. Today, Urdu is the National Language of Pakistan and is spoken by Indian Muslims.

- 1526-1530	Babur
- 1530–1539 and after restoration 1555–1556	Humayun
- 1556–1605	Akbar
- 1605–1627	Jahangir
- 1628–1658	Shah Jahan
- 1659–1707	Aurangzeb

Later Emperors =  
1707-1857

### History

- Established	April 21, 1526
- Ended	September 21, 1857

### Area

3,000,000 km<sup>2</sup>  
(1,158,306 sq mi)

### Population

- 1700 est.	150,000,000
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### Currency

Rupee



The dynasty remained unstable until the reign of Akbar, who was of liberal disposition and intimately acquainted, since birth, with the mores and traditions of Islam in the Indian sub-continent. Under Akbar's rule, the court abolished the jizya (minor tax on non-Muslims comparable with zakat for Muslims) and abandoned use of the muslim lunar calendar in favour of a solar calendar . One of Akbar's most unusual ideas regarding religion was Din-i-Ilahi (Faith of God), which was an eclectic mix of Islam, Zoroastrianism, Jainism and Christianity. It was proclaimed the state religion until his death. These actions however met with stiff opposition from the muslim clergy, especially the Sufi Shaykh Alf Sani Ahmad Sirhindi. Akbar is remembered as tolerant, at least by the standards of the day: only one major massacre was recorded during his long reign (1556–1605), when he ordered most of the captured inhabitants of a fort be slain on February 24, 1568, after the battle for Chitor. Akbar's acceptance of other religions and toleration of their public worship, his abolition of poll-tax on non-Muslims, and his interest in other faiths show an attitude of considerable religious tolerance, which, in the minds of his orthodox Muslim opponents, was tantamount to apostasy. He made the formal declaration of his own infallibility in all matters of religious doctrine, promulgated a new creed, and adopted Hindu and Zoroastrian festivals and practices.

The emperor Jahangir was also a religious moderate. His mother being Hindu and his father setting up an independent faith-of-the-court ('Din-i-Ilahi') and the influence of his two Hindu queens (the Maharani Maanbai and Maharani Jagat) kept religious moderation as a centre-piece of state policy which was extended under the emperor Shah Jahan. Religious orthodoxy would only play an important role during the reign of Aurangzeb Ālamgīr, a devout Muslim. Under Aurangzeb, state persecution of non-Muslims reached a zenith. The religious tyranny unleashed by Aurangzeb to sanctify his warlust led to wars with the Hindu Rajputs, Marathas as well as Muslim kingdoms of Bijapur and Hyderabad and the complete subjugation of the Lucknow Nawabs. This last of the Great Mughals retracted most of the tolerant policies of his forbears. Under his reign the empire reached its greatest extent in terms of territorial gain and economic strength.

## 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* had to promise. The *mansab* was both revocable and non-hereditary; this gave the centre a fairly large degree of control over the *mansabdars*.

## Establishment and reign of Babur

In the early 16th century, Muslim armies consisting of Mongol, Turkic, Persian, and Afghan warriors invaded India under the leadership of the Timurid prince Zahir-ud-Din-Muhammad Babur. Babur was the great-grandson of Central Asian conqueror Timur-e Lang (Timur the Lame, from which the Western name Tamerlane is derived), who had invaded India in 1398 before retiring to Samarkand. Timur himself claimed descent from the Mongol ruler, Genghis Khan. Babur was driven from Samarkand by the Uzbeks and initially established his rule in Kabul in 1504. Later, taking advantage of internal discontent in the Delhi sultanate under Ibrahim Lodi, and following an invitation from Daulat Khan Lodhi (governor of Punjab) and Alam Khan (uncle of the Sultan), Babur invaded India in 1526.



Babur, a seasoned military commander, entered India in 1526 with his well-trained veteran army of 12,000 to meet the sultan's huge but unwieldy and disunited force of more than 100,000 men. Babur defeated the Lodhi sultan decisively at the First Battle of Panipat. Employing firearms, gun carts, movable artillery, superior cavalry tactics, and the highly regarded Mughal composite bow, a weapon even more powerful than the English longbow of the same period, Babur achieved a resounding victory and the Sultan was killed. A year later ( 1527) he decisively defeated, at the Battle of Khanwa, a Rajput confederacy led by Rana Sanga of Chittor. A third major battle was fought in 1529 at Gogra, where Babur routed the joint forces of Afghans and the sultan of Bengal. Babur died in 1530 in Agra before he could consolidate his military gains. During his short five-year reign, Babur took considerable interest in erecting buildings, though few have survived. He left behind as his chief legacy a set of descendants who would fulfil his dream of establishing an Islamic empire in the Indian subcontinent.

## Successors

### Mughal Emperors

Emperor	Name	Reign start	Reign end
<b>Babur</b>	Zahiruddin Mohammed	1526	1530
<b>Humayun</b>	Nasiruddin Mohammed	1530	1540
<b>Interregnum</b> * -		1540	1555
<b>Humayun</b>	Nasiruddin Mohammed	1555	1556
<b>Akbar</b>	Jalaluddin Mohammed	1556	1605
<b>Jahangir</b>	Nuruddin Mohammed	1605	1627
<b>Shah Jahan</b>	Shihabuddin Mohammed	1627	1658
<b>Aurangzeb</b>	Muhiuddin Mohammed	1658	1707

\* Afghan Rule ( Sher Shah Suri and his descendants)

## Humayun

When Babur died, his son Humayun (1530–1556) inherited a difficult task. He was pressed from all sides by a reassertion of Afghan claims to the Delhi throne and by disputes over his own succession. Driven into Sindh by the armies of Sher Shah Suri, in 1540 he fled to the Rajput Kingdom of Umarkot then to Persia, where he spent nearly ten years as an embarrassed guest of the Safavid court of Shah Tahmasp. During Sher Shah's reign, an imperial unification and administrative framework were established; this would be further developed by Akbar later in the century. In addition, the tomb of Sher Shah Suri is an architectural masterpiece that was



### History of South Asia

#### (Indian Subcontinent)

Stone Age	70,000–3300 BCE
• Mehrgarh Culture	• 7000–3300 BCE
Indus Valley Civilization	3300–1700 BCE
Late Harappan Culture	1700–1300 BCE
Vedic period	1500–500 BCE
Iron Age	1200–300 BCE
• Maha Janapadas	• 700–300 BCE
• Magadha Empire	• 545 BCE - 550
• Maurya Empire	• 321–184 BCE
Middle Kingdoms	250 BCE–1279 CE
• Chola Empire	• 250 BCE–1070 CE
• Satavahana	• 230 BCE–220 CE
• Kushan Empire	• 60–240 CE
• Gupta Empire	• 280–550 CE
• Pala Empire	• 750–1174 CE
• Chalukya Dynasty	• 543–753 CE



to have a profound impact on the evolution of Indo-Islamic funerary architecture. In 1545, Humayun gained a foothold in Kabul with Safavid assistance and reasserted his Indian claims, a task facilitated by the weakening of Afghan power in the area after the death of Sher Shah Suri in May 1545. He took control of Delhi in 1555, but died within six months of his return, from a fall down the steps of his library. His tomb at Delhi represents an outstanding landmark in the development and refinement of the Mughal style. It was designed in 1564, eight years after his death, as a mark of devotion by his widow, Hamida Banu Begum.

## Akbar

Humayun's untimely death in 1556 left the task of conquest and imperial consolidation to his thirteen-year-old son, Jalal-ud-Din mohammad Akbar (r.1556– 1605). Following a decisive military victory at the Second Battle of Panipat in 1556, the regent Bairam 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 200 years. With the aide of his legendary Navaratnas, 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.

• Rashtrakuta	• 753–982 CE
• Western Chalukya Empire	• 973–1189 CE
• Hoysala Empire	1040–1346
• Kakatiya Empire	1083–1323
Islamic Sultanates	1206–1596
• Delhi Sultanate	• 1206–1526
• Deccan Sultanates	• 1490–1596
Ahom Kingdom	1228–1826
Vijayanagara Empire	1336–1646
<b>Mughal Empire</b>	1526–1858
Maratha Empire	1674–1818
Sikh Confederacy	1716–1799
Sikh Empire	1801–1849
British East India Company	1757–1858
British Raj	1858–1947
Modern States	1947–present

### Nation histories

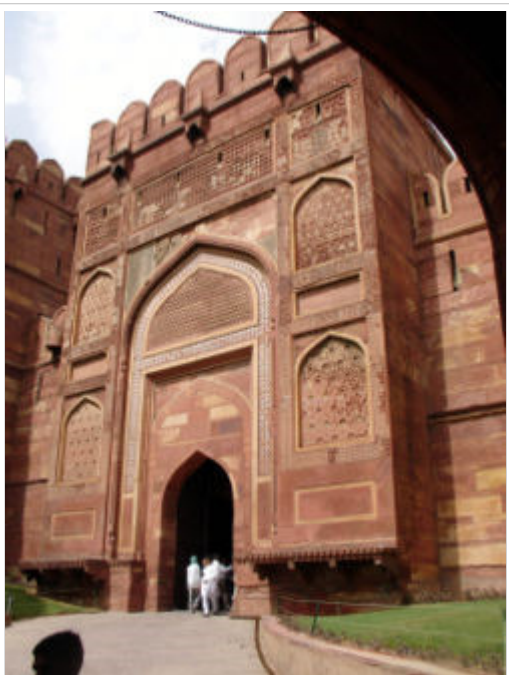
**Bangladesh • Bhutan • Republic of India  
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North India • South India • Tibet

### Specialised histories

Coinage • Dynasties • Economy  
Indology • Language • Literature • Maritime  
Military • Science and Technology • Timeline



The main Gate of the Agra Fort

Starting in 1571, Akbar built a walled capital called Fatehpur Sikri (*Fatehpur* means "town of victory") near Agra. Palaces for each of Akbar's senior queens, a huge artificial lake, and sumptuous water-filled courtyards were built there. However, the city was soon abandoned and the capital was 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, 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 Todar Mal, a Hindu scholar, Akbar issued a revenue schedule that optimized the revenue needs of the state with the ability of the peasantry to pay. 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 to act as revenue-collectors. 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 non-hereditary 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 Jodhabai, later renamed Mariam-uz-Zamani Begum, 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 "rulership 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 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 north India and south of the Narmada river. Notable exceptions were Gondwana in central India, which paid tribute to the Mughals, Assam in the northeast, and large parts of the Deccan. The area south of the Godavari river remained entirely out of the ambit of the Mughals. In 1600, Akbar's empire had a revenue of £17.5 million. By comparison, in 1800, the entire treasury of Great Britain totalled £16 million.

Akbar's empire supported vibrant intellectual and cultural life. The large imperial library included books in Hindi, Persian, Greek, Kashmiri, English, and Arabic, such as the Shahnameh, Bhagavata Purana and the Bible. Akbar regularly sponsored debates and dialogues among religious and intellectual figures with differing views, and he welcomed Jesuit missionaries from Goa to his court. Akbar directed the creation of the Hamzanama, an artistic masterpiece that included





1400 large paintings. Architecture flourished during his reign. One of his first major building projects was the construction of a huge fort at Agra. The massive sandstone ramparts of the Red Fort are another impressive achievement. The most ambitious architectural exercise of Akbar, and one of the most glorious examples of Indo-Islamic architecture, was the creation of an entirely new capital city at Fatehpur Sikri.

## Jahangir

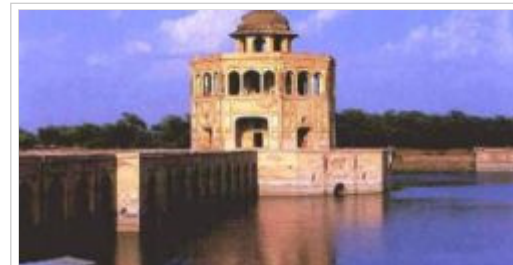
After the death of Akbar in 1605, his son, Prince Salim, ascended the throne and assumed the title of Jahangir, "Seizer of the World". He was assisted in his artistic attempts by his wife, Nur Jahan. The Mausoleum of Akbar at Sikandra, outside Agra, represents a major turning point in Mughal history, as the sandstone compositions of Akbar were adapted by his successors into opulent marble masterpieces. Jahangir is the central figure in the development of the Mughal garden. The most famous of his gardens is the Shalimar Bagh on the banks of Dal Lake in Kashmir.

Mughal rule under Jahangir (1605– 27) and Shah Jahan ( 1628– 58) was noted for political stability, brisk economic activity, beautiful paintings, and monumental buildings. Jahangir's wife Nur Jahan (Light of the World), 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. However, the number of unproductive officers mushroomed in the state bureaucracies, as did corruption, while the excessive Persian representation upset the delicate balance of impartiality at the court.

The reign of Jahangir was also known for religious persecution. Joint Hindu and Jain forces were rebelling against the government and disrupting society. Upon stopping the rebellion, he severely persecuted the Jains and destroyed Hindu temples. Guru Arjun, the fifth Guru of Sikhs, was tortured to death during his reign. Although his relations with the son of Guru Arjun, Guru Hargobind, remained very cordial and friendly. It is contended that Guru Arjun and the Jains suffered because of their disrespect of the Empire.

Nur Jahan's abortive efforts to secure the throne for the prince of her choice (Khurram - later Shah Jahan) led the first-born, Prince Khusrau (Maharani Maanbai's son) to rebel against Jahangir in 1622. In that same year, the Persians took over Kandahar in southern Afghanistan, an event that struck a serious blow to Mughal prestige. Jahangir also had the *Tuzak-i-Jahangiri* composed as a record of his reign.

## Shah Jahan



The Hiran Minar located in Sheikhpura, was a tribute to Jahangir's favourite antelope.



The Taj Mahal is the most famous monument built by the Mughals. It was built by Prince Khurram who ascended the throne in 1628 as Emperor Shah Jahan. Between 1636 and 1646, Shah Jahan sent Mughal armies to conquer the Deccan and the lands to the northwest of the empire, 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, causing the nobles and their contingents to multiply almost fourfold, the demands for revenue from the peasantry were greatly increased. 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.

However, Shah Jahan's reign is remembered more for monumental architectural achievements than anything else. The single most important architectural change was the use of marble instead of sandstone. He demolished the austere sandstone structures of Akbar in the Red Fort and replaced them with marble buildings such as the Diwan-i-Am (hall of public audience), the Diwan-i-Khas (hall of private audience), and the Moti Masjid (Pearl Mosque). The tomb of Itmiad-ud-Daula, the grandfather of his queen, Mumtaz Mahal, was also constructed on the opposite bank of the Jamuna or Yamuna. In 1638 he began to lay out the city of Shahjahanabad beside the Jamuna river further North in Delhi. The Red Fort at Delhi represents the pinnacle of centuries of experience in the construction of palace-forts. Outside the fort, he built the Jama Masjid, the largest mosque in India. However, it is for the Taj Mahal, which he built as a memorial to his beloved wife, Mumtaz Mahal, that he is most often remembered.

Shah Jahan's extravagant architectural indulgence had a heavy price. The peasants had been impoverished by heavy taxes and by the time his son Aurangzeb ascended the throne, the empire was in a state of insolvency. As a result, opportunities for grand architectural projects were severely limited. This is most easily seen at the Bibi-ki-Maqbara, the tomb of Aurangzeb's wife, built in 1678. Though the design was inspired by the Taj Mahal, it is half its size, the proportions compressed and the detail clumsily executed.

The Taj Mahal thus symbolizes both Mughal artistic achievement and excessive financial expenditures at a time when resources were shrinking. The economic positions 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 were primarily personal or familial gain, to generate resources independent of what was received from the Hindu zamindars and village leaders, who, due to self-interest and local dominance, did not hand over the entirety of the tax revenues 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.

### **The Reign of Aurangzeb and the decline of the empire**



The Taj Mahal, Islamic India's most famed monument



The last of the Great Mughals was Aurangzeb Alamgir. During his fifty-year reign, the empire reached its greatest physical size (the Bijapur and Golconda Sultanates which had been reduced to vassaldom by Shah Jahan were formally annexed), but also showed unmistakable signs of decline. The bureaucracy had grown corrupt; the huge army used outdated weaponry and tactics. Aurangzeb restored Mughal military dominance and expanded power southward, at least for a while. Aurangzeb was involved in a series of protracted wars against the sultans of Bijapur and Golkonda in the Deccan, the Rajputs of Rajasthan, Malwa, and Bundelkhand, 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. From the early 1700s the campaigns of the Sikhs of Punjab under leaders such as Banda Bahadur, inspired by the martial teachings of their last Guru, Guru Gobind Singh, also posed a considerable threat to Mughal rule in Northern India.

But most decisively the series of wars against the Pashtuns in Afghanistan weakened the very foundation upon which Moghul military rested. The Pashtuns formed the backbone of the Mughal army and were some of the most hardened troops. The antagonism showed towards the erstwhile Mughal General Khushal Khan Khattak, for one, seriously undermined the Mughal military apparatus.

Aurangzeb made his religion an important part of his reign. However, that brought about some resentment. For instance, the *jiziyah* tax which non-Muslims had to pay was re-introduced; the reason for the *jiziyah* tax is because military service is compulsory for Muslims in the Mughal empire. Non-Muslims were not required to fight in the army of their own empire (it wasn't compulsory for non-Muslims to serve in the army). Since taxation is how the government continued to fund its services, this is the reason Aurangzeb reinstated the *jiziyah* tax. Muslims had a different form of taxation, the *zakat*. In this climate, 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 or governors broke away and founded independent kingdoms such as the Marathas to the southwest and the Sikhs in the northwest. In the war of 27 years from 1681 to 1707, the Mughals suffered several heavy defeats at the hands of the Marathas. In the early 1700s the Sikhs became increasingly militant in an attempt to establish their own country where only they would control and govern. They had to make peace with the Maratha armies. Nader Shah defeated the Mughal army at the huge Battle of Karnal in February, 1739. After this victory, Nader captured and sacked Delhi, carrying away many treasures, including the Peacock Throne. In 1761, Delhi was raided by Ahmed Shah Abdali after the Third battle of Panipat.

The decline of the Mughal Empire has been ascribed to several reasons. Some historians such as Irfan Habib have described the decline of the Mughal Empire in terms of class struggle. Habib proposed that excessive taxation and repression of peasants created a discontented class that either rebelled itself or supported rebellions by other classes and states. Athar Ali proposed a theory of a "jagirdari crisis." According to this theory, the influx of a large number of new Deccan nobles into the Mughal nobility during the reign of Aurangzeb created a shortage of agricultural crown land meant to be allotted, and destroyed the crown lands altogether. The most obvious concept is that of increasing European hegemony and spheres of influence in the region. The powers of Europe were challenging themselves to the game of who could conquer these foreign lands and exploit their riches and wealth for their own personal gain. Other theories put weight on the devious role played by the Saeed brothers in destabilizing the Mughal throne and auctioning the agricultural crown lands to the Dutch or the British for revenue extraction.



One of the thirteen gates at the Lahore Fort, this one was actually built by Mughal Emperor Aurangzeb and named Alamgir



## The lesser Mughals

- Bahadur Shah I (Shah Alam I), b. October 14, 1643 at Burhanpur, ruler 1707– 12, d. February 1712 in Lahore.
- Jahandar Shah, b. 1664, ruler 1712– 13, d. February 11, 1713 in Delhi.
- Furrukhsiyar, b. 1683, r. 1713– 19, d. 1719 at Delhi.
- Rafi Ul-Darjat, ruler 1719, d. 1719 in Delhi.
- Rafi Ud-Daulat (Shah Jahan II), ruler 1719, d. 1719 in Delhi.
- Nikusiyar, ruler 1719, d. 1719 in Delhi.
- Mohammed Ibrahim, ruler 1720, d. 1720 in Delhi.
- Muhammad Shah, b. 1702, ruler 1719– 48, d. April 26, 1748 in Delhi.
- Ahmad Shah Bahadur, b. 1725, ruler 1748–54, d. January 1775 in Delhi.
- Alamgir II, b. 1699, ruler 1754–59, d. 1759.
- Shah Jahan III, ruler 1760
- Shah Alam II, b. 1728, ruler 1759–1806, d. 1806.
- Akbar Shah II, b. 1760, ruler 1806–37, d. 1837.
- Bahadur Shah II aka Bahadur Shah Zafar, b. 1775 in Delhi, ruler from 1837–57, d. 1862 in exile in Rangoon, Burma.

## Present-day descendants

A few descendants of Bahadur Shah Zafar are known to be living in Delhi, Kolkata (previously called Calcutta), Hyderabad, and Burma. Some of the direct descendants still identify themselves with the clan name Timur and with one of its four major branches: Shokohane-Timur (Shokoh), Shahane-Timur (Shah), Bakshane-Timur (Baksh) and Salatine-Timur (Sultan). Some direct descendants of the Timur carry the surname of Mirza, Baig and Jangda are found predominantly in Pakistan, especially in major cities like Multan and Lahore and in India, particularly Delhi. A number of 'imposter' Mughals, ie people who do not have authentic right to decent are to be found in both Pakistan and India. However, good genealogical records exist for most families in the subcontinent and are often consulted for establishing the authenticity of their claims. Some descendants of the Mughal empire have even settled in the west in places like America and Europe. Some Burmese decedents of Bahadur Shah Zafar live in Rangoon, France and Canada. The Pashtoon tribe Babar living in Baluchistan regard themselves as direct decedents of Babar however this claim has not been proven authentically.

## Mughal influence on the subcontinent



A major Mughal contribution to south Asia was their unique architecture. Many monuments were built during the Mughal era including the Taj Mahal. The first Mughal emperor Babur wrote in the *Bāburnāma*:

“ Hindustan is a place of little charm. There is no beauty in its people, no graceful social intercourse, no poetic talent or understanding, no etiquette, nobility or manliness. The arts and crafts have no harmony or symmetry. There are no good horses, meat, grapes, melons or other fruit. There is no ice, cold water, good food or bread in the markets. There are no baths and no madrasas. There are no candles, torches or candlesticks”.

Fortunately his successors, with fewer memories of the Central Asian homeland he pined for, took a less jaundiced view of Indian culture, and became more or less naturalised, absorbing many Indian traits and customs along the way. The Mughal period would see a more fruitful blending of Indian, Iranian and Central Asian artistic, intellectual and literary traditions than any other in Indian history. The Mughals had a taste for the fine things in life — for beautifully designed artifacts and the enjoyment and appreciation of cultural activities. The Mughals borrowed as much as they gave; both the Hindu and Muslim traditions of India were huge influences on their interpretation of culture and court style. Nevertheless, they introduced many notable changes to Indian society and culture, including:

- Centralised government which brought together many smaller kingdoms
- Persian art and culture amalgamated with native Indian art and culture
- Started new trade routes to Arab and Turk lands, Islam was at its very highest
- Mughlai cuisine
- Urdu language was formed by amalgamation of Farsi, Arabic, Turkish with many North Indian languages. Spoken Hindi branched off from Urdu at a much later date (late 19th Cent.) retaining a more distinct Sanskrit flavour.
- A new style of architecture
- Landscape gardening

The remarkable flowering of art and architecture under the Mughals is due to several factors. The empire itself provided a secure framework within which artistic genius could flourish, and it commanded wealth and resources unparalleled in Indian history. The Mughal rulers themselves were extraordinary patrons of art, whose intellectual caliber and cultural outlook was expressed in the most refined taste.

## Alternate meanings

- The alternate spelling of the empire, *Mogul*, is the source of the modern word *mogul*. In popular news jargon, this word denotes a successful business magnate who has built for himself a vast (and often monopolistic) empire in one or more specific industries. The usage is a reference to the expansive and wealthy empire built by the Mughal kings. Rupert Murdoch, for example, is called a news mogul.



The Badshahi Mosque (King's mosque) was built by the Mughal emperor Aurangzeb in Lahore, Pakistan



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See also our



# Muslim history

2008/9 Schools Wikipedia Selection. Related subjects: General history

**Muslim history** began in Arabia with Muhammad's first recitations of the Qur'an in the 7th century. Islam's historical development has affected political, economic, and military trends both inside and outside the Islamic world. As with Christendom, the concept of an *Islamic world* is useful in looking at different periods of human history; similarly useful is an understanding of the identification with a quasi-political community of believers, or *ummah*, on the part of Islam's practitioners down the centuries.

## Background

Within a century of the prophet Muhammad's final recitations of the Qur'an, an Islamic state stretched from the Atlantic Ocean in the west to Central Asia in the east. This new polity soon broke into a civil war known to Islamic historians as the Fitna, and later affected by a Second Fitna. Through its history, there would be rival dynasties claiming the caliphate, or leadership of the Muslim world, and many Islamic states and empires offered only token obedience to a caliph unable to unify the Islamic world.

The subsequent empires of the Umayyads, Abbasids, the Mughals, and the Seljuk Turk, Safavid Persia and Ottomans were among the largest and most powerful in the world. People in the Islamic world made many centers of culture and science and produced notable scientists, astronomers, mathematicians, doctors and philosophers during the Golden Age of Islam. Technology flourished; there was much investment in economic infrastructure, such as irrigation systems and canals; stress on the importance of reading the Qur'an produced a comparatively high level of literacy in the general populace.

In the 18th and 19th centuries A.D., Islamic regions fell under the sway of European imperial powers. Following World War I, the remnants of the Ottoman empire were parcelled out as European protectorates. Since then, no major widely-accepted claim to the caliphate (which had been last claimed by the Ottomans) remained.

Although affected by various ideologies, such as communism, during much of the twentieth century, Islamic identity and Islam's salience on political questions have arguably increased during the late twentieth century and early twenty-first century. Rapid growth, western interests in Islamic regions, international conflicts and globalization influenced Islam's importance in shaping the world of the twenty-first century.

## Note on early Islamic historiography

There are several Muslim versions of early Islamic history as written by the Sunni, Shi'a, and Ibadi sects. Nineteenth century Western scholars tended to privilege the Sunni versions; the Sunni are the largest sect, and their books and scholars were easily available. Over the last hundred years, Western scholars

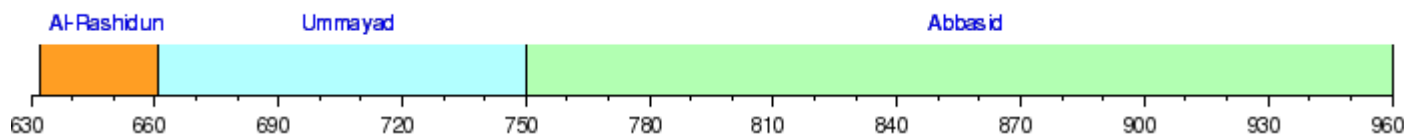


have become much more willing to question the orthodox view and to advance new theories and new narratives. In the year 623 CE Meca became the royal city.

## Early Caliphate

After Muhammad died, a series of Caliphs governed the Islamic State: Abu Bakr, Umar, Usman, and Ali. These first Caliphs are popularly known as the "Rashidun" or "rightly-guided" Caliphs. After the Rashidun, a series of Caliphates were established. Each caliphate was like a monarchy, developed its own unique laws and adopted a particular sect of Islam as a State religion. Until the ninth century the Muslim World would remain a single political entity under the leadership of one Caliph. The early Caliphate is also known as the Arab Empire or Islamic Empire.

### Timeline



### Al-Rashidun - "The Rightly-Guided Khalifahs"

With Muhammad's death in 632, there was a moment of confusion about who would succeed to leadership of the Muslim community. With a dispute flaring between the Medinese Ansar and the Meccan Muhajirun as to who would undertake this task, Umar ibn al-Khattab, a prominent companion of Muhammad, nominated Abu Bakr: Muhammad's intimate friend and collaborator. Others added their support and Abu Bakr was made the first Khalifah, literally "successor", leader of the community of Islam.

Abu Bakr's immediate task was to avenge the recent stalemate between the Muslims and the Byzantine Empire forces of the Eastern Roman Empire, although a more potent threat soon surfaced in the form of a number of Arab tribes who were in revolt after having learned of the death of Muhammad. Some of these tribes refused to pay the Zakat tax to the new caliph, while other tribes touted individuals claiming to be prophets. Abu Bakr swiftly declared war upon, and subdued these tribes, in the period of time known as the Ridda wars, or "Wars of Apostasy".

Abu Bakr's death in 634 resulted in the succession of Umar as the caliph, and after him, Uthman ibn al-Affan, and then Ali ibn Abi Talib. These four are known as the "*khulafa rashidun*" ("Rightly Guided Caliphs"). Under them, the territory under Muslim rule expanded greatly. The decades of warring between the neighboring Persian and Byzantine empires during the Roman-Persian Wars had rendered both sides weakened and exhausted. Not only that, it had also caused them to underestimate the strength of the growing new power, especially their excellent military leaders, Khalid ibn al-Walid and 'Amr ibn al-'As, as well as the Arabs' superior military horsemanship. This, coupled with the precipitation of internal strife within Byzantium and its exposure to a string of barbarian invasions, made conditions somewhat favorable for the Muslims.





At the Battle of Yarmuk (636), Muslim armies led by Khalid ibn al-Walid won a crushing victory over the Byzantines, thus paving the way for the conquest of Roman Syria and Palestine (634—640) and Roman Egypt (639 — 642). After a decisive victory over the Sassanid Empire at the Battle of al-Qādisiyyah in 637, Muslims conquered the Persian Empire, Iran. Five years later, after a revolt during the Battle of Nihawānd, the conquest of Persia was effectively complete. Conquest also included the lands of Iraq, Armenia (642) and even as far as Transoxiana and Chinese Turkestan. Depopulation and decline caused by the Plague of Justinian may have contributed to the success of the Arabs.

### **The First *Fitna***

Despite the military successes of the Muslims at this time, the political atmosphere was not without controversy. With Umar assassinated in 644, the election of Uthman as successor was met with gradually increasing opposition. He was subsequently accused of nepotism, favoritism and of introducing reprehensible religious innovations, though in reality the motivations for such charges were economic. Like Umar, Uthman too was then assassinated, in 656. Ali then assumed the position of caliph, although tensions soon escalated into what became the " First Fitna" (first civil war) when numerous companions of Muhammad, including Uthman's relative Muawiyah (who was assigned by Uthman as governor of Syria) and Muhammad's wife Aisha, sought to avenge the slaying of Uthman. Ali's forces defeated the latter at the Battle of the Camel, but the encounter with Muawiyah proved indecisive, with both sides agreeing to arbitration. Ali retained his position as caliph but had been unable to bring Mu'awiyah's territory under his command. When Ali was fatally stabbed by a Khawarijite dissenter in 661, Mu'awiyah was ordained as the caliph, marking the start of the hereditary Ummayyad caliphate.

### **Umayyads**

The first Ummayyad caliph, Muawiya I, was able to conquer much of North Africa, mainly through the efforts of Muslim general Uqba ibn Nafi. There was much contention surrounding Mu'awiyah's assignment of his son Yazid as successor upon the eve of his death in 680, drawing protest from Husayn bin Ali, grandson of Muhammad, and Ibn az-Zubayr, a companion of Muhammad. Both led separate and ultimately unsuccessful revolts, and Ummayyad attempts to pacify them became known as the " Second Fitna". Thereafter, the Ummayyad dynasty continued rulership for a further seventy years (with caliph Umar II's tenure especially notable), and were able to conquer the Maghrib (699 — 705), as well as Spain and the Narbonnese Gaul at a similar date.

Under the Ummayyads, the Muslim world expanded into North Africa and Iberia in the West, and Central Asia in the East. According to Jonathan Bloom and Sheila Blair, "The Muslims, no longer Arab merchants from the heartland of Arabia, became masters of the economic and cultural heartland of the Near East, and their faith, Islam, was no longer an obscure Arabian cult but the religion of an imperial elite."

Much of the population of this new empire was non-Muslim, and aside from a protection tax (*jizya*) and other restrictions, the conquered people found their religions tolerated. Indeed, Muslim authorities often discouraged conversions. Nevertheless, most of the population eventually converted to Islam, which created tension as greater numbers of non-Arabs (mostly Persians) converted. The tensions increased when Shiites joined the protest against Ummayyad rule.

Umayyad rule was interrupted by a second civil war (the Second Fitna) in the early 680s, re-established, then ended in 750.

### **Abbasids - "Islamic Golden Age"**

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The gains of the Umayyad empire were consolidated upon when the Abbasid dynasty rose to power in 750, with the conquest of the Mediterranean islands including the Balearics and Sicily. The new ruling party had been instated on the wave of dissatisfaction propagated against the Umayyads, cultured mainly by the Abbasid revolutionary, Abu Muslim. Under the Abbasids, Islamic civilization flourished. Most notable was the development of Arabic prose and poetry, termed by *The Cambridge History of Islam* as its "golden age." This was also the case for commerce and industry (considered a Muslim Agricultural Revolution), and the arts and sciences (considered a Muslim Scientific Revolution), which prospered, especially under the rule of Abbasid caliphs al-Mansur (ruled 754 — 775), Harun al-Rashid (ruled 786 — 809), al-Ma'mun (ruled 809 — 813), and their immediate successors.

Baghdad was made the new capital of the caliphate (moved from the previous capital, Damascus) due to the importance placed by the Abbasids upon eastern affairs in Persia and Transoxania. It was at this time, however, that the caliphate showed signs of fracture and the uprising of regional dynasties. Although the Umayyad family had been killed by the revolting Abbasids, one family member, Abd ar-Rahman I, was able to flee to Spain and establish an independent caliphate there, in 756. In the Maghreb region, Harun al-Rashid appointed the Arab Aghlabids as virtually autonomous rulers, although they continued to recognise the authority of the central caliphate. Aghlabid rule was short lived, as they were deposed by the Shiite Fatimid dynasty in 909. By around 960, the Fatimids had conquered Abbasid Egypt, building a new capital there in 973 called "*al-Qahirah*" (meaning "the planet of victory", known today as Cairo). Similar was the case in Persia, where the Turkic Ghaznavids managed to snatch power from the Abbasids. Whatever temporal power of the Abbasids remained had eventually been consumed by the Seljuq Turks (a Muslim Turkish clan which had migrated into mainland Persia), in 1055.



Abbasid Caliphate and contemporary states and empires in 820.

During this time, expansion continued, sometimes by military warfare, sometimes by peaceful proselytism. The first stage in the conquest of India began just before the year 1000. By some 200 (from 1193 — 1209) years later, the area up to the Ganges river had been conquered. In sub-Saharan West Africa, it was just after the year 1000 that Islam was established. Muslim rulers are known to have been in Kanem starting from sometime between 1081 to 1097, with reports of a Muslim prince at the head of Gao as early as 1009. The Islamic kingdoms associated with Mali reached prominence later, in the 13th century.

During the Abbasid reign, Baghdad became one of the greatest cultural centers of the world. The Abbasids were said to be descendents of Abbas the uncle of Muhammad claiming that they were the 'messiha' or saviours of the people under the Umayyad rule. Abbasid caliphs Harun al-Rashid and Al-Mamun were great patrons of arts and sciences, and enabled these domains to flourish. Islamic philosophy also developed as the Shariah was codified, and the four Madhabs were established and built. This era also saw the rise of classical Sufism. The greatest achievement, however, was completion of the canonical collections of Hadith of Sahih Bukhari and others.



## Regional powers

The Abbasids soon became caught within a three-way rivalry of Arabs, Persians and the immigrant Turks. In addition, the cost of running a large empire became too great. The political unity of Islam began to disintegrate. The Emirates, still recognizing the theoretical leadership of the caliphs, drifted into independence, and a brief revival of control was ended with the establishment of rival caliphates. Eventually the Abbasids ruled as puppets for the Buwayhid emirs. During this time, great advancements were made in the areas of astronomy, poetry, philosophy science and mathematics.

### Spain & the Umayyads

The Arabs first began their conquest of southern Spain or al-Andalus in 710 and created a province under the Caliphate which extended as far as the north of the peninsula. After the Abbasids came to power, some Umayyads fled to Muslim Spain and established themselves in Córdoba. By the end of the 10th century, the ruler Abd al-Rahman III (912-61) took over the title of caliph, and established with it a caliphate parallel to the one in Baghdad. A large number of Berbers from Morocco migrated to Andalus, but also large numbers of Jews and Christians lived alongside Muslims.

"Toleration, a common language and a long tradition of separate rule all helped to create a distinctive Andalusian consciousness and society. Its Islamic religious culture developed on rather different lines from those of the eastern countries."

During the 11th century, the Umayyad kingdom of al-Andalus broke down into over forty Taifas, which in the end built the preconditions for the Christian reconquest. The latter re-established Christian rule more and more southwards, ending all Muslim rule in 1492 with the reconquest of the kingdom of Granada.

### The Fatimids

The Fatimids, (Fatimid Caliphate), who are believed to be the descendants of *Fatima*, is the Shi'a Ismaili dynasty that ruled from 5 January 910 to 1171. The ruling elite of the state belonged to the Ismaili branch of Shi'ism. The leaders of the dynasty were also Shia Ismaili Imams, hence, they had a religious significance to Ismaili Muslims.

The Fatimids established sovereignty over Egypt, North Africa, Sicily and Syria. Under the Fatimids, the city of Cairo was established and built into an imperial military and cultural centre.

The Fatimid territories of Syria and Palestine fell to the invading Seljuks in the late eleventh century. They would, however, continue to rule in Egypt until its conquest by Saladin in the late twelfth century.

### The Seljuks

A series of new invasions swept over the Islamic world. The newly converted Seljuk Turks swept across and conquered most of Islamic Asia, Syria and Palestine. The Seljuks made religion an instrument of the state, while giving the clergy significant say over the affairs of the government. They also put an end to



Caliphal institutions. These policies would be carried out by successive governments of Nur al-Din, Saladin and Mamluks.

Shortly after, they won a decisive victory over the Byzantines, at the Battle of Manzikert, paving the way for further conquest of Christian Anatolia.

## The Crusaders

Beginning in the 8th century the Christian kingdoms of Spain had begun the Reconquista aimed at retaking Al-Andalus from the Moors. In 1095, Pope Urban II, inspired by the perceived holy wars in Spain and implored by the eastern Roman emperor to help defend Christianity in the East, called for the First Crusade from Western Europe which captured Edessa, Antioch, Tripoli and Jerusalem. The Christian Kingdom of Jerusalem emerged and for a time controlled many holy sites of Islam. Saladin, however, restored unity, defeated the Fatimids and put an end to the Kingdom of Jerusalem in 1187. Other crusades were launched with at least the nominal intent to recapture the holy city and other holy lands, but hardly more was ever accomplished than the errant looting and occupation of Christian Constantinople, leaving the Eastern Roman, or Byzantine, Empire severely weakened and ripe for later conquest. However, the crusaders did manage to weaken Muslim territories preventing them from further expansion into Christendom.

## The Mamluks

In 1250, the short-lived Ayyubid dynasty (established by Saladin) was overthrown by slave regiments, and a new dynasty - the Mamluks - was born. The Mamluks soon expanded into Palestine, expelled the remaining Crusader states and repelled the Mongols from invading Syria. Thus they united Syria and Egypt for the longest period of time between the Abbasid and Ottoman empires (1250-1517).

## Islam in Africa

The first continent outside of Arabia to have an Islamic history was Africa beginning with the hijrah to Ethiopia. Islam in Ethiopia can be dated back to the founding of the religion; in 615, when a band of Muslims were counseled by Muhammad to escape persecution in Mecca and travel to Ethiopia, which was ruled by, in Muhammad's estimation, a pious Christian king. Moreover, Islamic tradition states that Bilal, one of the foremost companions of Muhammad, was from Ethiopia.

## Islam in Maghreb

The **Maghreb** meaning "place of sunset" or "western" in Arabic, is the region of Africa north of the Sahara Desert and west of the Nile — specifically, coinciding with the Atlas Mountains. Geopolitically, the area includes Morocco, Algeria, Tunisia, and Libya, Western Sahara, and sometimes Mauritania, which is often placed in West Africa instead. This part of Islamic territory has independent governments during most part of history of Islam. There were some great governments.

**Idrisid dynasty** The **Idrisids** were the first Arab dynasty in the western Maghreb, ruling from 788 to 985. The dynasty is named after its first sultan Idris I.



**Almoravid dynasty** was a Berber dynasty from the Sahara that flourished over a wide area of North-Western Africa and the Iberian peninsula during the 11th century. Under this dynasty the Moorish empire was extended over present-day Morocco, Western Sahara, Mauritania, Gibraltar, Tlemcen (in Algeria) and a great part of what is now Senegal and Mali in the south, and Spain and Portugal in the north.

**Almohad Dynasty** or "the Unitarians," were a Berber Muslim religious power which founded the fifth Moorish dynasty in the 12th century, and conquered all northern Africa as far as Egypt, together with Al-Andalus.

## Islam in East Africa

There were Islamic governments in Tanzania. The people of Zayd were allegedly the first muslims to immigrate to East Africa. Islam came to east Africa mainly through trade routes. the African peoples that lived along these routes became converts due to the close contact they had to Arabs traders in areas like Tabora, from which they affected the manners of muslims. this led to eventual conversion without encouragement nor discouragement of the muslim Arabs. In pre-colonial east Africa, the structure of islamic authority was held up through the 'Ulama (*wanawyuonis*, in Swahili). Their base was mainly in Zanzibar. These leaders had some degree of authority over most of the muslims in East Africa at this time; specially before the territorial boundaries were established. This is because the majority of muslims lived within the sphere of influence of the Sultanate in Zanzibar, the chief Qadi there was recognized for having the final religious authority. Reference: August H. Nimtz, Jr. *Islam and Politics in East Africa. the Sufi Order in Tanzania*. University of Minnesota Press, Minneapolis, 1980.

## Islam in West Africa

Usman dan Fodio after the Fulani War, found himself in command of the largest state in Africa, the Fulani Empire. Dan Fodio worked to establish an efficient government, one grounded in Islamic law. Already aged at the beginning of the war, dan Fodio retired in 1815 passing the title of Sultan of Sokoto to his son Muhammed Bello.

## Islam in Asia

### Indian Subcontinent

Islamic rule came to the region in the 8th century, when Muhammad bin Qasim conquered Sindh, (Pakistan). Muslim conquests were expanded under Mahmud and the Ghaznavids until the late twelfth century, when the Ghurids overran the Ghaznavids and extended the conquests in northern India. Qutb-ud-din Aybak, conquered Delhi in 1206 and began the reign of the Delhi Sultanates.

In the fourteenth century, Alauddin Khilji extended Muslim rule south to Gujarat, Rajasthan and Deccan. Various other Muslim dynasties also formed and ruled



across India from the 13th to the 18th century such as the Qutb Shahi and the Bahmani, but none rivalled the power and extensive reach of the Mughal Empire at its peak.

## China

During the lifetime of Muhammad, Arab merchants reached China via the Silk Road and introduced Islam. Then, in 650, the third Caliph, Uthman ibn Affan, sent an official delegation to the Tang dynasty. The Chinese emperor ordered the establishment of the first Chinese mosque in the city of Chang'an, and this event is considered to be the birth of Islam in China. By the early ninth century Islam had reached as far south as Hangzhou.

The Mongol invasions of China and Persia, brought the two regions under a single political entity. This led to increased contacts and cultural exchange between China and the Muslim world. Following the Mongols, the succeeding Ming dynasty was also tolerant of Muslims. During its reign, many Muslim attained high posts. These policies were, however, reversed by the Qing dynasty, when it came to power.

## Southeast Asia

Islam reached the islands of Southeast Asia through Indian Muslim traders near the end of the 13th century. Soon, many Sufi missionaries translated classical Sufi literature from Arabic and Persian into Malay. Coupled with the composing of original Islamic literature in Malay, this led the way to the transformation of Malay into an Islamic language. By 1292, when Marco Polo visited Sumatra, most of the inhabitants had converted to Islam. The Sultanate of Malacca was founded by Parameswara, a Srivijayan Prince in the Malay peninsula. Through trade and commerce, Islam spread to Borneo and Java, Indonesia. By late 15th century, Islam had been introduced to the Philippines.

As Islam spread, three main Muslim political powers emerged. Aceh, the most important Muslim power, was based firmly in Northern Sumatra. It controlled much of the area between Southeast Asia and India. The Sultanate also attracted Sufi poets. The second Muslim power was the Sultanate of Malacca on the Malay peninsula. The Sultanate of Demak was the third power emerged in Java, where the Muslim emerging forces defeated the local Majapahit kingdom in the early 16th century. Although the sultanate managed to expand its territory somewhat, its rule remained brief.

Portuguese forces captured Malacca in 1511 under the naval general Afonso de Albuquerque. With Malacca subdued, Aceh Sultanate and Brunei established themselves as the centre of Islam in Southeast Asia. Brunei sultanate remains intact even to this day.

## Mongol Invasions

The wave of Mongol invasions, which had initially commenced in the early 13th century under the leadership of Genghis Khan, marked a violent end to the Abbasid era. The Mongol Empire had spread rapidly throughout Central Asia and Persia: the Persian city of Isfahan had fallen to them by 1237. With the election of Khan Mongke in 1251, sights were set upon the Abbasid capital, Baghdad. Mongke's brother, Hulegu, was made the head of the Mongol Army assigned with the task of subduing Baghdad. This was achieved at the Battle of Baghdad (1258), which saw the Abbasids overrun by the superior Mongol army. The last Abbasid caliph, al-Musta'sim, was captured and killed; and Baghdad was ransacked and subsequently destroyed. The cities of Damascus and Aleppo



fell shortly afterwards, in 1260. Any prospective conquest of Egypt was temporarily delayed due to the death of Mongke at around the same time.

With Mongol conquest in the east, the Ayyubid dynasty ruling over Egypt had been surpassed by the slave-soldier Mamluks in 1250. This had been done through the marriage between Shajar al-Durr, the widow of Ayyubid caliph al-Salih Ayyub, with Mamluk general Aybak. Military prestige was at the centre of Mamluk society, and it played a key role in the confrontations with the Mongol forces. After the assassination of Aybak, and the succession of Qutuz in 1259, the Mamluks challenged and decisively routed the Mongols at the Battle of Ain Jalut in late 1260. This signalled an adverse shift in fortunes for the Mongols, who were again defeated by the Mamluks at the Battle of Homs a few months later, and then driven out of Syria altogether. With this, the Mamluks were also able to conquer the last of the crusader territories.

## Three Muslim empires

In the 15th century and 16th centuries three major Muslim empires were created: the aforementioned Ottoman Empire in much of the Middle East, Balkans and Northern Africa; the Safavid Empire in Greater Iran; and the Mughal Empire in Greater India. These new imperial powers were made possible by the discovery and exploitation of gunpowder, and more efficient administration. By the end of the 19th century, all three had declined significantly, and by the early 20th century, with the Ottomans' defeat in World War I, the last Muslim empire collapsed.

### Mughal Empire

The Mughal Empire was a product of various Central Asian invasions into the Indian subcontinent. It was founded by the Timurid prince Babur in 1526 with the destruction of the Delhi sultanate, with its capital in Agra. Babur's death some years later, and the indecisive rule of his son, Humayun, brought a degree of instability to Mughal rule. The resistance of the Afghani Sher Shah, through which a string of defeats had been dealt to Humayun, significantly weakened the Mughals. Just a year before his death, however, Humayun managed to recover much of the lost territories, leaving a substantial legacy for his son, the 13 year old Akbar (later known as *Akbar the Great*), in 1556. Under Akbar, consolidation of the Mughal Empire occurred through both expansion and administrative reforms.

The empire ruled most of present-day India, Pakistan, Bangladesh and Afghanistan for several centuries, before it declined in the early 18th century, which led to India being divided into smaller kingdoms and princely states. The Mughal dynasty was eventually dissolved by the British Empire after the Indian rebellion of 1857. It left a lasting legacy on Indian culture and architecture. Amongst the famous buildings built by the Mughals, include: Taj Mahal, Red Fort, Badshahi Mosque, Lahore Fort, Shalimar Gardens and Agra Fort. During the empire's reign of power, Muslim communities flourished all over India, particularly in Gujarat, Bengal and Hyderabad. Various Sufi orders from Afghanistan and Iran were very active throughout the region. Consequently, more than a quarter of the population converted to Islam.

### Safavid Empire

The **Safavids** ( Persian: صفویان) were an Iranian dynasty from Iranian Azarbaijan that ruled from 1501 to 1736, and which established Shi'a Islam as Iran's



official religion and united its provinces under a single Iranian sovereignty, thereby reigniting the Persian identity.

Although claiming to be the descendants of Ali ibn Abu Talib, the Safavids were originally Sunni (the name "Safavid" comes from a Sufi order called *Safavi*). Their origins go back to Firuz Shah Zarrinkolah, an Iranian local dignitary from Iran's north. During their rule, the Safavids recognized Shiism as the State religion, thus giving Iran a separate identity from its Sunni neighbours.

In 1524, Tahmasp acceded to the throne, initiating reviving arts in the region. Carpet making became a major industry, gaining new importance in Iran's cities. But the finest of all artistic revivals was the commissioning of the *Shahnama*. The *Shahnama* was meant to glorify the reign of the *Shah* through artistic means. The two-volume copy contained 258 large paintings to illustrate the works of Firdawsi, a Persian poet. The Shah also prohibited the drinking of wine, forbade the use of hashish and ordered the removal of gambling casinos, taverns and brothels.

Tahmasp's grandson, Shah Abbas I, also managed to increase the glory of the empire. Abbas restored the shrine of Imam Reza at Mashhad, and restored the dynastic shrine at Ardabil. Both shrines received jewelry, fine manuscripts and Chinese porcelains. Abbas also moved the empire's capital to Isfahan, revived old ports, and established thriving trade with the Europeans. Amongst Abbas's most visible cultural achievements was the construction of *Naqsh-e Jahan Square* ("Design of the World"). The plaza, located near a Friday mosque, covered twenty acres, thus dwarfing Piazza San Marco and St. Peter's Square.

## Ottoman Empire

The Seljuk Turks fell apart rapidly in the second half of the 13th century, especially after the Mongol invasions in Anatolia. This resulted in the establishment of multiple Turkish principalities, known as beyliks. Osman I, the founder of the Ottoman dynasty, assumed leadership of one of these principalities ( Söğüt) in 1281, succeeding his father Ertuğrul. Declaring an independent Ottoman emirate in 1299, Osman I led it to a series of consecutive victories over the Byzantine Empire. By 1331, the Ottomans had captured Nicaea, the former Byzantine capital, under the leadership of Osman's son and successor, Orhan I. Victory at the Battle of Kosovo against the Serbs in 1389 then facilitated their expansion into Europe. The Ottomans were firmly established in the Balkans and Anatolia by the time Bayezid I ascended to power in the same year, now at the helm of a swiftly growing empire.

Further growth was brought to a sudden halt, as Bayezid I had been captured by Mongol warlord Timur (also known as "*Tamerlane*") in the Battle of Ankara in 1402, upon which a turbulent period known as the Ottoman Interregnum ensued. This episode was characterized by the division of the Ottoman territory amongst Bayezid I's sons, who submitted to Timurid authority. When a number of the territories recently conquered by the Ottomans regained independent status, potential ruin for the Ottoman Empire became apparent. However, the empire quickly recovered, as the youngest son of Bayezid I, Mehmed I, waged offensive campaigns against his other ruling brothers, thereby reuniting Asia Minor and declaring himself the new Ottoman sultan in 1413.





At around this time the naval fleet of the Ottomans developed considerably, such that they were able to challenge Venice, traditionally a naval power. Focus was also directed towards reconquering the Balkans. By the time of Mehmed I's grandson, Mehmed II (ruled 1444 — 1446; 1451 — 1481), the Ottomans felt strong enough to lay siege to Constantinople, the capital of Byzantium. A decisive factor in this siege was the use of firearms and large cannons introduced by the Ottomans (adapted from Europe and improved upon), against which the Byzantines were unable to compete. The Byzantine fortress finally succumbed to the Ottoman invasion in 1453, 54 days into the siege. Mehmed II, entering the city victorious, renamed it to *Istanbul*. With its capital conceded to the Ottomans, the rest of the Byzantine Empire quickly disintegrated. The future successes of the Ottomans and later empires would depend heavily upon the exploitation of gunpowder.

In the early 16th century, the Shi'ite Safavid dynasty assumed control in Persia under the leadership of Shah Ismail I, upon the defeat of the ruling Turcoman federation Aq Qoyunlu (also called the "White Sheep Turkomans") in 1501. The Ottoman sultan Selim I quickly sought to repel Safavid expansion, challenging and defeating them at the Battle of Chaldiran in 1514. Selim I also deposed the ruling Mamluks in Egypt, absorbing their territories into the Ottoman Empire in 1517. Suleiman I (also known as *Suleiman the Magnificent*), Selim I's successor, took advantage of the diversion of Safavid focus against the Uzbeks on the eastern frontier and recaptured Baghdad, which had previously fallen under Safavid control. Despite this, Safavid power remained substantial, with their empire rivalling the Ottomans'. Suleiman I also advanced deep into Hungary following the Battle of Mohács in 1526 — reaching as far as the gates of Vienna thereafter, and signed a Franco-Ottoman alliance with Francis I of France against Charles V of the Holy Roman Empire 10 years later. Suleiman I's rule (1520 — 1566) signified the height of the Ottoman Empire, after which it fell into gradual decline.

## Wahhabism

During the 18th century, Muhammad ibn Abd al Wahhab (1703 – 1792) led a religious movement ( Wahhabism) in Najd (central Arabia) that sought to purify Islam. Wahhab wanted to return Islam to what he thought were its original principles as taught by the *as-salaf as-saliheen* (the earliest converts to Islam) and rejected what he regarded as corruptions introduced by bid'ah (religious innovation) and Shirk (polytheism). He allied himself with the House of Saud, which eventually triumphed over the Rashidis to control Central Arabia, and led several revolts against the Ottoman empire. Initial success (the conquest of Mecca and Medina) was followed by ignominious defeat, then a resurgence which culminated in the creation of Saudi Arabia. Wahhabism and similar fundamental Islamic schools of thought are cited as the ideological inspiration for the terroristic activities of Muslims against non-Muslims in the 20th and 21st Centuries.

## The 20th century

The modern age brought radical technological and organizational changes to Europe and Islamic countries found themselves less modern when compared to the many western nations. Europe's state-based government and rampant colonization allowed the West to dominate the globe economically and forced Islamic countries to question change.

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The Suleiman Mosque (Süleymaniye Camii) in Istanbul was built on the order of sultan Suleiman the Magnificent by the great Ottoman architect Sinan in 1557



## Demise of the Ottoman Empire

By the end of the 19th century, the Ottoman empire had declined due to internal conflict and the failure to keep pace with European technological and economic development. Their decision to back Germany in World War I meant they shared the Central Powers' defeat in that war, which led directly to the overthrow of the Ottomans by Turkish nationalists led by Kemal Ataturk. Following World War I, its remnants were parceled out as European protectorates or spheres of influence. Ottoman successor states include today's Albania, Bosnia and Herzegovina, Bulgaria, Egypt, Greece, Iraq, Lebanon, Montenegro, Romania, Saudi Arabia, Serbia, Syria, Jordan, Turkey, other Balkan states, North Africa and the north shore of Black sea.

Many Muslim countries sought to adopt European political organization and nationalism began to emerge in the Muslim world. Countries like Egypt, Syria, and Turkey organized their governments with definable policies and sought to develop national pride amongst their citizens. Other places, like Iraq, were not as successful due to a lack of unity and an inability to resolve age-old prejudices between Muslim sects and against non-Muslims.

Some Muslim countries, such as Turkey and Egypt, sought to separate Islam from the secular government. In other cases, such as Saudi Arabia, the new government brought out new religious expression in the re-emergence of the puritanical form of Sunni Islam known to its detractors as Wahhabism which found its way into the Saudi royal family.

## Partition of India

The *partition of India* refers to the creation in August 1947 of two sovereign states of India and Pakistan. The two nations were formed out of the former British Raj, including treaty states, when Britain granted independence to the area (see Undivided India). In particular, the term refers to the partition of Bengal and Punjab, the two main provinces of the would be Pakistan.

In 1947, after the partition of India, Pakistan became the largest Islamic Country in the world (by population) and the tenth largest post-WWII state in the modern world. In 1971, after a bloody war of independence the Bengal part of Pakistan became an independent state called Bangladesh.

Today, Pakistan is third largest Islamic country in the world followed by Bangladesh . Pakistan is presently the only nuclear power of the Muslim world.

Indonesia is the largest Muslim country in the world, by population. India has the second largest Muslim population.

## Arab-Israeli conflict

The Arab-Israeli conflict spans about a century of political tensions and open hostilities. It involves the establishment of the modern State of Israel as a Jewish nation state, the consequent displacement of the Palestinian people, as well as the adverse relationship between the Arab nations and the state of Israel (see related Israeli-Palestinian conflict). Despite initially involving the Arab states, animosity has developed between other Muslim nations and Israel. Many countries, individuals and non-governmental organizations elsewhere in the world feel involved in this conflict for reasons such as cultural and religious ties with Islam, Arab culture, Christianity, Judaism, Jewish culture or for ideological, human rights, or strategic reasons. While some consider the Arab-Israeli conflict a



part of (or a precursor to) a wider clash of civilizations between the Western World and the Arab or Muslim world, others oppose this view. Animosity emanating from this conflict has caused numerous attacks on supporters (or perceived supporters) of each side by supporters of the other side in many countries around the world.

Due to the Islamic belief that land conquered by Muslims must remain Muslim-controlled, many in the Muslim world hold a keen and fiery interest in the removal of the state of Israel much in the same way that they feel that Spain must once again become Muslim Spain.

## Oil wealth

Between 1953 and 1964, King Saud re-organized the government of the monarchy his father, Ibn Saud, had created. Saudi Arabia's new ministries included Communication (1953) Agriculture and Water (1953), Petroleum (1960), Pilgrimage and Islamic Endowments (1960), Labour and Social Affairs (1962) and Information (1963). He also put his Talal, one of his many younger brothers (by 29 years his younger) in charge of the Ministry of Transport.

In 1958-59, Talal proposed the formation of a National Council. As he proposed it, it would have been a consultative body, not a legislature. Still, he thought of it as a first step toward broader popular participation in the government. Talal presented this proposal to the king when the Crown Prince was out of the country. Saud simply forwarded the proposal to the ulama asking them whether a National Council was a legitimate institution in Islam. The idea seems to have died in committee, so to speak. It would be revived more than three decades later. A Consultative Council came into existence in 1992.

Meantime, the Organization of Petroleum Exporting Countries came into existence in 1960. For the first decade or more of its existence, it was ineffectual in terms of increasing revenue for member nations. But it would have its day. Tension between Faisal and Saud continued to mount until a final showdown in 1964. Saud threatened to mobilize the Royal Guard against Faisal and Faisal threatened to mobilize the National Guard against Saud. It was Saud who blinked, abdicating and leaving for Cairo, then Greece, where he would die in 1969. Faisal then became King.

The 1967 war had other effects. It effectively closed the Suez canal, it may have contributed to the revolution in Libya that put Muammar al-Gaddafi in power, and it led in May 1970 to the closure of the "tapline" from Saudi Arabia through Syria to Lebanon. These developments had the effect of increasing the importance of the petroleum in Libya, which is a conveniently short (and canal-free) shipping distance from Europe.

In 1970, it was Occidental Petroleum which constituted the first crack in the wall of oil company solidarity in dealing with the oil producing nations; specifically, in this case, with the demands for price increases of the new Qaddafi government.

In October 1973, another war between Israel and its Muslim neighbors, known as the Yom Kippur War, got underway just as oil company executives were heading to Vienna, Austria, site of a planned meeting with OPEC leaders. OPEC had been emboldened by the success of Libya's demands anyway, and the war strengthened the unity of their new demands.

The Arab defeats in the Six Day and 1973 Arab-Israeli wars triggered the 1973 oil crisis. In response to the emergency re-supply effort by the West that enabled Israel to defeat Egyptian and Syrian forces, the Arab world imposed the 1973 oil embargo against the United States and Western Europe. Faisal agreed that Saudi Arabia would use some of its oil wealth to finance the "front-line states," those that bordered Israel, in their struggle.



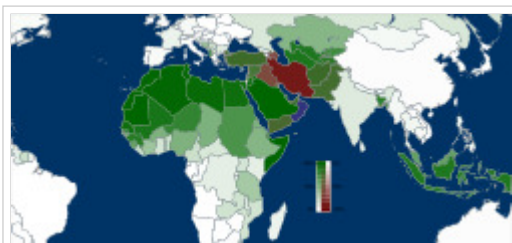
The centrality of petroleum, the Arab-Israeli Conflict and political and economic instability and uncertainty remain constant features of the politics of the region.

## Two Iranian revolutions

The Iranian Constitutional Revolution took place between 1905 and 1911. The revolution marked the beginning of the end of Iran's feudalistic society and led to the establishment of a parliament in Persia and restriction of the power of Shah (king). The first constitution of Iran was approved. But after the final victory of revolutionaries over Shah, the modernist and conservative blocks began to fight with each other. Then World War I took place and all of the combatants invaded Iran and weakened the government and threatened the independence of Iran. The system of constitutional monarchy created by the decree of Mozzafar al-Din Shah that was established in Persia as a result of the Revolution was weakened in 1925 with the dissolution of the Qajar dynasty and the accession of Reza Shah Pahlavi to the throne.

In 1979 the Iranian Revolution (also called "The Islamic Revolution" ) transformed Iran from a constitutional monarchy, under Shah Mohammad Reza Pahlavi, to a populist theocratic Islamic republic under the rule of Ayatollah Ruhollah Khomeini, a Shi'i Muslim cleric and *marja*. Following the Revolution, an Iranian referendum established the Islamic republic as a new government, and a new constitution was approved, electing Ruhollah Khomeini Supreme Leader of Iran. During the following two years, liberals, leftists, and Islamic groups fought with each other, and ultimately Islamics captured power. At the same time, the U.S., USSR, and most of the Arab governments of the Middle East feared that their dominance in the region was challenged by the new Islamic ideology, so they encouraged and supported Saddam Hussein to invade Iran, which resulted in the Iran-Iraq war.

## The 21st century



Islam in the world.(Green: Sunni, Red: Shia,  
Blue: Ibadi)

## Islam in Turkey

Since the establishment of the Republic of Turkey in 1923, there has been a strong tradition of secularism in Turkey established by institutionalized by Atatürk's Reforms. Although the First Grand National Assembly of Turkey had rallied support from the population for the Independence War against the occupying forces

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on behalf of Islamic principles, Islam was gradually omitted from the public sphere after the Independence War. The principle of secularism was thus inserted in the Turkish Constitution as late as 1937. This legal action was assisted with stringent state policies against domestic Islamist groups and establishments to delete the strong appeal of Islam in the Turkish society. Even though an overwhelming majority of the population, at least nominally, adheres to Islam in Turkey; the state, which was established with the Kemalist ideology has no official religion nor promotes any and it actively monitors the area between the religions using the Presidency of Religious Affairs. The Republic Protests were a series of peaceful mass rallies by Turkish secular citizens that took place in Turkey in 2007. The target of the first protest was the possible presidential candidacy of the Prime Minister Recep Tayyip Erdoğan, afraid that if elected President of Turkey Erdoğan would alter the Turkish secularist state

## European Islam

Certain academics, such as Jorgen Nielsen (*Towards a European Islam*, London: Macmillan Press, 1999), suggest that there is currently emerging a new brand of Islam in Europe, which is often termed *European Islam*. While this new kind of Islam is not exactly defined, it could be described as combining on the one hand the religion's basic duties and on the other European culture, values and traditions (such as secularism, democracy, gender equality as perceived by the west, the European system of law, etc.). Which is perplexing since these ideals are not congruent with the Islamic faith.

## Chronology

## Dynasties of Muslim Rulers

There are Muslim Dynasties which the can be found in list of dynasties of Muslim Rulers

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# Peasants' Revolt

2008/9 Schools Wikipedia Selection. Related subjects: British History 1500 and before (including Roman Britain); General history

The **Peasants' Revolt**, **Tyler's Rebellion**, or the **Great Rising** of 1381 was one of a number of popular revolts in late medieval Europe and is a major event in the history of England. The names of some of its leaders, John Ball, Wat Tyler and Jack Straw, are still familiar even though very little is actually known about these individuals.

Tyler's Rebellion is significant because it marked the beginning of the end of serfdom in medieval England. Tyler's Rebellion led to calls for the reform of feudalism in England and an increase in rights for the serf class.

## Events leading to the revolt

The **revolt** was precipitated by heavy-handed attempts to enforce the third poll tax, first levied in 1377 supposedly to finance military campaigns overseas — a continuation of the Hundred Years' War initiated by King Edward III of England. The third poll tax, unlike the two earlier, was not levied on a flat rate basis (as in 1377) nor according to schedule (as in 1379), but in a manner that appeared more arbitrary and hence unfair: it was also set at 3 Groat compared with the 1377 rate of 1 groat. The young King, Richard II, was also another reason for the uprising, as he was only 14 at the time, and therefore unpopular men such as John of Gaunt (the acting regent), Simon Sudbury (Chancellor and Archbishop of Canterbury) and Sir Robert Hales (the Lord Treasurer, responsible for the poll tax) were left to rule instead, and many saw them as corrupt officials, trying to exploit the weakness of the King. A longer-term factor was the way the Statute of Labourers of 1351 was enforced. The Black Death that ravaged England in 1348 and 1349 had greatly reduced the labour force, and, as a consequence, labourers were able to demand enhanced terms and conditions. The Statute attempted to curb this by pegging wages and restricting the mobility of labour, but the probable effect was that labourers employed by lords were effectively exempted, but labourers working for other employers, both artisans and more substantial peasants, were liable to be fined or held in the stocks.

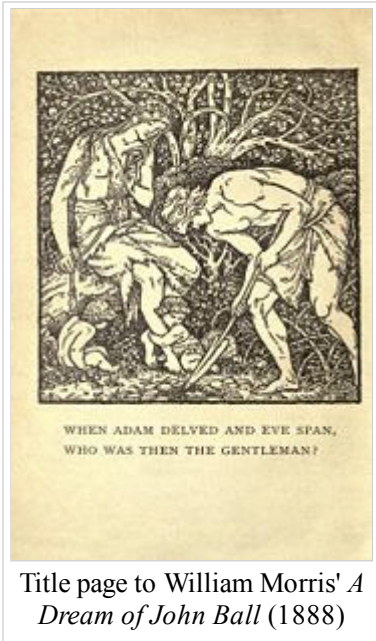
Incidents in the Essex villages of Fobbing and Brentwood triggered the uprising. On 30th May, John Brampton attempted to collect the poll tax from villagers at Fobbing. The villagers, led by Thomas Baker, a local landowner, told Brampton that they would give him nothing and he was forced to leave the village empty handed. Robert Belknap (Chief Justice of Common Pleas) was sent to investigate the incident and to punish the offenders. On 2nd June, he was attacked at Brentwood. By this time the violent discontent had spread, and the counties of Essex and Kent were in full revolt. Soon people moved on London in an armed uprising.



The end of the revolt: Wat Tyler (also spelt Tighler) killed by Walworth while Richard II watches, and a second image of Richard addressing the crowd



## First protests



In June 1381, two groups of common people from the southeastern counties of Kent and Essex marched on London. The most vociferous of their leaders, Walter, or "Wat" Tyler, was at the head of a contingent from Kent. When the rebels arrived in Blackheath on June 12, the renegade Lollard priest, John Ball, preached a sermon including the famous question that has echoed down the centuries: *When Adam delved and Eve span, who was then the gentleman?*" (I.e. "when Adam dug, and Eve spun, were there then any nobility?") The following day, the rebels, encouraged by the sermon, crossed London Bridge into the heart of the city. Meanwhile the 'Men of Essex' had gathered with Jack Straw at Great Baddow and had marched on London, arriving at Stepney. Instead of what was expected from a riot however, there was only a systematic attack on certain properties, many of them associated with John of Gaunt and/or the Hospitaller Order. On June 14, they are reputed to have been met by the young king himself, and, led by Richard of Wallingford to have presented him with a series of demands, including the dismissal of some of his more unpopular ministers and the effective abolition of serfdom. One of the more intriguing demands of the peasants was "that there should be no law within the realm save the law of Winchester". This is often said to refer to the statutes of the Charter of Winchester (1251), though it is sometimes considered to be a reference to the more equitable days of king Alfred the Great, when Winchester was the capital of England.

## Storming the Tower of London



At the same time, a group of rebels stormed the Tower of London— probably after being let in— and summarily executed those hiding there, including the Lord Chancellor ( Simon of Sudbury, the Archbishop of Canterbury, who was particularly associated with the poll tax), and the Lord Treasurer ( Robert de Hales, the Grand Prior of the Knights Hospitallers of England). The Savoy Palace of the king's uncle John of Gaunt was one of the London buildings destroyed by the rioters. Richard II agreed to reforms such as fair rents and the abolition of serfdom.

## Smithfield

At Smithfield, on the following day, further negotiations with the king were arranged, but on this occasion the meeting did not go according to plan. Wat Tyler left his army and rode forth to parlay with the King and his party. Tyler, it is alleged by the chroniclers, behaved most belligerently and dismounted his horse and called for a drink most rudely. In the ensuing dispute, Tyler drew his dagger and William Walworth, the Mayor of London, drew his sword and attacked Tyler, mortally wounding him in the neck and Sir Ralph de Standish, one of the King's squires, drew his sword and ran it through Tyler's stomach killing him almost instantly. Seeing him surrounded by the King's entourage, the rebel army was in uproar, but King Richard, seizing the opportunity, rode forth and shouted "You shall have no captain but me.", a statement left deliberately ambiguous to defuse the situation. He promised the rebels that all was well, that Tyler had been knighted, and their demands would be met - they were to march to St John's Fields, where Wat Tyler would meet them. This they duly did, but the King broke his promise. The nobles quickly re-established their control with the help of a hastily organised militia of 7000, and most of the other leaders were pursued, captured and executed, including John Ball. Jack Straw turned on his associates under torture and betrayed many of them to the executioner - though it did not save him. Following the collapse of the revolt, the king's concessions were quickly revoked, and the tax was re-levied.

Despite its name, participation in the Peasants' Revolt was not confined to serfs or even to the lower classes. Although the most significant events took place in the capital, there were violent encounters throughout eastern England -- but those involved hastened to dissociate themselves in the months that followed.

## The Cutty Wren

*The Cutty Wren*, one of the earliest known protest songs, dates from the time of the revolt. It tells the story of the capture of the wren - a symbol for the King (or perhaps for England itself) - and its division amongst the poor people. A version of the song appeared on Chumbawamba's English Rebel Songs 1381-1984.

## Literary mention

John Gower, friend of Geoffrey Chaucer, saw the peasants as unjustified in their cause. In his *Vox Clamantis*, he sees the peasant action as the work of the



Richard II meets with the rebels in a work from Jean Froissart's Chronicles





Anti-Christ and a sign of evil prevailing over virtue, writing "...according to their foolish ideas there would be no lords, but only kings and peasants...".

Geoffrey Chaucer mentions Jack Straw, one of the leaders of the Revolt, in his satiric 'The Nun's Priest's Tale' of *The Canterbury Tales*.

*Froissart's Chronicles* devotes twenty pages to the revolt.

William Morris described the revolt in *A Dream of John Ball* (1888)

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# Portal:British Empire

2008/9 Schools Wikipedia Selection. Related subjects: British History; History; Portals

## British Empire



The **British Empire** was the largest empire in history and for a substantial time was the foremost global power. It was a product of the European age of discovery, which began with the maritime explorations of the 15th century, that sparked the era of the European colonial empires.

By 1921, the British Empire held sway over a population of about 458 million people, approximately one-quarter of the world's population. It covered about 36.6 million km<sup>2</sup> (14.2 million square miles), about a quarter of Earth's total land area.

As a result, its legacy is widespread, in legal and governmental systems, economic practice, militarily, educational systems, sports (such as cricket, rugby and football), traffic practices (such as driving on the left), and in the global spread of the English language. At the peak of its power, it was often said that "the sun never sets on the British Empire" because its span across the globe ensured that the sun was always shining on at least one of its numerous colonies or subject nations.

During the five decades following World War II, most of the territories of the Empire became independent. Many went on to join the Commonwealth of Nations, a free association of independent states.

**More about the British Empire...**

*Selected article*

*Selected picture*

*Evolution of the British Empire*



The **flag of Australia** was chosen in 1901 from entries in a worldwide design competition held following Federation. It was approved by Australian and British authorities over the next few years, although the exact specifications of the flag were changed several times both intentionally and as a result of confusion. The current specifications were published in 1934, and in 1954 the flag became legally recognised as the "**Australian National Flag**". The flag is a defaced Blue Ensign: a blue field with the Union Flag in the canton (upper hoist quarter), and a large white seven-pointed star known as the Commonwealth Star in the lower hoist quarter. The fly contains a representation of the Southern Cross constellation, made up of five white stars – one small five-pointed star and four, larger, seven-pointed stars.

In addition to the **Blue Ensign** there are several additional Australian flags, including the Aboriginal flag, the Torres Strait Islander flag and the flags of the Defence Forces. The design of the Australian flag is the subject of debate within Australia, with some advocating its redesign in connection with the republican movement. (**more...**)



Queen Victoria and Benjamin Disraeli.

### *Did you know...*

- ...that the **Singapore Stone** (*fragment pictured*), a sandstone slab bearing an undeciphered 13th century inscription, was blown up by the British in 1843 to make way for a fort?
- ...that **Ethel Benjamin** was the first woman in the British Empire to present a legal case in court?
- ...that Major **Sir Hamish Forbes, 7th Baronet** was awarded the MBE (Military Division) for his many escape attempts while a prisoner-of-war in Germany from 1940 to 1945, and was later patron of the Lonach Highlanders?
- ...that **Albert F. A. L. Jones**, awarded the Order of the British Empire in 1987 for his services to astronomy, is an amateur astronomer in New



### *Selected biography*



Major General **Roger Elliott** (ca. 1665 - 15 May 1714) was one of the earliest British Governors of Gibraltar. His nephew George Augustus Elliott also became a noted Governor and defender of Gibraltar.

Roger Elliott was born, possibly in London but more probably in the Tangier Garrison in Morocco, to George Elliott (ca. 1636 - 1668, the Chirurgeon to the Garrison) and his wife Catherine Maxwell (ca. 1638 - 1709). George Elliott was the illegitimate son of Richard Eliot, the wayward second son of Sir John Eliot.



#### Zealand?

- ...that the first shot fired by British Empire forces in World War I was targeted at the German ship *Pfalz* which was departing Melbourne, Australia as Britain declared war on Germany?

Roger's father, George Elliott, died at the Tangier Garrison in 1668 and his widowed mother remarried there on 22 February 1670 to Robert Spotswood ( 17 September 1637 - 1680, the assistant and replacement Chirurgeon at the Garrison), and thirdly to Rev Dr George Mercer, the Garrison schoolmaster. Roger was therefore an older half-brother to Alexander Spotswood (ca. 1676 - 6 June 1740), who would become a noted Lieutenant- Governor of Virginia. **(more...)**

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# Renaissance

2008/9 Schools Wikipedia Selection. Related subjects: General history

The **Renaissance** (French for 'rebirth', or *Rinascimento* in Italian), was a cultural movement in Italy (and in Europe in general) that began in the late Middle Ages, and spanned roughly the 14th through the 17th century. It encompassed the revival of learning based on classical sources, the rise of courtly and papal patronage, the development of perspective in painting, and advancements in science.

There has always been debate among historians as to the validity of the Renaissance as a term and as a historical age. Some have called into question whether the Renaissance really was a cultural "advance" from the Middle Ages, instead seeing it as a period of pessimism and nostalgia for the classical age. Indeed, it is now usually considered wrong to classify any historical period as "better" or "worse", leading some to call for an end to the use of the term, which they see as a product of presentism. The word *Renaissance* has also been used to describe other historical and cultural movements, such as the Carolingian Renaissance and the Byzantine Renaissance.

## Overview

### Renaissance

#### Topics

Architecture

Dance

Literature

Music

Painting

Philosophy

Science

Technology

Warfare

#### Regions

England

France

Germany

Italy

Netherlands

Northern Europe

Poland

Spain



The Renaissance was a cultural movement that profoundly affected European intellectual life in the early modern period. Beginning in Italy, and spreading to the rest of Europe by the 16th century, its influence was felt in literature, philosophy, art, politics, science, religion, and other aspects of intellectual enquiry. Renaissance scholars employed the humanist method in study, and searched for realism and human emotion in art.

Renaissance thinkers sought out learning from ancient texts, typically written in Latin or ancient Greek. Scholars scoured Europe's monastic libraries, searching for works of antiquity which had fallen into obscurity. In such texts they found a desire to improve and perfect their worldly knowledge; an entirely different sentiment to the transcendental spirituality stressed by medieval Christianity. They did not reject Christianity; quite the contrary, many of the Renaissance's greatest works were devoted to it, and the Church patronized many works of Renaissance art. However, a subtle shift took place in the way that intellectuals approached religion that was reflected in many other areas of cultural life.

Artists such as Albrecht Dürer strove to portray the human form realistically, developing techniques to render perspective and light more naturally. Political philosophers, most famously Niccolò Machiavelli, sought to describe political life as it really was, and to improve government on the basis of reason. In addition to studying classical Latin and Greek, authors also began increasingly to use vernacular languages; combined with the invention of printing, this would allow many more people access to books, especially the Bible.

In all, the Renaissance could be viewed as an attempt by intellectuals to study and improve the secular and worldly, both through the revival of ideas from antiquity, and through novel approaches to thought.

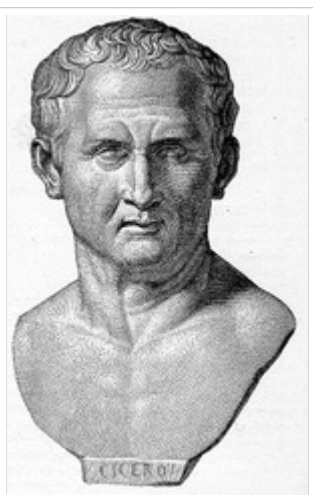
## Origins of the Renaissance

Most historians agree that the ideas that characterized the Renaissance had their origin in late 13th century Florence, in particular with the writings of Dante Alighieri ( 1265– 1321) and Francesco Petrararch ( 1304– 1374), as well as the painting of Giotto di Bondone ( 1267- 1337). Yet it remains unclear why the Renaissance began in Italy, and why it began when it did. Accordingly, several theories have been put forward to explain its origins.

### Assimilation of Greek and Arabic knowledge



Leonardo da Vinci's Vitruvian Man shows clearly the effect writers of antiquity had on Renaissance thinkers. Based on the specifications in Vitruvius's *De architectura*, da Vinci tried to draw the perfectly proportioned man.



Cicero

The Renaissance was so called because it was a "rebirth" of certain classical ideas that had long been lost to Europe. It has been argued that the fuel for this rebirth was the rediscovery of ancient texts that had been forgotten by Western civilization, but were preserved in some monastic libraries, as well as the Islamic world. Renaissance scholars such as Niccolò de' Niccoli and Poggio Bracciolini scoured the libraries of Europe in search of works by such classical authors as Plato, Cicero and Vitruvius. Additionally, as the reconquest of the Iberian peninsula from Islamic Moors progressed, numerous ancient Greek works were captured from educational institutions such as the library at Córdoba, which claimed to have 400,000 books. Along with these, the works of Arabic scholars (e.g. Averroes), were imported into the Christian world, providing new intellectual material for European scholars.

Greek and Arabic knowledge were not only assimilated from Spain, but also directly from the Middle East. The study of mathematics was flourishing in the Middle East, and mathematical knowledge was brought back by crusaders in the 13th century. The decline of the Byzantine Empire after 1204 - and its eventual fall in 1453 - led to an exodus of Greek scholars to the West. These scholars brought with them texts and knowledge of the classical Greek civilization which had been lost for centuries in the West.

### **Social and political structures in Italy**

The unique political structures of late Middle Ages Italy led some to theorize that its unusual social climate allowed the emergence of a rare cultural efflorescence. Italy did not exist as a political entity in the early modern period. Instead, it was divided into smaller city states and territories: the kingdom of Naples controlled the south, the Republic of Florence and the Papal states the centre, the Genoese and the Milanese the north and west, and the Venetians the east. Fifteenth-century Italy was one of the most urbanised areas in Europe. Many of its cities stood among the ruins of ancient Roman buildings; it seems likely that the classical nature of the Renaissance was linked to its origin in the Roman Empire's heartlands.

Italy at this time was notable for its merchant Republics, including the Republic of Florence and the Republic of Venice. Although in practice these were oligarchical, and bore little resemblance to a modern democracy, the relative political freedom they afforded was conducive to academic and artistic advancement. Likewise, the position of Italian cities such as Venice as great trading centres made them intellectual crossroads. Merchants brought with them ideas from far corners of the globe, particularly the Levant. Venice was Europe's gateway to trade with the East, and a producer of fine glass, while Florence was a capital of silk and jewelry. The wealth such business brought to Italy meant that large public and private artistic projects could be commissioned and individuals had more leisure time for study.

### **The Black Death**

One theory is that the devastation caused by the Black Death in Florence (and elsewhere in Europe) resulted in a shift in the world view of people in 14th century Italy. Italy was particularly badly hit by the plague, and it has been speculated that the familiarity with death that this brought thinkers to dwell more on their lives on Earth, rather than on spirituality and the afterlife. It has also been argued that the



A political map of the Italian Peninsula circa 1494.



Black Death prompted a new wave of piety, manifested in the sponsorship of religious works of art. However, this does not fully explain why the Renaissance occurred specifically in Italy in the 14th century. The Black Death was a pandemic that affected all of Europe in the ways described, not only Italy. The Renaissance's emergence in Italy was most likely the result of the complex interaction of the above factors.

## Cultural conditions in Florence

It has long been a matter of debate why the Renaissance began in Florence, and not elsewhere in Italy. Scholars have noted several features unique to Florentine cultural life which may have precipitated such a cultural movement. Many have emphasised the role played by the Medici family in patronising and stimulating the arts. Lorenzo de' Medici devoted huge sums to commissioning works from Florence's leading artists, including Leonardo da Vinci, Sandro Botticelli, and Michelangelo Buonarroti.

The Renaissance was certainly already underway before Lorenzo came to power, however. Indeed, before the Medici family itself achieved hegemony in Florentine society. Some historians have postulated that Florence was the birthplace of the Renaissance as a result of luck, i.e. because "Great Men" were born there by chance. Da Vinci, Botticelli and Michelangelo were all born in Tuscany. Arguing that such chance seems improbable, other historians have contended that these "Great Men" were only able to rise to prominence because of the prevailing cultural conditions at the time.

## Characteristics of the Renaissance

### Humanism

Humanism was not a philosophy per se, but rather a method of learning. In contrast to the medieval scholastic mode, which focused on resolving contradictions between authors, humanists would study ancient texts in the original, and appraise them through a combination of reasoning and empirical evidence. Humanist education was based on the study of poetry, grammar, ethics and rhetoric. Above all, humanists asserted "the genius of man... the unique and extraordinary ability of the human mind."

Humanist scholars shaped the intellectual landscape throughout the early modern period. Political philosophers such as Niccolò Machiavelli and Thomas More revived the ideas of Greek and Roman thinkers, and applied them in critiques of contemporary government. Theologians, notably Erasmus and Martin Luther, challenged the Aristotelian status quo, introducing radical new ideas of justification and faith (*for more, see Religion below*).

### Art



Lorenzo de' Medici, ruler of Florence and patron of arts.





One of the distinguishing features Renaissance art is its development of highly realistic linear perspective. Giotto di Bondone (1267-1337) is credited with first treating the canvas as a window into space, but it was not until the work of Filippo Brunelleschi (1377-1446) and Leon Battista Alberti (1404-1472) that perspective was formalised as an artistic technique. The development of perspective was part of a wider trend towards realism in the arts (*for more, see Renaissance Classicism*). To that end, painters also developed other techniques, studying light, shadow, and, famously in the case of Leonardo da Vinci, human anatomy. Underlying these changes in artistic method was a renewed desire to depict the beauty of nature, and to unravel the axioms of aesthetics.

By the late 15th century, these artistic ideas were spreading into Northern Europe, where they developed and changed. In the Netherlands, a particularly vibrant artistic culture developed, with artists such as Joachim Patinir and Pieter Aertsen fusing the new techniques with local religious iconography (*for more, see Renaissance in the Netherlands*). Later, the work of Pieter Brueghel the Elder would inspire artists to depict themes of everyday life.

In architecture, Renaissance ideas of aesthetics were fused with the flourishing discipline of mathematics. Architects such as Filippo Brunelleschi used rediscovered knowledge from Vitruvius and others to build in the classical style, as well as to achieve feats of engineering not previously possible - Brunelleschi's dome on the Duomo of Florence being the most famous example.

## Science

The upheavals occurring in the arts and humanities were mirrored by a dynamic period of change in the sciences. Some have seen this flurry of activity as a "scientific revolution," heralding the beginning of the modern age. Others have seen it merely as an acceleration of a continuous process stretching from the ancient world to the present day. Regardless, there is general agreement that the Renaissance saw significant changes in the way the universe was viewed and the methods with which philosophers sought to explain natural phenomena.

Science and art were very much intermingled in the early Renaissance, with artists such as Leonardo da Vinci making observational drawings of anatomy and nature. Yet the most significant development of the era was not a specific discovery, but rather a *process* for discovery, the scientific method. This revolutionary new way of learning about the world focused on empirical evidence, the importance of mathematics, and discarding the Aristotelian "final cause" in favour of a mechanical philosophy. Early and influential proponents of these ideas included Copernicus and Galileo. While both were later hailed as thinkers of seminal importance, at the time they attracted much controversy, particularly from the Roman Catholic Church.

The new scientific method led to great contributions in the fields of astronomy, physics, biology, and anatomy. With the publication of Vesalius's *De humani corporis fabrica*, a new confidence was placed in the role of dissection, observation, and a mechanistic view of anatomy.

## Religion

It should be emphasised that the new ideals of humanism, although more secular in some aspects, developed against an unquestioned Christian backdrop,

Image:Sanzio 01.jpg  
Raphael was famous for depicting illustrious figures of the Classical past with the features of his Renaissance contemporaries. *The School of Athens* (above) is perhaps the most extended study in this.



especially in the Northern Renaissance. Indeed, much (if not most) of the new art was commissioned by or in dedication to the Church. However, the Renaissance had a profound effect on contemporary theology, particularly in the way people perceived the relationship between man and God. Many of the period's foremost theologians were followers of the humanist method, including Erasmus, Zwingli, Thomas More, Martin Luther, and John Calvin. Humanism and the Renaissance therefore played a direct role in sparking the Reformation, as well as in many other contemporaneous religious debates and conflicts.

## Renaissance self-awareness

By the fifteenth century, writers, artists and architects in Italy were well aware of the transformations that were taking place and were using phrases like *modi antichi* (in the antique manner) or *alle romana et alla antica* (in the manner of the Romans and the ancients) to describe their work. As to the term “rebirth,” Albrecht Dürer may have been the first to use such a term when, in 1523, he used *Wiedererwachung* (English: *reawakening*) to describe Italian art. The term "la rinascita" first appeared, however, in its broad sense in Giorgio Vasari's *Vite de' più eccellenti architetti, pittori, et scultori Italiani* (The Lives of the Artists, 1550-68). Vasari divides the age into three phases: the first phase contains Cimabue, Giotto, and Arnolfo di Cambio; the second phase contains Masaccio, Brunelleschi, and Donatello; the third centers on Leonardo da Vinci and culminates with Michelangelo. It was not just the growing awareness of classical antiquity that drove this development, according to Vasari, but also the growing desire to study and imitate nature.

## The Renaissance Spreads

In the 15th century the Renaissance spread with great speed from its birthplace in Florence, first to the rest of Italy, and soon to the rest of Europe. The invention of the printing press allowed the rapid transmission of these new ideas. As it spread, its ideas diversified and changed, being adapted to local culture. In the twentieth century, scholars began to break the Renaissance into regional and national movements, including:

- The Italian Renaissance
- The English Renaissance
- The German Renaissance
- The Northern Renaissance
- The French Renaissance
- The Renaissance in the Netherlands
- The Polish Renaissance
- The Spanish Renaissance
- Renaissance architecture in Eastern Europe

## The Northern Renaissance



The Renaissance as it occurred in Northern Europe has been termed the "Northern Renaissance". It arrived first in France, imported by King Charles VIII after his invasion of Italy. Francis I imported Italian art and artists, including Leonardo Da Vinci, and at great expense built ornate palaces. Writers such as François Rabelais, Pierre de Ronsard, Joachim du Bellay and Michel de Montaigne, painters such as Jean Clouet and musicians such as Jean Mouton also borrowed from the spirit of the Italian Renaissance.

In the second half of the 15th century, Italians brought the new style to Poland and Hungary. After the marriage in 1476 of Matthias Corvinus, King of Hungary, to Beatrix of Naples, Buda became the one of the most important artistic centres of the Renaissance north of the Alps. The most important humanists living in Matthias' court were Antonio Bonfini and Janus Pannonius. In 1526 the Ottoman conquest of Hungary put an abrupt end to the short-lived Hungarian Renaissance.

An early Italian humanist who came to Poland in the mid-15th century was Filip Callimachus. Many Italian artists came to Poland with Bona Sforza of Milano, when she married King Zygmunt I of Poland in 1518. This was supported by temporarily strengthened monarchies in both areas, as well as by newly-established universities.

The spirit of the age spread from France to the Low Countries and Germany, and finally by the late 16th century to England, Scandinavia, and remaining parts of Central Europe. In these areas humanism became closely linked to the turmoil of the Protestant Reformation, and the art and writing of the German Renaissance frequently reflected this dispute.

In England, the Elizabethan era marked the beginning of the English Renaissance with the work of writers William Shakespeare, Christopher Marlowe, John Milton, and Edmund Spenser, as well as great artists, architects (such as Inigo Jones), and composers such as Thomas Tallis, John Taverner, and William Byrd.



The Arnolfini Portrait, by Jan van Eyck, painted 1434



Poznań City Hall rebuilt from the Gothic style by Giovanni Batista di Quadro ( 1550- 1555).

The Renaissance arrived in the Iberian peninsula through the Mediterranean possessions of the Aragonese Crown and the city of Valencia. Early Iberian Renaissance writers include Ausiàs March, Joanot Martorell, Fernando de Rojas, Juan del Encina, Garcilaso de la Vega, Gil Vicente and Bernardim Ribeiro. The late Renaissance in Spain saw writers such as Miguel de Cervantes, Lope de Vega, Luis de Góngora and Tirso de Molina, artists such as El Greco and composers such as Tomás Luis de Victoria. In Portugal writers such as Sá de Miranda and Luís de Camões and artists such as Nuno Gonçalves appeared.

While Renaissance ideas were moving north from Italy, there was a simultaneous southward spread of innovation, particularly in music. The music of the 15th century Burgundian School defined the beginning of the Renaissance in that art and the polyphony of the Netherlanders, as it moved with the musicians themselves into Italy, formed the core of what was the first true international style in music since the standardization of Gregorian Chant in the 9th century. The culmination of the Netherlandish school was in the music of the Italian composer, Palestrina. At the end of the 16th century Italy again became a centre of musical innovation, with the development of the polychoral style of the Venetian School, which spread northward into Germany around 1600.

The paintings of the Italian Renaissance differed from those of the Northern Renaissance. Italian Renaissance artists were among the first to paint secular scenes, breaking away from the purely religious art of medieval painters. At first, Northern Renaissance artists remained focused on religious subjects, such as the contemporary religious upheaval portrayed by Albrecht Dürer. Later on, the works of Pieter Bruegel influenced artists to paint scenes of daily life rather than religious or

classical themes. It was also during the northern Renaissance that Flemish brothers Hubert and Jan van Eyck perfected the oil painting technique, which enabled artists to produce strong colors on a hard surface that could survive for centuries.

## Historiography of the Renaissance

### The Renaissance as a historical age

It was not until the nineteenth century that the French word *Renaissance* achieved popularity in describing the cultural movement that began in the late 13th century. The Renaissance was first defined by French historian Jules Michelet (1798-1874), in his 1855 work, *Histoire de France*. For Michelet, the Renaissance was more a development in science than in art and culture. He asserted that it spanned the period from Columbus to Copernicus to Galileo; that is, from the end of the fifteenth century to the middle of the seventeenth century. The Swiss historian Jacob Burckhardt, (1818-1897) in his *Die Kultur der Renaissance in Italien*, by contrast, defined the Renaissance as the period between Giotto and Michelangelo. His book was widely read and was influential in the development of the modern interpretation of the Italian Renaissance. However, Burckhardt has been accused of setting forth a linear Whiggish view of history, seeing the Renaissance as the origin of the modern world.

More recently, historians have been much less keen to define the Renaissance as a historical age, or even a coherent cultural movement. As Randolph Starn has put it,

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Rather than a period with definitive beginnings and endings and consistent content in between, the Renaissance can be (and occasionally has been) seen as a movement of practices and ideas to which specific groups and identifiable persons variously responded in different times and places. It would be in this sense a network of diverse, sometimes converging, sometimes conflicting cultures, not a single, time-bound culture.

”

—Randolph Starn

## For Better or For Worse?

Many historians now view the Italian Renaissance more as an intellectual and ideological change than as a substantive one. Some marxist historians, for example, hold the view that the changes in art, literature, and philosophy were part of a general trend away from feudalism towards capitalism, resulting in a bourgeois class with leisure time to devote to the arts.

Many historians now point out that most of the negative social factors popularly associated with the "medieval" period - poverty, ignorance, warfare, religious and political persecution, for example - seem to have worsened in this era which saw the rise of Machiavelli, the Wars of Religion, the corrupt Borgia Popes, and the intensified witch-hunts of the 16th century. Many people who lived during the Renaissance did not view it as the "golden age" imagined by certain 19th-century authors, but were concerned by these social maladies. Significantly, though, the artists, writers, and patrons involved in the cultural movements in question believed they were living in a new era that was a clean break from the Middle Ages.

Johan Huizinga (1872–1945) acknowledged the existence of the Renaissance but questioned whether it was a positive change. In his book *The Waning of the Middle Ages*, he argued that the Renaissance was a period of decline from the High Middle Ages, destroying much that was important. The Latin language, for instance, had evolved greatly from the classical period and was still a living language used in the church and elsewhere. The Renaissance obsession with classical purity halted its further evolution and saw Latin revert to its classical form. Robert S. Lopez has contended that it was a period of deep economic recession. Meanwhile George Sarton and Lynn Thorndike have both argued that scientific progress was slowed.

Historians have begun to consider the word *Renaissance* as unnecessarily loaded, implying an unambiguously positive rebirth from the supposedly more primitive "Dark Ages" (Middle Ages). Many historians now prefer to use the term "Early Modern" for this period, a more neutral term that highlights the period as a transitional one that led to the modern world.

## Other Renaissances

The term Renaissance has also been used to define time periods outside of the 15th and 16th centuries. Charles H. Haskins (1870–1937), for example, made a convincing case for a Renaissance of the 12th century. Other historians have argued for a Carolingian Renaissance in the eighth and ninth centuries, and still



Alexander VI, a Borgia pope infamous for his corruption.



later for an Ottonian Renaissance in the tenth century. Other periods of cultural rebirth have also been termed "renaissances", such as the Bengal Renaissance or the Harlem Renaissance.

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# Roman Empire

2008/9 Schools Wikipedia Selection. Related subjects: Ancient History, Classical History and Mythology; British History 1500 and before (including Roman Britain); General history

The **Roman Empire** is the phase of the ancient Roman civilization characterized by an autocratic form of government. The Roman Empire succeeded the 500-year-old Roman Republic (510 BC – 1st century BC), which had been weakened by the conflict between Gaius Marius and Sulla and the civil war of Julius Caesar against Pompey the Great. Several dates are commonly proposed to mark the transition from Republic to Empire, including the date of Julius Caesar's appointment as perpetual dictator (44 BC), the victory of Caesar's heir Octavian at the Battle of Actium ( September 2, 31 BC), and the Roman Senate's granting to Octavian the honorific *Augustus*. ( January 16, 27 BC).

The Latin term *Imperium Romanum* (Roman Empire), probably the best-known Latin expression where the word *imperium* denotes a territory, indicates the part of the world under Roman rule. From the time of Augustus to the Fall of the Western Empire, Rome's dominion covered all of the following: England and Wales; most of Europe (west of the Rhine and south of the Alps); coastal northern Africa, together with the adjacent province of Egypt; the Balkans, the Black Sea, and Asia Minor; and also much of the Levant. Hence the *Imperium Romanum* subsumed, west-to-east, modern-day Portugal, Spain, England and France, Italy, Albania and Greece, the Balkans, Turkey, and parts of eastern, and southern Germany; southward it embraced parts of the Middle East: present day Syria, Lebanon, Israel, Jordan and more; thence southwestward it included the whole of ancient Egypt, then swept westward to contain the coastal regions of what are today Libya, Tunisia, Algeria, and Morocco, out to the longitudes just west of Gibraltar. Most of the people living there called themselves Romans, and lived under Roman law. Roman expansion began long before the state was changed into a monarchy and reached its zenith under Emperor Trajan with the conquest of Dacia (i.e., modern Romania and Moldova, as well as parts of Hungary, Bulgaria and Ukraine), in AD 106, and Mesopotamia in 116 (subsequently returned by Hadrian). At this territorial peak, the Roman Empire controlled approximately 5,900,000 km<sup>2</sup> (2,300,000 sq mi) of land surface, and so encompassed the Mediterranean Sea that the Romans called it *mare nostrum* - "our sea". Rome's influence upon the language, religion, architecture, philosophy, law and government of nations around the world continues to this day.

The end of the Roman Empire is sometimes placed at 4 September 476 AD, when the last emperor of the Western Roman Empire, Romulus Augustus, was deposed and not replaced. Before this date, however, the Empire had been divided into Western and Eastern halves, Emperor Diocletian, who retired in 305, having

<b>RES PUBLICA ROMANA</b> <b>Roman Empire</b>	
←  <b>27 BC – 476</b>  →	 →
<b>Motto</b> <i>Senatus Populusque Romanus</i> (SPQR) (Latin) "The Senate and the Roman People"	
 The Roman Empire at its greatest extent in 117 AD	
<b>Capital</b>	Rome (44 BC – 286 AD) Constantinople (From 330)
<b>Language(s)</b>	Latin (imperial), Greek (administrative)



been the last sole Emperor of an undivided Empire. The Western Roman Empire declined and fell apart (see Decline of the Roman Empire) in the course of the 5th century. The Eastern Roman Empire, known today as the Byzantine Empire, preserved Greco-Roman legal and cultural traditions along with Hellenic and Orthodox Christian elements for another millennium, until its eventual collapse with the conquest of Constantinople at the hands of the Ottoman Empire in 1453.

## Evolution of Imperial Rome

<b>Religion</b>	Roman paganism, later Christianity
<b>Government</b>	Monarchy
<b>Emperor</b>	
- 27 BC – AD 14	Augustus
- 475–476	Romulus Augustus
<b>Consul</b>	
- 27–23 BC	Augustus
- 476	Basiliscus
<b>Legislature</b>	Roman Senate
<b>Historical era</b>	Classical antiquity
- Augustus Caesar proclaimed princeps	27 BC
- Battle of Actium	September 2, 31 BC
- Octavian proclaimed Augustus	16 January 27 BC
- Diocletian splits imperial administration between east and west	285
- Constantine I declares Constantinople new imperial capital	330
- Romulus Augustus deposed by Odoacer	September 4, 476
<b>Area</b>	
- 25 BC	2,750,000 km <sup>2</sup> (1,061,781 sq mi)





Traditionally, historians make a distinction between the Principate, the period following Augustus until the Crisis of the Third Century, and the Dominate, the period from Diocletian until the end of the empire in the west. According to this distinction, during the Principate (from the Latin word *princeps*, meaning "first citizen") the realities of absolutism were formally concealed behind republican forms; while during the Dominate (from the word *dominus*, meaning "master" or "owner") imperial power was clearly shown, with golden crowns and ornate imperial ritual. More recently, historians have established that the situation was far more nuanced: certain historical forms continued until the Byzantine period, more than one thousand years after they were created, and displays of imperial majesty were common from the earliest days of the Empire.

## The first emperor

No definitive answer exists regarding the identity of the first emperor of Rome. Under a purely technical point of view there is no clear "first emperor", as the title itself was not an official post in the Roman constitutional system—rather, it was an amalgam of separate roles.

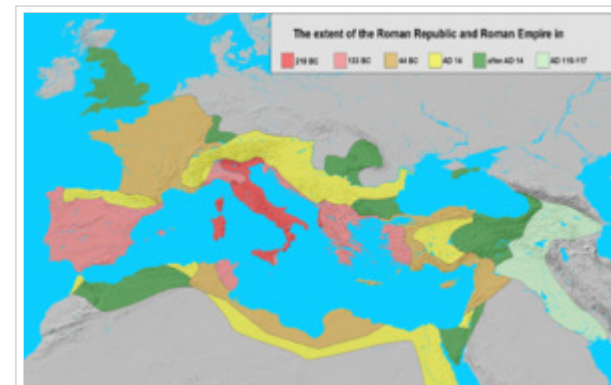


A diabase bust of Julius Caesar

Julius Caesar was a *Dictator Perpetuus* (dictator for life), which was a highly irregular form of dictator, an official position in the Roman Republic. By law, the rule of a dictator would normally never exceed six months. The form created by Caesar was therefore quite contrary to the basic principles of the Roman Republic. Nevertheless, officially his authority rested upon this republican title, however irregular it might have been, and therefore he is considered a republican official. Several senators, among them many former enemies who had been "graciously" pardoned by him, grew fearful that he would crown himself and try to establish a monarchy. Accordingly, they conspired to assassinate him, and on the Ides of March, 44 BC, the life-long dictator perished under the blades of his assassins.

Octavian, his grand-nephew, adopted son and political heir, learned from the mistake of his predecessor and never claimed the widely feared title *dictator*, disguising his power under republican forms much more carefully. All this was intended to foster the illusion of a restoration of the Republic. He received several titles like *Augustus*—"the elevated one", and *Princeps*—translated as "first citizen of the Roman republic" or as "first leader of the Roman Senate". The latter had been a title

- 50	4,200,000 km <sup>2</sup> (1,621,629 sq mi)
- 117	5,000,000 km <sup>2</sup> (1,930,511 sq mi)
- 390	4,400,000 km <sup>2</sup> (1,698,849 sq mi)
<b>Population</b>	
- 25 BC est.	56,800,000
Density	20.7 /km <sup>2</sup> (53.5 /sq mi)
- 117 est.	88,000,000
Density	17.6 /km <sup>2</sup> (45.6 /sq mi)
<b>Currency</b>	Solidus, Aureus, Denarius, Sestertius, As



The extent of the Roman Republic and Roman Empire in 218 BC (dark red), 133 BC (light red), 44 BC (orange), AD 14 (yellow), after AD 14 (green), and maximum extension under Trajan, AD 117 (light green).



awarded for those who had served the state well; Pompey had held that title.

In addition, Augustus (as he was named thereafter) was granted the right to wear the Civic Crown of laurel and oak. Officially, however, none of these titles or the Civic Crown granted Augustus any additional powers or authority; he was simply a highly honored Roman citizen who held the consulship. Augustus also became *Pontifex Maximus* after the death of Marcus Aemilius Lepidus in 13 BC. He also received several additional and extraordinary powers without claiming too many titles. In the end, he only needed the authority itself, not all the titles.

## From the Republic to the Principate: Augustus (27 BC – AD 14)

The Battle of Actium resulted in the defeat and subsequent suicides of Mark Antony and Cleopatra. Octavian had also executed Cleopatra's young son and co-ruler, Caesarion. Caesarion may have been the (only) son of Julius Caesar. Therefore, by killing Caesarion, Octavian removed any possibility of a male rival emerging with closer blood ties to Julius Caesar. Octavian, now sole ruler of Rome, began a full-scale reformation of military, fiscal and political matters. These were intended to stabilize and pacify the Roman world and also to cement acceptance of the new regime.

Upon Octavian's accession as ruler of the Roman world, the Roman Senate gave Octavian the name *Augustus*. He had already adopted the title *imperator*, "commander-in-chief", as his first name. It was a term that dated back to the days of the Republic and later evolved into *emperor*.

As adopted heir of Caesar, Augustus preferred to be called by this name. *Caesar* was a component of his family name. Julio-Claudian rule lasted for almost a century (from Julius Caesar in the mid-1st century BC to the emperor Nero in the mid-1st century AD). By the time of the Flavian Dynasty, and the reign of Vespasian, and that of his two sons, Titus and Domitian, the term *Caesar* had evolved, almost *de facto*, from a family name into a formal title. Derivatives of this title (such as czar and kaiser) endure to this day.

The Roman legions, which had reached an unprecedented number (around 50) because of the civil wars, were reduced to 28. Several legions, particularly those with members of doubtful loyalties, were simply disbanded. Other legions were amalgamated, a fact hinted by the title *Gemina* (Twin). Augustus also created nine special cohorts, ostensibly to maintain the peace in Italy, keeping at least three of them stationed at Rome. These cohorts became known as the Praetorian Guard.

Octavian realized that autocracy and kingship were things that Romans had not experienced for centuries, and were wary of. Octavian did not want to be viewed as a tyrant and sought to retain the illusion of the constitutional republic. He attempted to make it seem as though the constitution of the Roman Republic was still functional. Even Rome's past dictators, such as the brutal Lucius Cornelius Sulla, had only ruled Rome for short spans of time, never more than a year or two (with the exception of Julius Caesar). In 27 BC, Octavian officially tried to relinquish all his extraordinary powers to the Roman Senate. In a carefully staged way, the senators, who by this time were mostly his partisans, refused and begged him to keep them for the sake of the republic and the people of Rome. Reportedly, the suggestion of Octavian stepping down as consul led to rioting amongst the Plebeians in Rome. A compromise was reached between the Senate and Octavian, known as the *First Settlement*. This agreement gave Augustus legitimacy as an autocrat of the people, and ensured that he would not



*The Battle of Actium*, by Lorenzo A. Castro, 1672.



be considered a tyrant, starting the long period that would be known as Pax Romana.

Octavian split with the Senate the governorships of the provinces. The unruly provinces at the borders, where the vast majority of the legions were stationed, were administrated by imperial legates, chosen by the emperor himself. These provinces were classified as imperial provinces. The governors of the peaceful senatorial provinces were chosen by the Senate. These provinces were usually peaceful and only a single legion was stationed in the senatorial province of Africa.



The famous Augustus of Prima Porta.

Before the Senate controlled the treasury, Augustus had mandated that the taxes of the Imperial provinces be destined to the *Fiscus*, which was administrated by persons chosen by, and answerable only to, Augustus. The revenue of the senatorial provinces continued to be sent to the *Aerarium*, under the supervision of the Senate. This effectively made Augustus richer than the Senate, and more than able to pay the *salarium* (salary) of the legionaries, ensuring their continued loyalty. This was ensured by the Imperial province of Roman Egypt, which was incredibly wealthy and also the most important grain supplier for the whole empire. Senators were forbidden to even visit this province, as it was largely considered the personal fiefdom of the emperor himself.

Augustus renounced his consulship in 23 BC, but retained his consular imperium, leading to a second compromise between Augustus and the Senate known as the *Second Settlement*. Augustus was granted the authority of a tribune (*tribunicia potestas*), though not the title, which allowed him to convene the Senate and people at will and lay business before it, veto the actions of either the Assembly or the Senate, preside over elections, and gave him the right to speak first at any meeting. Also included in Augustus's tribunician authority were powers usually reserved for the Roman censor; these included the right to supervise public morals and scrutinize laws to ensure they were in the public interest, as well as the ability to hold a census and determine the membership of the Senate. No tribune of Rome ever had these powers, and there was no precedent within the Roman system for consolidating the powers of the tribune and the censor into a single position, nor was Augustus ever elected to the office of Censor. Whether censorial powers were granted to Augustus as part of his tribunician authority, or he simply assumed these responsibilities, is still a matter of debate.

In addition to tribunician authority, Augustus was granted sole imperium within the city of Rome itself; all armed forces in the city, formerly under the control of the praefects, were now under the sole authority of Augustus. Additionally, Augustus was granted *imperium proconsulare maius* (power over all proconsuls), the right to interfere in any province and override the decisions of any governor. With *maius imperium*, Augustus was the only individual able to grant a triumph to a successful general as he was ostensibly the leader of the entire Roman army.

All of these reforms were highly unusual in the eyes of Roman republican tradition, but the Senate was no longer composed of the republican patricians who had the courage to murder Caesar. Most of these senators had died in the Civil Wars, and the leaders of the conservative Republicans in the senate, such as Cato and Cicero, had long since died. Octavian had purged the Senate of any remaining suspect elements and planted the body with his own partisans. How free a hand the Senate had in all these transactions, and what backroom deals were made, remains unknown.

Attempting to secure the borders of the empire upon the rivers Danube and Elbe, Octavian ordered the invasions of Illyria, Moesia, and Pannonia (south of the



Danube), and Germania (west of the Elbe). At first everything went as planned, but then disaster struck. The Illyrian tribes revolted and had to be crushed, and three full legions under the command of Publius Quinctilius Varus were ambushed and destroyed at the Battle of the Teutoburg Forest in AD 9 by German barbarians under the leadership of Arminius. Being cautious, Augustus secured all territories west of Rhine and contented himself with retaliatory raids. The rivers Rhine and Danube became the permanent borders of the Roman empire in the North.

## Julio-Claudian Dynasty (14–68)

Augustus had three grandsons by his daughter Julia. None of the three lived long enough to succeed him. He therefore was succeeded by his stepson Tiberius, the son of his wife Livia from her first marriage. Augustus was a scion of the *gens* Julia (the Julian family), one of the most ancient patrician clans of Rome, while Tiberius was a scion of the *gens* Claudia, only slightly less ancient than the Julians. Their three immediate successors were all descended both from the *gens* Claudia, through Tiberius's brother Nero Claudius Drusus, and from *gens* Julia, either through Julia the Elder, Augustus's daughter from his first marriage (Caligula and Nero), or through Augustus's sister Octavia Minor (Claudius). Historians thus refer to their dynasty as "Julio-Claudian".

### Tiberius (14–37)

The early years of Tiberius's reign were peaceful and relatively benign. Tiberius secured the overall power of Rome and enriched its treasury. However, Tiberius's reign soon became characterized by paranoia and slander. In 19, he was widely blamed for the death of his nephew, the popular Germanicus. In 23 his own son Drusus died. More and more, Tiberius retreated into himself. He began a series of treason trials and executions. He left power in the hands of the commander of the guard, Lucius Aelius Sejanus. Tiberius himself retired to live at his villa on the island of Capri in 26, leaving administration in the hands of Sejanus, who carried on the persecutions with relish. Sejanus also began to consolidate his own power; in 31 he was named co-consul with Tiberius and married Livilla, the emperor's niece. At this point he was "hoisted by his own petard": the emperor's paranoia, which he had so ably exploited for his own gain, was turned against him. Sejanus was put to death, along with many of his associates, the same year. The persecutions continued until Tiberius's death in 37.

### Caligula (37–41)

At the time of Tiberius's death most of the people who might have succeeded him had been brutally murdered. The logical successor (and Tiberius's own choice) was his grandnephew, Germanicus's son Gaius (better known as "Caligula" or "little boots"). Caligula started out well, by putting an end to the persecutions and burning his uncle's records. Unfortunately, he quickly lapsed into illness. The Caligula that emerged in late 37 demonstrated features of mental instability that led modern commentators to diagnose him with such illnesses as encephalitis, which can cause mental derangement, hyperthyroidism, or even a nervous breakdown (perhaps brought on by the stress of his position). Whatever the cause, there was an obvious shift in his reign from this point on, leading his biographers to think he was insane.

Most of what history remembers of Caligula comes from Suetonius, in his book *Lives of the Twelve Caesars*. According to Suetonius, Caligula once planned to appoint his favorite horse Incitatus to the Roman Senate. He ordered his soldiers to invade Britain to fight the Sea God Neptune, but changed his mind at the last minute and had them pick sea shells on the northern end of France instead. It is believed he carried on incestuous relations with his sisters. He ordered a statue



of himself to be erected in the Temple at Jerusalem, which would have undoubtedly led to revolt had he not been dissuaded from this plan by his friend king Herod. He ordered people to be secretly killed, and then called them to his palace. When they did not appear, he would jokingly remark that they must have committed suicide. In 41, Caligula was assassinated by the commander of the guard Cassius Chaerea. The only member of the imperial family left to take charge was his uncle, Tiberius Claudius Drusus Nero Germanicus.

### **Claudius (41–54)**

Claudius had long been considered a weakling and a fool by the rest of his family. He was, however, neither paranoid like his uncle Tiberius, nor insane like his nephew Caligula, and was therefore able to administer the empire with reasonable ability. He improved the bureaucracy and streamlined the citizenship and senatorial rolls. He also proceeded with the conquest and colonization of Britain (in 43), and incorporated more Eastern provinces into the empire. He ordered the construction of a winter port for Rome, at Ostia, thereby providing a place for grain from other parts of the Empire to be brought in inclement weather.

In his own family life, Claudius was less successful. His wife Messalina cuckolded him; when he found out, he had her executed and married his niece, Agrippina the Younger. She, along with several of his freedmen, held an inordinate amount of power over him, and although there are conflicting accounts about his death, she may very well have poisoned him in 54. Claudius was deified later that year. The death of Claudius paved the way for Agrippina's own son, the 17-year-old Lucius Domitius Nero.

### **Nero (54–68)**

Nero ruled from 54 to 68. During his rule, Nero focused much of his attention on diplomacy, trade, and increasing the cultural capital of the empire. He ordered the building of theatres and promoted athletic games. His reign included a successful war and negotiated peace with the Parthian Empire (58–63), the suppression of the Brython revolt (60–61) and improving cultural ties with Greece. Nero, though, is remembered as a tyrant and the emperor who "fiddled while Rome burned" in 64. A military coup drove Nero into hiding. Facing execution at the hands of the Roman Senate, he reportedly committed suicide in 68. His last words were, "What an artist dies in me."

## **Rebellions**

In peacetime it was relatively easy to manage the empire from its capital city, Rome. Rebellions were expected to occur from time to time: a general or a governor would gain the loyalty of his officers through a mixture of personal charisma, promises and simple bribes. A conquered tribe would rebel, or a conquered city would revolt. This would be a bad, but not a catastrophic, event. The Roman legions were spread around the borders, and the rebel leader would—in normal circumstances—have only one or two legions under his command. Loyal legions would be detached from other points of the empire, and would eventually drown the rebellion in blood. This happened even more easily in cases of a small local native uprising, as the rebels would normally have no great military experience. Unless the emperor was weak, incompetent, hated, and/or universally despised, these rebellions would be a local and isolated event.

During real wartime however, which could develop from a rebellion or an uprising, like the massive Jewish rebellion, this was totally and dangerously different.



In a full-blown military campaign, the legions under the command of the generals like Vespasian were of a much greater number. Therefore a paranoid or wise emperor would hold some members of the general's family as hostages, to make certain of the latter's loyalty. In effect, Nero held Domitian and Quintus Petillius Cerialis the governor of Ostia, who were respectively the younger son and the brother-in-law of Vespasian. In normal circumstances this would be quite enough. In fact, the rule of Nero ended with the revolt of the Praetorian Guard who had been bribed in the name of Galba. It became all too obvious that the Praetorian Guard was a sword of Damocles, whose loyalty was all too often bought and who became increasingly greedy. Following their example the legions at the borders would also increasingly participate in the civil wars. This was a dangerous development as this would weaken the whole Roman Army.

The main enemy in the West were, arguably, the "barbarian tribes" beyond the Rhine and the Danube. Augustus had tried to conquer them, but ultimately failed and these "barbarians" were greatly feared. But by and large they were left in peace, in order to fight amongst themselves, and were simply too divided to pose a serious threat.

In the East lay the empire of Parthia (Persia). Crassus, a member of the First Triumvirate during the late republic, attempted an invasion in 53 BC, but was defeated by Persian forces led by Surena in the Battle of Carrhae. Any Parthian invasion was confronted and usually defeated, but the threat itself was ultimately impossible to destroy. Parthia would eventually become Rome's greatest rival and foremost enemy.

In the case of a Roman civil war these two enemies would seize the opportunity to invade Roman territory in order to raid and plunder. The two respective military frontiers became a matter of major political importance because of the high number of legions stationed there. All too often the local generals would rebel, starting a new civil war. To control the western border from Rome was easy, as it was relatively close. To control both frontiers, at the same time, during wartime, was somewhat more difficult. If the emperor was near the border in the East, chances were high that an ambitious general would rebel in the West and vice versa. It was no longer enough to be a good administrator; emperors were increasingly near the troops in order to control them and no single Emperor could be at the two frontiers at the same time. This problem would plague the ruling emperors time and time again and many future emperors would follow this path to power.



The empire of Parthia, the arch-rival of Rome, at its greatest extent (c. 60 BC), superimposed over modern borders.

## Year of the Four Emperors (68–69)

The forced suicide of emperor Nero, in 68, was followed by a brief period of civil war (the first Roman civil war since Antony's death in 31 BC) known as the "year of the four emperors". Between June 68 and December 69, Rome witnessed the successive rise and fall of Galba, Otho and Vitellius until the final accession of Vespasian, first ruler of the Flavian dynasty. This period of civil war has become emblematic of the cyclic political disturbances in the history of the Roman Empire. The military and political anarchy created by this civil war had serious implications, such as the outbreak of the Batavian rebellion.

## Flavian dynasty (69–96)



The Flavians, although a relatively short-lived dynasty, helped restore stability to an empire on its knees. Although all three have been criticized, especially based on their more centralized style of rule, they issued reforms that created a stable enough empire to last well into the 3rd century. However, their background as a military dynasty led to further marginalization of the senate, and a conclusive move away from *princeps*, or first citizen, and toward *imperator*, or emperor.

### Vespasian (69–79)

Vespasian was a remarkably successful Roman general who had been given rule over much of the eastern part of the Roman Empire. He had supported the imperial claims of Galba, after whose death Vespasian became a major contender for the throne. Following the suicide of Otho, Vespasian was able to take control of Rome's winter grain supply in Egypt, placing him in a good position to defeat his remaining rival, Vitellius. On December 20, 69, some of Vespasian's partisans were able to occupy Rome. Vitellius was murdered by his own troops and, the next day, Vespasian, then sixty years old, was confirmed as Emperor by the Senate.

Although Vespasian was considered an autocrat by the senate, he mostly continued the weakening of that body that had been going since the reign of Tiberius. The degree of the Senate's subservience can be seen from the post-dating of his accession to power, by the Senate, to July 1, when his troops proclaimed him emperor, instead of December 21, when the Senate confirmed his appointment. Another example was his assumption of the censorship in 73, giving him power over the make up the Senate. He used that power to expel dissident senators. At the same time, he increased the number of senators from 200, at that low level because of the actions of Nero and the year of crisis that followed, to 1,000; most of the new senators coming not from Rome but from Italy and the urban centers within the western provinces.

Vespasian was able to liberate Rome from the financial burdens placed upon it by Nero's excesses and the civil wars. To do this, he not only increased taxes, but created new forms of taxation. Also, through his power as censor, he was able to carefully examine the fiscal status of every city and province, many paying taxes based upon information and structures more than a century old. Through this sound fiscal policy, he was able to build up a surplus in the treasury and embark on public works projects. It was he who first commissioned the *Amphitheatrum Flavium* (Colosseum); he also built a forum whose centerpiece was a temple to Peace. In addition, he allotted sizable subsidies to the arts, creating a chair of rhetoric at Rome.

Vespasian was also an effective emperor for the provinces in his decades of office, having posts all across the empire, both east and west. In the west he gave considerable favoritism to Hispania (the Iberian Peninsula, comprising modern Spain and Portugal) in which he granted Latin rights to over three hundred towns and cities, promoting a new era of urbanization throughout the western (formerly barbarian) provinces. Through the additions he made to the Senate he allowed greater influence of the provinces in the Senate, helping to promote unity in the empire. He also extended the borders of the empire, mostly done to help strengthen the frontier defenses, one of Vespasian's main goals. The crisis of 69 had wrought havoc on the army. One of the most marked problems had been the support lent by provincial legions to men who supposedly represented the best will of their province. This was mostly caused by the placement of native auxiliary units in the areas they were recruited in, a practice Vespasian stopped. He mixed auxiliary units with men from other areas of the empire or moved the units away from where they were recruited to help stop this. Also, to reduce further the chances of another military coup, he broke up the legions and, instead



Roman trade with India according to the Periplus of the Erythraean Sea, 1st century AD.



of placing them in singular concentrations, broke them up along the border. Perhaps the most important military reform he undertook was the extension of legion recruitment from exclusively Italy to Gaul and Hispania, in line with the Romanization of those areas.

### **Titus (79–81)**

Titus, the eldest son of Vespasian, had been groomed to rule. He had served as an effective general under his father, helping to secure the east and eventually taking over the command of Roman armies in Syria and Iudaea, quelling the significant Jewish revolt going on at the time. He shared the consul for several years with his father and received the best tutelage. Although there was some trepidation when he took office because of his known dealings with some of the less respectable elements of Roman society, he quickly proved his merit, even recalling many exiled by his father as a show of good faith.

However, his short reign was marked by disaster: in 79, Mount Vesuvius erupted in Pompeii, and in 80, a fire destroyed much of Rome. His generosity in rebuilding after these tragedies made him very popular. Titus was very proud of his work on the vast amphitheater begun by his father. He held the opening ceremonies in the still unfinished edifice during the year 80, celebrating with a lavish show that featured 100 gladiators and lasted 100 days. Titus died in 81, at the age of 41 of what is presumed to be illness; it was rumored that his brother Domitian murdered him in order to become his successor, although these claims have little merit. Whatever the case, he was greatly mourned and missed.

### **Domitian (81–96)**

All of the Flavians had rather poor relations with the Senate, because of their autocratic rule, however Domitian was the only one who encountered significant problems. His continuous control as consul and censor throughout his rule; the former his father having shared in much the same way as his Julio-Claudian forerunners, the latter presenting difficulty even to obtain, were unheard of. In addition, he often appeared in full military regalia as an imperator, an affront to the idea of what the Principate-era emperor's power was based upon: the emperor as the princeps. His reputation in the Senate aside, he kept the people of Rome happy through various measures, including donations to every resident of Rome, wild spectacles in the newly finished Colosseum, and continuing the public works projects of his father and brother. He also apparently had the good fiscal sense of his father, because although he spent lavishly his successors came to power with a well-endowed treasury.

However, towards the end of his reign Domitian became extremely paranoid, which probably had its initial roots in the treatment he received by his father: although given significant responsibility, he was never trusted with anything important without supervision. This flowered into the severe and perhaps pathological repercussions following the short-lived rebellion in 89 of Antonius Saturninus, a governor and commander in Germany. Domitian's paranoia led to a large number of arrests, executions, and seizure of property (which might help explain his ability to spend so lavishly). Eventually it got to the point where even his closest advisers and family members lived in fear, leading them to his murder in 96 orchestrated by his enemies in the Senate, Stephanus (the steward of the deceased Julia Flavia), members of the Praetorian Guard and empress Domitia Longina.

### **Antonine dynasty (96–180)**





The next century came to be known as the period of the " Five Good Emperors", in which the succession was peaceful though not dynastic and the Empire was prosperous. The emperors of this period were Nerva (96–98), Trajan (98–117), Hadrian (117–138), Antoninus Pius (138–161) and Marcus Aurelius (161–180), each being adopted by his predecessor as his successor during the former's lifetime. While their respective choices of successor were based upon the merits of the individual men they selected, it has been argued that the real reason for the lasting success of the adoptive scheme of succession lay more with the fact that none but the last had a natural heir.

### **Nerva (96–98)**

After his accession, Nerva set a new tone: he released those imprisoned for treason, banned future prosecutions for treason, restored much confiscated property, and involved the Roman Senate in his rule. He probably did so as a means to remain relatively popular (and therefore alive), but this did not completely aid him. Support for Domitian in the army remained strong, and in October 97 the Praetorian Guard laid siege to the Imperial Palace on the Palatine Hill and took Nerva hostage. He was forced to submit to their demands, agreeing to hand over those responsible for Domitian's death and even giving a speech thanking the rebellious Praetorians. Nerva then adopted Trajan, a commander of the armies on the German frontier, as his successor shortly thereafter in order to bolster his own rule. Casperius Aelianus, the Guard Prefect responsible for the mutiny against Nerva, was later executed under Trajan.

### **Trajan (98–117)**

In 112, provoked by Parthia's decision to put an unacceptable king on the throne of Armenia, a kingdom over which the two great empires had shared hegemony since the time of Nero some fifty years earlier, Trajan marched first on Armenia. He deposed the king and annexed it to the Roman Empire. Then he turned south into Parthia itself, taking the cities of Babylon, Seleucia and finally the capital of Ctesiphon in 116. He continued southward to the Persian Gulf, whence he declared Mesopotamia a new province of the empire and lamented that he was too old to follow in the steps of Alexander the Great. But he did not stop there. Later in 116, he captured the great city of Susa. He deposed the Parthian King Osroes I and put his own puppet ruler Parthaspates on the throne. Never again would the Roman Empire advance so far to the east.



The extent of the Roman Empire under Trajan, AD 117

### **Hadrian (117–138)**

Despite his own excellence as a military administrator, Hadrian's reign was marked by a general lack of major military conflicts but to defend the vast territories the empire had. He surrendered Trajan's conquests in Mesopotamia, considering them to be indefensible. There was almost a war with Parthia around 121, but the threat was averted when Hadrian succeeded in negotiating a peace. Hadrian's army crushed a massive Jewish uprising in Judea (132–135) led by Simon Bar Kokhba.

Hadrian was the first emperor to extensively tour the provinces, donating money for local construction projects as he went. In Britain, he ordered the construction of a wall, the famous Hadrian's Wall as well as various other such defenses in Germany and Northern Africa. His domestic policy was one of relative peace and prosperity.



## Antoninus Pius (138–161)

Antoninus Pius's reign was comparatively peaceful; there were several military disturbances throughout the Empire in his time, in Mauretania, Judaea, and amongst the Brigantes in Britain, but none of them are considered serious. The unrest in Britain is believed to have led to the construction of the Antonine Wall from the Firth of Forth to the Firth of Clyde, although it was soon abandoned.

## Marcus Aurelius (161–180)

Germanic tribes and other people launched many raids along the long north European border, particularly into Gaul and across the Danube—Germans, in turn, may have been under attack from more warlike tribes farther east. His campaigns against them are commemorated on the Column of Marcus Aurelius. In Asia, a revitalized Parthian Empire renewed its assault. Marcus Aurelius sent his joint emperor Verus to command the legions in the East to face it. He was authoritative enough to command the full loyalty of the troops, but already powerful enough that he had little incentive to overthrow Marcus. The plan succeeded—Verus remained loyal until his death on campaign in 169.

## Commodus (180–192)

The period of the "Five Good Emperors" was brought to an end by the reign of Commodus from 180 to 192. Commodus was the son of Marcus Aurelius, making him the first direct successor in a century, breaking the scheme of adoptive successors that had turned out so well. He was co-emperor with his father from 177. When he became sole emperor upon the death of his father in 180, it was at first seen as a hopeful sign by the people of the Roman Empire. Nevertheless, as generous and magnanimous as his father was, Commodus turned out to be just the opposite. In *The Decline and Fall of the Roman Empire* by Edward Gibbon, it is noted that Commodus at first ruled the empire well. However, after an assassination attempt, involving a conspiracy by certain members of his family, Commodus became paranoid and slipped into insanity. The Pax Romana, or "Roman Peace", ended with the reign of Commodus. One could argue that the assassination attempt began the long decline of the Roman Empire.



Marcus Aurelius

## Severan dynasty (193–235)

The Severan Dynasty includes the increasingly troubled reigns of Septimius Severus (193–211), Caracalla (211–217), Macrinus (217–218), Elagabalus (218–222), and Alexander Severus (222–235). The founder of the dynasty, Lucius Septimius Severus, belonged to a leading native family of Leptis Magna in Africa who allied himself with a prominent Syrian family by his marriage to Julia Domna. Their provincial background and cosmopolitan alliance, eventually giving rise to imperial rulers of Syrian background, Elagabalus and Alexander Severus, testifies to the broad political franchise and economic development of the Roman empire that had been achieved under the Antonines. A generally successful ruler, Septimius Severus cultivated the army's support with substantial remuneration in return for total loyalty to the emperor and substituted equestrian officers for senators in key administrative positions. In this way, he successfully broadened the power base of the imperial administration throughout the empire, also by abolishing the regular standing jury courts of Republican



times.

Septimius Severus's son, Marcus Aurelius Antoninus—nicknamed "Caracalla"—removed all legal and political distinction between Italians and provincials, enacting the *Constitutio Antoniniana* in 212 which extended full Roman citizenship to all free inhabitants of the empire. Caracalla was also responsible for erecting the famous Baths of Caracalla in Rome, their design serving as an architectural model for many subsequent monumental public buildings. Increasingly unstable and autocratic, Caracalla was assassinated by the praetorian prefect Macrinus in 217, who succeeded him briefly as the first emperor not of senatorial rank. The imperial court, however, was dominated by formidable women who arranged the succession of Elagabalus in 218, and Alexander Severus, the last of the dynasty, in 222. In the last phase of the Severan principate, the power of the Senate was somewhat revived and a number of fiscal reforms were enacted. Despite early successes against the Sassanian Empire in the East, Alexander Severus's increasing inability to control the army led eventually to its mutiny and his assassination in 235. The death of Alexander Severus ushered in a subsequent period of soldier-emperors and almost a half-century of civil war and strife. Thus the Pax Romana, which had started at the death of Octavian, ended after about 200 years.



Caracalla

## Crisis of the Third Century (235–284)

The Crisis of the Third Century is a commonly applied name for the crumbling and near collapse of the Roman Empire between 235 and 284. It is also called the period of the "military anarchy".

After Augustus declared an end to the Civil Wars of the 1st century BC, the Empire had enjoyed a period of limited external invasion, internal peace and economic prosperity (the Pax Romana). In the 3rd century, however, the Empire underwent military, political and economic crises and began to collapse. There was constant barbarian invasion, civil war, and hyperinflation. Part of the problem had its origins in the nature of the Augustan settlement. Augustus, intending to downplay his position, had not established rules for the succession of emperors.

Already in the 1st and 2nd century, disputes about the succession had led to short civil wars, but in the 3rd century these civil wars became a constant factor, as no single candidate succeeded in quickly overcoming his opponents or holding on to the Imperial position for very long. Between 235 and 284 no fewer than 25 different emperors ruled Rome (the Soldier-Emperors). All but two of these emperors were either murdered or killed in battle. The organization of the Roman military, concentrated on the borders, could provide no remedy against foreign invasions once the invaders had broken through. A decline in citizens' participation in local administration forced the Emperors to step in, gradually increasing the central government's responsibility.

Image:Romanworld271A.D.JPG  
The Roman Empire by 271 AD  
with the breakaway empires of  
Palmyra and Gallia

This period ended with the accession of Diocletian. Diocletian, either by skill or sheer luck, solved many of the acute problems experienced during this crisis. However, the core problems would remain and cause the eventual destruction of the western empire. The transitions of this period mark the beginnings of Late Antiquity and the end of Classical Antiquity.



## Diocletian and the Tetrarchy (284-301)

The transition from a single united empire to the later divided Western and Eastern empires was a gradual transformation. In July 285, Diocletian defeated rival Emperor Carinus and briefly became sole emperor of the Roman Empire.

Diocletian saw that the vast Roman Empire was ungovernable by a single emperor in the face of internal pressures and military threats on two fronts. He therefore split the Empire in half along a northwest axis just east of Italy, and created two equal Emperors to rule under the title of *Augustus*. Diocletian himself was the *Augustus* of the eastern half, and he made his long-time friend Maximian *Augustus* of the western half. In doing so, he effectively created what would become the Western Roman Empire and the Eastern Roman Empire.

In 293 authority was further divided, as each *Augustus* took a junior Emperor called a *Caesar* to aid him in administrative matters, and to provide a line of succession; Galerius became *Caesar* under Diocletian and Constantius Chlorus *Caesar* under Maximian. This constituted what is called the Tetrarchy (in Greek: "leadership of four") by modern scholars. After Rome had been plagued by bloody disputes about the supreme authority, this finally formalized a peaceful succession of the emperor: in each half a *Caesar* would rise up to replace the *Augustus* and select a new *Caesar*. On May 1, 305, Diocletian and Maximian abdicated in favour of their *Caesars*. Galerius named the two new *Caesars*: his nephew Maximinus for himself, and Flavius Valerius Severus for Constantius. The arrangement worked well under Diocletian and Maximian and shortly thereafter. The internal tensions within the Roman government were less acute than they had been. In *The Decline and Fall of the Roman Empire*, Edward Gibbon notes that this arrangement worked well because of the affinity the four rulers had for each other. Gibbon says that this arrangement has been compared to a "chorus of music". With the withdrawal of Diocletian and Maximian, this harmony disappeared.



*The Tetrarchs*, a porphyry sculpture sacked from a Byzantine palace in 1204, Treasury of St Mark's, Venice

After an initial period of tolerance, Diocletian, who was a fervent pagan and was worried about the ever-increasing numbers of Christians in the Empire, persecuted them with zeal unknown since the time of Nero; this was to be one of the greatest persecutions the Christians endured in history.

## Constantinian dynasty (305-363)

### Constantine and his sons



The Tetrarchy would effectively collapse with the death of Constantius Chlorus on July 25, 306. Constantius's troops in Eboracum immediately proclaimed his son Constantine *Augustus*. In August 306, Galerius promoted Severus to the position of *Augustus*. A revolt in Rome supported another claimant to the same title: Maxentius, son of Maximian, who was proclaimed *Augustus* on October 28, 306. His election was supported by the Praetorian Guard. This left the Empire with five rulers: four *Augusti* (Galerius, Constantine, Severus and Maxentius) and one *Caesar* (Maximinus).

The year 307 saw the return of Maximian to the rank of *Augustus* alongside his son Maxentius, creating a total of six rulers of the Empire. Galerius and Severus campaigned against them in Italy. Severus was killed under command of Maxentius on September 16, 307. The two *Augusti* of Italy also managed to ally themselves with Constantine by having Constantine marry Fausta, the daughter of Maximian and sister of Maxentius. At the end of 307, the Empire had four *Augusti* (Maximian, Galerius, Constantine and Maxentius) and a sole *Caesar*.

In 311 Galerius officially put an end to the persecution of Christians, and Constantine legalized Christianity definitively in 313 as evidenced in the so-called *Edict of Milan*.

The Empire was parted again among his three surviving sons. The Western Roman Empire was divided among the eldest son Constantine II and the youngest son Constans. The Eastern Roman Empire along with Constantinople were the share of middle son Constantius II.

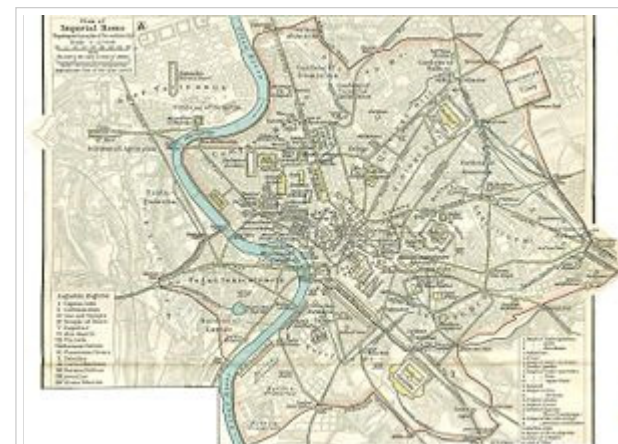
Constantine II was killed in conflict with his youngest brother in 340. Constans was himself killed in conflict with the army-proclaimed Augustus Magnentius on January 18, 350. Magnentius was at first opposed in the city of Rome by self-proclaimed Augustus Nepotianus, a paternal first cousin of Constans. Nepotianus was killed alongside his mother Eutropia. His other first cousin Constantia convinced Vetriano to proclaim himself Caesar in opposition to Magnentius. Vetriano served a brief term from March 1 to December 25, 350. He was then forced to abdicate by the legitimate Augustus Constantius. The usurper Magnentius would continue to rule the Western Roman Empire until 353 while in conflict with Constantius. His eventual defeat and suicide left Constantius as sole Emperor.

Constantius's rule would however be opposed again in 360. He had named his paternal half-cousin and brother-in-law Julian as his Caesar of the Western Roman Empire in 355. During the following five years, Julian had a series of victories against invading Germanic tribes, including the Alamanni. This allowed him to secure the Rhine frontier. His victorious Gallic troops thus ceased campaigning. Constantius sent orders for the troops to be transferred to the east as reinforcements for his own currently unsuccessful campaign against Shapur II of Persia. This order led the Gallic troops to an insurrection. They proclaimed their commanding officer Julian to be an Augustus. Both Augusti were not ready to lead their troops to another Roman Civil War. Constantius's timely demise on November 3, 361 prevented this war from ever occurring.

### Julian and Jovian (361–364)

Julian would serve as the sole Emperor for two years. He had received his baptism as a Christian years before, but no longer considered himself one. His reign would see the ending of restriction and persecution of paganism introduced by his uncle and father-in-law Constantine I and his cousins and brothers-in-law

<http://cd3wd.com> [wikipedia-for-schools](http://wikipedia-for-schools) <http://gutenberg.org> page no: 357 of 541



A map of Rome in 350



Constantine II, Constans and Constantius II. He instead placed similar restrictions and unofficial persecution of Christianity. His edict of toleration in 362 ordered the reopening of pagan temples and the reinstatement of alienated temple properties, and, more problematically for the Christian Church, the recalling of previously exiled Christian bishops. Returning Orthodox and Arian bishops resumed their conflicts, thus further weakening the Church as a whole.

Julian himself was not a traditional pagan. His personal beliefs were largely influenced by Neoplatonism and Theurgy; he reputedly believed he was the reincarnation of Alexander the Great. He produced works of philosophy arguing his beliefs. His brief renaissance of paganism would, however, end with his death. Julian eventually resumed the war against Shapur II of Persia. He received a mortal wound in battle and died on June 26, 363. According to Gibbon in *The Decline and Fall of the Roman Empire*, upon being mortally wounded by a dart, he was carried back to his camp. He gave a farewell speech, in which he refused to name a successor. He then proceeded to debate the philosophical nature of the soul with his generals. He then requested a glass of water, and shortly after drinking it, died. He was considered a hero by pagan sources of his time and a villain by Christian ones. Gibbon wrote quite favorably about Julian. Contemporary historians have treated him as a controversial figure.

Julian died childless and with no designated successor. The officers of his army elected the rather obscure officer Jovian emperor. He is remembered for signing an unfavorable peace treaty with Persia, ceding territories won from the Persians, dating back to Trajan. He restored the privileges of Christianity. He is considered a Christian himself, though little is known of his beliefs. Jovian himself died on February 17, 364.

## Valentinian dynasty (364–392)

### Valentinian and Valens

The role of choosing a new Augustus fell again to army officers. On February 28, 364, Pannonian officer Valentinian I was elected Augustus in Nicaea, Bithynia. However, the army had been left leaderless twice in less than a year, and the officers demanded Valentinian choose a co-ruler. On March 28 Valentinian chose his own younger brother Valens and the two new Augusti parted the Empire in the pattern established by Diocletian: Valentinian would administer the Western Roman Empire, while Valens took control over the Eastern Roman Empire.

Valens's election would soon be disputed. Procopius, a Cilician maternal cousin of Julian, had been considered a likely heir to his cousin but was never designated as such. He had been in hiding since the election of Jovian. In 365, while Valentinian was at Paris and then at Rheims to direct the operations of his generals against the Alamanni, Procopius managed to bribe two legions assigned to Constantinople and take control of the Eastern Roman capital. He was proclaimed Augustus on September 28 and soon extended his control to both Thrace and Bithynia. War between the two rival Eastern Roman Emperors continued until Procopius was defeated. Valens had him executed on May 27, 366.

On August 4, 367, a third Augustus was proclaimed by the other two. His father Valentinian and uncle Valens chose the eight-year-old Gratian as a nominal co-ruler, obviously as a means to secure succession.

In April 375 Valentinian I led his army in a campaign against the Quadi, a Germanic tribe which had invaded his native province of Pannonia. During an audience with an embassy from the Quadi at Brigetio on the Danube, a town now part of modern-day Komárno, Slovak republic, Valentinian suffered a burst



blood vessel in the skull while angrily yelling at the people gathered. This injury resulted in his death on November 17, 375.

Succession did not go as planned. Gratian was then a 16-year-old and arguably ready to act as Emperor, but the troops in Pannonia proclaimed his infant half-brother emperor under the title Valentinian II.

Gratian acquiesced in their choice and administered the Gallic part of the Western Roman Empire. Italy, Illyria and Africa were officially administrated by his brother and his stepmother Justina. However the division was merely nominal as the actual authority still rested with Gratian.

## Battle of Adrianople (378)

Meanwhile, the Eastern Roman Empire faced its own problems with Germanic tribes. The Thervingi, an East Germanic tribe, fled their former lands following an invasion by the Huns. Their leaders Alavivus and Fritigern led them to seek refuge from the Eastern Roman Empire. Valens indeed let them settle as foederati on the southern bank of the Danube in 376. However, the newcomers faced problems from allegedly corrupted provincial commanders and a series of hardships. Their dissatisfaction led them to revolt against their Roman hosts.

For the following two years conflicts continued. Valens personally led a campaign against them in 378. Gratian provided his uncle with reinforcements from the Western Roman army. However this campaign proved disastrous for the Romans. The two armies approached each other near Adrianople. Valens was apparently overconfident of the numerical superiority of his own forces over the Goths. Some of his officers advised caution and to await the arrival of Gratian, others urged an immediate attack and eventually prevailed over Valens, who, eager to have all of the glory for himself, rushed into battle. On August 9, 378, the Battle of Adrianople resulted in the crushing defeat of the Romans and the death of Valens.

Contemporary historian Ammianus Marcellinus estimated that two thirds of the Roman army were lost in the battle. The last third managed to retreat.

The battle had far-reaching consequences. Veteran soldiers and valuable administrators were among the heavy casualties. There were few available replacements at the time, leaving the Empire with the problems of finding suitable leadership. The Roman army would also start facing recruiting problems. In the following century much of the Roman army would consist of Germanic mercenaries.

For the moment however there was another concern. The death of Valens left Gratian and Valentinian II as the sole two Augusti. Gratian was now effectively responsible for the whole of the Empire. He sought however a replacement Augustus for the Eastern Roman Empire. His choice was Theodosius I, son of formerly distinguished general Count Theodosius. The elder Theodosius had been executed in early 375 for unclear reasons. The younger one was named Augustus of the Eastern Roman Empire on January 19, 379. His appointment would prove a deciding moment in the division of the Empire.



Barbarian invasions of the Roman Empire, showing the Battle of Adrianople.



## Theodosian dynasty (379-457)

### Disturbed peace in the West (383)

Gratian governed the Western Roman Empire with energy and success for some years, but he gradually sank into indolence. He is considered to have become a figurehead while Frankish general Merobaudes and bishop Ambrose of Milan jointly acted as the power behind the throne. Gratian lost favour with factions of the Roman Senate by prohibiting traditional paganism at Rome and relinquishing his title of Pontifex Maximus. The senior Augustus also became unpopular with his own Roman troops because of his close association with so-called barbarians. He reportedly recruited Alans to his personal service and adopted the guise of a Scythian warrior for public appearances.

Meanwhile Gratian, Valentinian II and Theodosius were joined by a fourth Augustus. Theodosius proclaimed his oldest son Arcadius an Augustus in January 383 in an obvious attempt to secure succession. The boy was still only five or six years old and held no actual authority. Nevertheless he was recognized as a co-ruler by all three Augusti.

The increasing unpopularity of Gratian would cause the four Augusti problems later that same year. Spanish Celt general Magnus Maximus, stationed in Roman Britain, was proclaimed Augustus by his troops in 383 and rebelling against Gratian he invaded Gaul. Gratian fled from Lutetia (Paris) to Lugdunum (Lyon), where he was assassinated on August 25, 383 at the age of 25.

Maximus was a firm believer of the Nicene Creed and introduced state persecution on charges of heresy, which brought him into conflict with Pope Siricius who argued that the Augustus had no authority over church matters. But he was an Emperor with popular support, as is attested in Romano-British tradition, where he gained a place in the *Mabinogion*, compiled about a thousand years after his death.

Following Gratian's death, Maximus had to deal with Valentinian II, at the time only twelve years old, as the senior Augustus. The first few years the Alps would serve as the borders between the respective territories of the two rival Western Roman Emperors. Maximus controlled Britain, Gaul, Hispania and Africa. He chose Augusta Treverorum (Trier) as his capital.

Maximus soon entered negotiations with Valentinian II and Theodosius, attempting to gain their official recognition. By 384, negotiations were unfruitful and Maximus tried to press the matter by settling succession as only a legitimate Emperor could do: proclaiming his own infant son Flavius Victor an Augustus. The end of the year found the Empire having five Augusti (Valentinian II, Theodosius I, Arcadius, Magnus Maximus and Flavius Victor) with relations between them yet to be determined.

Theodosius was left a widower in 385, following the sudden death of Aelia Flaccilla, his *Augusta*. He was remarried, to the sister of Valentinian II, Galla, and the marriage secured closer relations between the two legitimate Augusti.

In 386 Maximus and Victor finally received official recognition by Theodosius but not by Valentinian. In 387, Maximus apparently decided to rid himself of his Italian rival. He crossed the Alps into the valley of the Po and threatened Milan. Valentinian and his mother fled to Thessaloniki from where they sought the





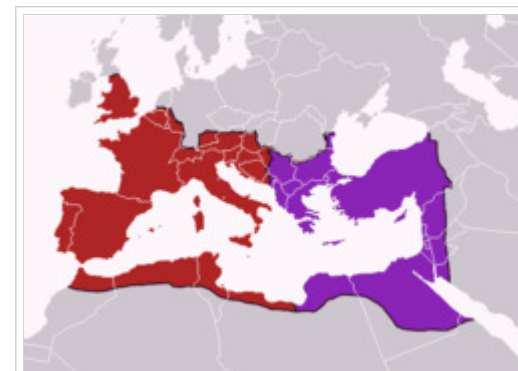
support of Theodosius. Theodosius indeed campaigned west in 388 and was victorious against Maximus. Maximus himself was captured and executed in Aquileia on July 28, 388. Magister militum Arbogast was sent to Trier with orders to also kill Flavius Victor. Theodosius restored Valentinian to power and through his influence had him converted to Orthodox Catholicism. Theodosius continued supporting Valentinian and protecting him from a variety of usurpations.

## Final partition of the Empire

In 392 Valentinian II was murdered in Vienne. Arbogast arranged for the appointment of Eugenius as emperor. However, the eastern emperor Theodosius refused to recognise Eugenius as emperor and invaded the West, defeating and killing Arbogast and Eugenius at the Battle of the Frigidus. He thus reunited the entire Roman Empire under his rule.

Theodosius had two sons and a daughter, Pulcheria, from his first wife, Aelia Flacilla. His daughter and wife died in 385. By his second wife, Galla, he had a daughter, Galla Placidia, the mother of Valentinian III, who would be Emperor of the West.

Theodosius was the last Emperor who ruled over the whole Empire. After his death in 395, he gave the two halves of the Empire to his two sons Arcadius and Honorius; Arcadius became ruler in the East, with his capital in Constantinople, and Honorius became ruler in the West, with his capital in Milan and later Ravenna. The Roman state would continue to have two different emperors with different seats of power throughout the 5th century, though the Eastern Romans considered themselves Roman in full. Latin was used in official writings as much as, if not more than, Greek. The two halves were nominally, culturally and historically, if not politically, the same state.



The division of the empire after the death of Theodosius I, c. 395, superimposed on modern borders.  
 Western Roman Empire  
 Eastern Roman Empire

## Decline and fall of the Empire in the West (395–476)

After 395, the emperors in the Western Roman Empire were usually figureheads. For most of the time, the actual rulers were military strongmen who took the title of *magister militum*, *patrician* or both— Stilicho from 395 to 408, Constantius from about 411 to 421, Aëtius from 433 to 454 and Ricimer from about 457 to 472.

The city of Rome itself was sacked in 410 by rebelled Visigoths (for three days), and again in 455 by the Vandals (for fourteen days), unprecedented events which shocked the contemporaries. (The last time the city had been sacked had been in 387 BC, by the Gauls.)

In June 474, Julius Nepos became Western Emperor. In 475, the *Magister militum*, Orestes, revolted and made his son Romulus Augustus the Roman emperor. Nepos fled to the province of Dalmatia. Romulus, however, was not recognized by the Eastern Emperor Zeno and so was technically an usurper, Nepos still being the legal Western Emperor. Nevertheless, Romulus Augustus is often known as the last Western Roman Emperor.



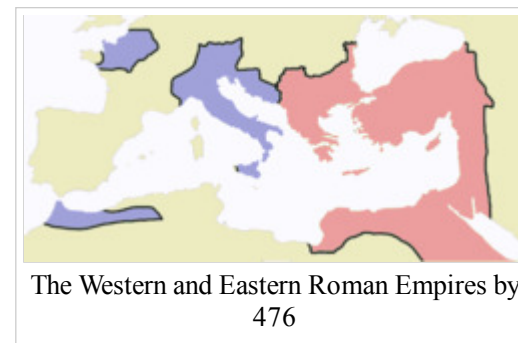
The year 476 is generally accepted as the formal end of the Western Roman Empire. That year, Orestes refused the request of Germanic mercenaries in his service for lands in Italy. The dissatisfied mercenaries, including the Heruli, revolted. The revolt was led by the Germanic chieftain Odoacer. Odoacer and his men captured and executed Orestes. Within weeks, Ravenna was captured and Romulus Augustus was deposed, the event that has been traditionally considered the fall of the Roman Empire, at least in the West. Odoacer quickly conquered the remaining provinces of Italy.

Odoacer then sent the Imperial Regalia back to the emperor Zeno. Zeno soon received two deputations. One was from Odoacer requesting that his control of Italy be formally recognized by the Empire, in which case he would acknowledge Zeno's supremacy. The other deputation was from Nepos, asking for support to regain the throne. Zeno granted Odoacer the title Patrician.

Zeno told Odoacer and the Roman Senate to take Nepos back; however, Nepos never returned from Dalmatia, even though Odoacer issued coins in his name. Upon Nepos's death in 480, Zeno claimed Dalmatia for the East; J. B. Bury considers this the real end of the Western Roman Empire. Odoacer attacked Dalmatia, and the ensuing war ended with Theodoric the Great, King of the Ostrogoths, conquering Italy under Zeno's authority.

The next seven decades played out as aftermath. Theodoric was King of the Ostrogoths, but couched his claim to Italy in diplomatic terms as being the representative of the Emperor of the East. Consuls were appointed regularly through his reign: a formula for the consular appointment is provided in Cassiodorus's Book VI. The post of consul was last filled in the west by Theodoric's successor, Athalaric, until he died in 534. Ironically the Gothic War in Italy, which was meant as the reconquest of a lost province for the Emperor of the East and a re-establishment of the continuity of power, actually caused more damage and cut more ties of continuity with the Antique world than the attempts of Theodoric and his minister Cassiodorus to meld Roman and Gothic culture within a Roman form.

The western empire though, was unable to support itself because of population concerns. As much as 80% of the population was estimated to live in the eastern realm. In addition, the Western Empire lacked sufficient military resources to maintain order and to secure borders. However, by AD 300, they only had an estimated 500,000 troops, which meant that they could not control the territory the empire possessed. Therefore, they became increasingly vulnerable to attacks from the outside of the imperial borders. Finally, an economic crisis later hit the empire, which arose from the lack of plunder of outlying territories and of slaves from Roman conquests.





In essence, the perception of the "fall" of the Roman Empire to a contemporary of that age depended a great deal on where they were and their status in the world. On the great villas of the Italian Campagna, the seasons rolled on without a hitch. The local overseer may have been representing an Ostrogoth, then a Lombard duke, then a Christian bishop, but the rhythm of life and the horizons of the imagined world remained the same. Even in the decayed cities of Italy *consuls* were still elected. In Auvergne, at Clermont, the Gallo-Roman poet and diplomat Sidonius Apollinaris, bishop of Clermont, realized that the local "fall of Rome" came in 475, with the fall of the city to the Visigoth Euric. In the north of Gaul, a Roman kingdom existed for some years and the Franks had their links to the Roman administration and military as well. In Hispania the last Arian Visigothic king Liuvigild considered himself the heir of Rome. Hispania Baetica was still essentially Roman when the Moors came in 711, but in the northwest, the invasion of the Suevi broke the last frail links with Roman culture in 409. In Aquitania and Provence, cities like Arles, though depopulated and reduced to their fortified centers since previous centuries, were never completely abandoned. In Britain, however, Roman culture seems to have collapsed in waves of violence after the last legions evacuated it to go fight the barbarians in Gaul (probably in 409).



The East Roman Empire and Barbaric Kingdoms in 480

## Survival in the East: from Eastern Roman Empire to Byzantine Empire (395–1453)

As the Western Roman Empire declined during the 5th century, the richer Eastern Roman Empire would be spared much of the destruction, and in the mid 6th century the Eastern Roman Empire (aka the Byzantine Empire) under the emperor Justinian I reconquered Italy and parts of Illyria from the Ostrogoths, North Africa from the Vandals, and southern Hispania from the Visigoths. The reconquest of southern Hispania was somewhat ephemeral, but North Africa served the Byzantines for another century, Italy for another 5 centuries, and Illyria almost a millennium.

Of the many accepted dates for the end of the classical Roman state, the latest is 610. This is when the Emperor Heraclius made sweeping reforms, forever changing the face of the empire. Greek was readopted as the language of government and Latin influence waned. By 610, the Eastern Roman Empire had come under Greek influence and became what many modern historians now call the Byzantine Empire, although the Empire was never called thus by its inhabitants (rather it was called *Romania*, *Basileia Romaion* or *Pragmata Romaion*, meaning "Land of the Romans", "Kingdom of the Romans"), who still saw themselves as Romans, and their state as the rightful successor to the ancient empire of Rome. The sack of Constantinople at the hands of the Fourth Crusade in 1204 is sometimes used to date the end of Eastern Roman Empire: the destruction of Constantinople and most of its ancient treasures, total discontinuity of leadership, and the division of its lands into rival states with a Catholic-controlled "Emperor" in Constantinople itself (see Latin Empire) was a blow from which the Empire never fully recovered. Nevertheless, the Byzantines continued to call themselves Romans until their fall to Ottoman Turks in 1453. That year the eastern part of the Roman Empire was ultimately ended by the Fall of Constantinople. Even



Near East in 565 AD, showing the Eastern Roman or Byzantine Empire at its height.



though Mehmed II, the conqueror of Constantinople, declared himself the Emperor of the Roman Empire (*Caesar of Rome / Kayser-i Rum*), Constantine XI, emperor of the Byzantine Empire during 1453, is usually considered the last Roman Emperor. The Greek ethnic self-descriptive name *Roman* survives to this day.

## Revival in the West: the Holy Roman Empire (800–1806)

On the Christmas Day of year 800, 324 years after Odoacer had made Romulus Augustulus abdicate, Pope Leo III crowned the Frankish monarch Charlemagne "King of the Romans" and *Imperator Augustus*, a direct challenge to the Roman throne in Constantinople. This led to a conscious attempt to revive the Western Roman Empire, continuing the function of the Roman Emperors in defending, governing and supporting the Church. Although land divisions due to inheritance and rivalry between Charlemagne's successors soon fragmented this medieval state, which historians call the Carolingian Empire, it did have considerable cultural influence.

More than 150 years later the title of Emperor of the Romans passed to the German monarch Otto I, who founded the Holy Roman Empire, consisting of some of the territories of Charlemagne's ancient empire, along with all of modern-day Germany, Austria, Switzerland, the Netherlands, and some of modern-day Poland. Although most of the emperors were Germanic, the Holy Roman Emperors thought of themselves as being successors to those of the Roman Empire and called themselves *Augusti*.

The Empire was formally dissolved on August 6, 1806 when the last Holy Roman Emperor, Francis II abdicated, following a military defeat by the French under Napoleon, thus removing the last claim to the Roman throne in western Europe.

## Language

The language of Rome before its expansion was Latin and this became the Empire's official language. By the time of the imperial period Latin can be thought of as at least two languages: the written Classical Latin and the spoken Vulgar Latin. Classical Latin evolved along its own lines from an early stage of the spoken language and by this time was not exactly the same as spoken Latin of any period. It remained relatively stable throughout the imperial period and even through the Middle Ages, apart from stylistic changes. As with any spoken language Vulgar Latin was fluid, differing in various regions of the Empire and changing substantially over time. In the western provinces Vulgar Latin became the lingua franca and later evolved into the modern Romance languages: Italian, Spanish, French, etc.

Although Latin remained the official language of the Imperial administration through the fall of Rome and for some centuries after in the Eastern Roman or Byzantine Empire, the Greek language was always the primary language used in the eastern provinces for administration outside the Imperial court. In fact, Greek was the most widely spoken language in the Empire, mainly owing to the larger urban centers and Greek legacy in the East. Even in the city of Rome itself Greek became the language of the educated and the elite. By the 2nd century BC more than 15% of Rome's population spoke Greek, and that proportion continued to grow. Greek became the common language in the Church, the language of scholarship and the arts, and, to a large degree, the lingua franca for trade between provinces and with other nations. The language itself gained a dual nature, somewhat like Latin, with the primary spoken language, Koine Greek,



existing alongside the literary language, a variant of the ancient Attic Greek dialect (the former later evolved into what became known as Medieval or Byzantine Greek).

By the 4th century Greek no longer held such dominance over Latin as it had, resulting to a great extent from the growth and development of the western provinces. This is reflected in the publication in the early 5th century of the Vulgate Bible, the first truly official Latin translation of the Bible (there had been previous unofficial Latin translations of non-uniform quality but the formally accepted translations were Greek). As the Western Empire declined, the number of people who spoke both Greek and Latin declined as well, contributing greatly to the future East– West, Orthodox–Catholic and Byzantine–Frankish cultural divides in Europe. Important as both languages were, today the descendants of Latin are widely spoken in many parts of the world, while the Greek dialects are limited mostly to Greece, Cyprus, and small enclaves in Turkey. To some degree this can be attributed to the fact that the western provinces fell mainly to "Latinized", Christian tribes, whereas the eastern provinces fell to Muslim Arabs and Turks for whom Greek held less cultural significance.

Many other languages existed in the multi-ethnic Empire as well, and some of these were given limited official status in their provinces at various times. Notably, by the beginning of the Middle Ages, Syriac and Aramaic had become more widely used by the educated classes in the far eastern provinces. Similarly Coptic and Armenian became significant among the educated in Egypt and Armenia, respectively.

## Legacy

Several states claimed to be the Roman Empire's successor after the fall of the Western Roman Empire. First was the Byzantine Empire, the modern historiographical term used for later period of the Eastern Roman Empire. Then the Holy Roman Empire, an attempt to resurrect the Empire in the West, was established in 800 when Pope Leo III crowned Frankish King Charlemagne as Roman Emperor on Christmas Day, though the empire and the imperial office did not become formalized for some decades. After the fall of Constantinople, the Russian Tsardom, as inheritor of the Byzantine Empire's Orthodox Christian tradition, counted itself the third Rome (with Constantinople having been the second). And when the Ottomans, who based their state on the Byzantine model, took Constantinople in 1453, Mehmed II established his capital there and claimed to sit on the throne of the Roman Empire, and he even went so far as to launch an invasion of Italy with the purpose of "re-uniting the Empire", although Papal and Neapolitan armies stopped his march on Rome at Otranto in 1480. Constantinople was not officially renamed Istanbul until March 28, 1930.

Excluding these states claiming its heritage, the Roman state lasted (in some form) from the founding of Rome in 753 BC to the fall in 1461 of the Empire of Trebizond (a successor state and fragment of the Byzantine Empire which escaped conquest by the Ottomans in 1453), for a total of 2,214 years. The Roman impact on Western and Eastern civilizations lives on. In time most of the Roman achievements were duplicated by later civilizations. For example, the technology for cement was rediscovered 1755–1759 by John Smeaton.

The Empire contributed many things to the world, such as the (more-or-less) modern calendar, the institutions of Christianity and aspects of modern neo-classicistic and Byzantine architecture. The extensive system of roads that was constructed by the Roman Army lasts to this day. Because of this network of roads, the time necessary to travel between destinations in Europe did not decrease until the 19th century, when steam power was invented.

The Roman Empire also contributed its form of government, which influences various constitutions including those of most European countries and many



former European colonies. In the United States, for example, the framers of the Constitution remarked, in creating the Presidency, that they wanted to inaugurate an "Augustan Age". The modern world also inherited legal thinking from Roman law, codified in Late Antiquity. Governing a vast territory, the Romans developed the science of public administration to an extent never before conceived nor necessary, creating an extensive civil service and formalized methods of tax collection. The western world today derives its intellectual history from the Greeks, but it derives its methods of living, ruling and governing from those of the Romans.

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# Royal Geographical Society

## 2008/9 Schools Wikipedia Selection. Related subjects: British History

The **Royal Geographical Society** is a British learned society foundeded in 1830 with the name *Geographical Society of London* for the advancement of geographical science, under the patronage of King William IV. It absorbed the 'Association for Promoting the Discovery of the Interior Parts of Africa'--also known as the African Association--(founded by Sir Joseph Banks in 1788), the Raleigh Club and the Palestine Association. It was given a Royal charter by Queen Victoria in 1859.

## History

Founding members of the Society include Sir John Barrow, Sir John Franklin and Francis Beaufort. It has been a key associate and supporter of many famous explorers and expeditions, including those of:

### Royal Geographical Society (with the Institute of British Geographers)

<b>Established</b>	1830
<b>Abbreviation</b>	RGS-IBG
<b>Patron</b>	Queen Elizabeth II
<b>President</b>	Sir Gordon Conway
<b>Location</b>	Kensington, London, United Kingdom
<b>Members</b>	15,000
<b>Homepage</b>	RGS IBG homepage



- Charles Darwin
- James Kingston Tuckey
- David Livingstone
- William Ogilvie
- Scott of the Antarctic
- Richard Francis Burton
- John Hanning Speke
- George W. Hayward
- Henry Morton Stanley
- Ernest Shackleton
- Sir Edmund Hillary

From the middle of the 19th century until the end of World War I, expeditions sponsored by the Royal Geographical Society were frequently front page news, and the opinions of its president and board members would be avidly sought by journalists and editors.

Today the Society is a leading world centre for geographical learning - supporting education, teaching, research and scientific expeditions, as well as promoting public understanding and enjoyment of geography. It is a member of the Science Council.

The society has merged with the Institute of British Geographers and is properly known as the Royal Geographical Society (with the Institute of British Geographers). The main offices of the Society are at Lowther Lodge in Kensington, in London.

## Governance and past Presidents

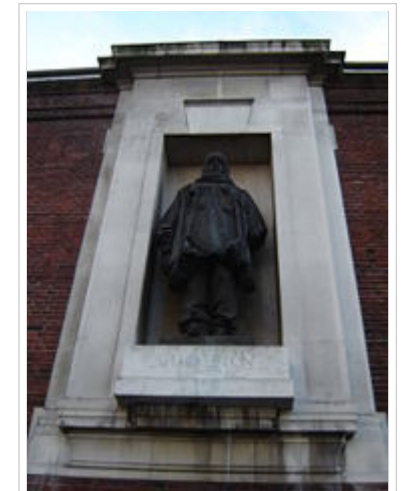
### Council

The Society is governed by its Board of trustees called the Council, which is chaired by its President. The members of Council and the President are elected from its Fellowship. The council consists of 25 members, 22 of which are elected by Fellows and serve for a three year term. In addition to the elected trustees there are Honorary Members (who include the Duke of Kent as Honorary President and Michael Palin as an Honorary Vice-President) who sit on the council.

### Committees

The society has five specialist committees that it derives advice from

- Education Committee
- Research Committee
- Expedition and Fieldwork Committee



Statue of Shackleton by Charles Sargeant Jagger outside the society headquarters





- Information Resources Committee
- Finance Committee

## Selected list of past Presidents

- Viscount Goderich The Earl of Ripon (1830-1833)
- Sir Roderick Murchison (1851-1853)
- Sir Henry Creswicke Rawlinson (1871-1873 and 1874-1876)
- Sir Clements Robert Markham (1893-1905)
- Sir George Taubman Goldie (1905-1908)
- Major Leonard Darwin (1905-1911)
- Colonel Sir Thomas Hungerford Holdich (1919-1922)
- Sir James Wordie
- Lord Shackleton (1971-1974)
- Sir Crispin Tickell (1989-1993)
- Earl Jellicoe (1993-1997)
- Earl of Selborne (1997-2000)

## Membership

There are four categories of individual membership:

### Ordinary membership

Anyone with an interest in Geography is eligible to apply to become a member of the RGS.

### Young Geographer

People aged between 14 and 24 currently studying, a recent graduate of geography or a related subject.

### Fellowship

Fellowship of the Society is conferred to anyone over the age of 21 who has been an Ordinary member of the society for five previous years and/or has an involvement with geography (through research, publication, profession etc) and must be proposed and seconded by existing Fellows. Fellows are granted the use of the post-nominal FRGS.



## Postgraduate Fellow of the Society

Is open to anyone who is a postgraduate student in Geography or an allied subject at a United Kingdom university.

## Chartered Geographer

Since 2002 the Society has been granted the power to award the status of Chartered Geographer. The status of Chartered Geographer can only be obtained by those who have a degree in geography or related subject and at least 6 years geographical experience, or 15 years geographical work experience for those without a degree. Being awarded the status of Chartered Geographer allows the use of the post-nominal letters C Geog and is evidence of a commitment to continuing professional development and the highest professional standards. For further details on how to apply please visit

Chartered Geographer (Teacher) is a professional accreditation available to teachers who can demonstrate competence, experience and professionalism in the use of geographical knowledge or skills in and out of the classroom, and who are committed to maintaining their professional standards through ongoing continuing professional development (CPD). For more information visit

## Research groups

The society is not only a learned body but also carries out research in the following research groups.

Research groups	
Biogeography Research Group	British Geomorphic Research Group
Climate Change Research Group	Contract Research and Teaching Forum
Developing Areas Research Group	Economic geography Research Group
Geographical Information Science Research Group	Geography of Health Research Group
Geography of Lesiure and Tourism Research Group	Higher Education Research Group
Historical Geography Research Group	History and Philosophy of Geography Research Group
Mountain Research Group	Participatory Geographies Working Group
Planning and Environment Research Group	Political Geography Research Group
Population geography Research Group	Postgraduate Forum
The Post-Socialist Geographies Research Group	Quantitative Methods Research Group



Rural Geography Research Group	Social and Cultural Geography Research Group
Space, Sexualities and Queer Working Group	Transport Geography Research Group

## Awards and grants

The society also presents many awards to geographers that have contributed to the advancement of geography.

The most prestigious of these awards are the **Gold Medals** (Founder's Medal 1830 and the Patron's Medal 1838). The award is given for "the encouragement and promotion of geographical science and discovery", and are approved by Queen Elizabeth II. The awards originated as an annual gift of fifty guineas from King William IV, first made in 1831, "to constitute a premium for the encouragement and promotion of geographical science and discovery". The Society decided in 1839 to change this monetary award into two gold medals: Founder's Medal and the Patron's. The award has been given to notable geographers including David Livingstone (1855), Baron Ferdinand von Richthofen (1878), Alfred Russel Wallace (1892), and Frederick Courtney Selous (1893) to more recent winners including Professor William Morris Davis (1919), Sir Halford John Mackinder (1945), Professor L. Dudley Stamp (1949), Professor Richard Chorley (1987) and Professor David Harvey (1995). In 2004 Harish Kapadia was awarded the Patron's Medal for contributions to geographical discovery and mountaineering in the Himalayas, making him the second Indian to receive the award in its history. In 2005 the Founder's Medal was awarded to Professor Sir Nicholas Shackleton for his research in the field of Quaternary Palaeoclimatology and the Patron's Medal was awarded to Professor Jean Malaurie for a lifelong study of the Arctic and its people.

In total the society awards 17 medals and awards including Honorary Membership and Fellowships. Some of the other awards given by the Society include:

- The Victoria Medal (1902) for "*conspicuous merit in research in Geography*"
- The Murchison Award (1882) for the "*publication judged to contribute most to geographical science in preceding recent years*"
- The Cuthbert Peak Award (1883) for "*those advancing geographical knowledge of human impact on the environment through the application of contemporary methods, including those of earth observation and mapping*"
- The Edward Heath Award (1984) for "*for geographical research in either Europe or the developing world*"

The society also offers 16 grants for various purposes ranging from established researcher grants to expedition and fieldwork teams to photography and media grants. The Ralph Brown and the Gilchrist Fieldwork grants are the largest grants awarded by the society each worth £15,000.

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# Russian Empire

2008/9 Schools Wikipedia Selection. Related subjects: General history

The **Russian Empire** ( Pre-reform Russian: Россійская Имперія, Modern Russian: Российская империя, translit: *Rossiyskaya Imperiya*) was a state that existed from 1721 until the Russian Revolution of 1917. It was the successor to the Tsardom of Russia, and the predecessor of the Soviet Union. It was one of the largest empires the world had seen. At one point in 1866, it stretched from eastern Europe, across northern Asia, and into North America. At the beginning of the 19th century, Russia was the largest country in the world, extending from the Arctic Ocean to the north to the Black Sea on the south, from the Baltic Sea on the west to the Pacific Ocean on the east. Across this vast realm were scattered the Tsar's 150 million subjects, from poor, illiterate peasants to the noble families of great wealth. Its government, ruled by the Tsar, was one of the last absolute monarchies left in Europe.

## History

The Russian Empire was a natural successor to the Tsardom of Muscovy. Though the empire was only officially proclaimed by Tsar Peter I following the Treaty of Nystad (1721), some historians would argue that it was truly born when Peter acceded to the throne in early 1682.

### The eighteenth century

Peter I, the Great (1672–1725), consolidated autocracy in Russia and played a major role in bringing his country into the European state system. From its modest beginnings in the 14th century principality of Moscow, Russia had become the largest state in the world by Peter's time. It spanned the Eurasian landmass from the Baltic Sea to the Pacific Ocean. Much of its expansion had taken place in the 17th century, culminating in the first Russian settlement of the Pacific in the mid-17th century, the reconquest of Kiev, and the pacification of the Siberian tribes. However, this vast land had a population of only 14 million. Grain yields trailed behind those of agriculture in the West, compelling almost the entire population to farm. Only a small fraction of the population lived in the towns. Slavery remained a major institution in Russia until 1723, when Peter the Great converted the household slaves into house serfs. Russian agricultural slaves were formally converted into serfs earlier in 1679.

<p><b>Россійская Имперія (ru- Cyril)</b>  <b><i>Rossiyskaya Imperiya</i> ( translit)</b>  <b>Russian Empire</b></p>	
<p>←  <b>1721 – 1917</b> ↓</p>	
 <p>Flag</p>	 <p>Russian Empire's Great Coat of Arms</p>
<p><b>Motto</b>          Съ нами Богъ!  <i>S" nami Bog"!</i>          (God is with us!)</p>	
<p><b>Anthem</b>          " God Save the Tsar!"</p>	
 <p>The Russian Empire in 1914</p>	



<b>Capital</b>	Saint Petersburg
<b>Language(s)</b>	Russian
<b>Religion</b>	Russian Orthodoxy
<b>Government</b>	Monarchy
<b>Emperor</b>	
- 1721–1725	Peter the Great
- 1894–1917	Nicholas II
<b>Legislature</b>	State Duma
<b>History</b>	
- Accession of Peter I	May 7, 1682 NS, April 27, 1682 OS <sup>2</sup>
- Empire proclaimed	October 22, 1721 NS, October 11, 1721 OS
- Decembrist revolt	December 26, 1825 NS, December 14, 1825 OS
- Abolition of feudalism	March 3, 1861 NS, February 19, 1861 OS
- Revolution of 1905	January–December 1905
- Constitution	April 23, 1906
- February Revolution	March 15, 1917 NS, March 2, 1917 OS
- October Revolution	November 7, 1917 NS, October 25, 1917 OS
<b>Area</b>	



Peter was deeply impressed by the advanced technology, warcraft, and statecraft of the West. He studied Western tactics and fortifications and built a strong army of 300,000 made up of his own subjects, whom he conscripted for life. In 1697-1698, he became the first Russian prince to ever visit the West, where he and his entourage made a deep impression. In celebration of his conquests, Peter assumed the title of emperor as well as tsar, and Muscovite Russia officially became the Russian Empire late in 1721.

Peter's first military efforts were directed against the Ottoman Turks. His attention then turned to the north. Peter still lacked a secure northern seaport except at Archangel on the White Sea, whose harbour was frozen nine months a year. Access to the Baltic was blocked by Sweden, whose territory enclosed it on three sides. Peter's ambitions for a "window to the sea" led him in 1699 to make a secret alliance with the Polish-Lithuanian Commonwealth and Denmark against Sweden, resulting in the Great Northern War. The war ended in 1721 when an exhausted Sweden sued for peace with Russia. Peter acquired four provinces situated south and east of the Gulf of Finland, thus securing his coveted access to the sea. There he built Russia's new capital, St. Petersburg, to replace Moscow, long Russia's cultural centre.

Peter reorganized his government on the latest Western models, molding Russia into an absolutist state. He replaced the old *boyar* Duma (council of nobles) with a nine-member senate, in effect a supreme council of state. The countryside was also divided into new provinces and districts. Peter told the senate that its mission was to collect tax revenues. In turn tax revenues tripled over the course of his reign. As part of the government reform, the Orthodox Church was partially incorporated into the country's administrative structure, in effect making it a tool of the state. Peter abolished the patriarchate and replaced it with a collective body, the Holy Synod, led by a lay government official. Meanwhile, all vestiges of local self-government were removed, and Peter continued and intensified his predecessors' requirement of state service for all nobles.

Peter died in 1725, leaving an unsettled succession and an exhausted realm. His reign raised questions about Russia's backwardness, its relationship to the West, the appropriateness of reform from above, and other fundamental problems that have confronted many of Russia's subsequent rulers. Nevertheless, he had laid the foundations of a modern state in Russia.

- 1916	22,400,000 km <sup>2</sup> (8,648,688 sq mi)
<b>Population</b>	
- 1916 est.	181,537,800
Density	8.1 /km <sup>2</sup> (21 /sq mi)
<b>Currency</b>	Ruble
1. Flag from 1914—1917. 2. Russia continued to use the Julian calendar until after the collapse of the empire; <i>see Old Style and New Style dates.</i>	



Peter the Great officially proclaimed the existence of the Russian Empire in 1721.



Nearly forty years were to pass before a comparably ambitious ruler appeared on the Russian throne. Catherine II, the Great, was a German princess who married Peter III, the German heir to the Russian crown. She contributed to the resurgence of the Russian nobility that began after the death of Peter the Great. State service had been abolished, and Catherine delighted the nobles further by turning over most government functions in the provinces to them.

Catherine the Great extended Russian political control over the Polish-Lithuanian Commonwealth with actions including the support of the Targowica confederation, although the cost of her campaigns, on top of the oppressive social system that required lords' serfs to spend almost all of their time laboring on the lords' land, provoked a major peasant uprising in 1773, after Catherine legalized the selling of serfs separate from land. Inspired by another Cossack named Pugachev, with the emphatic cry of "Hang all the landlords!" the rebels threatened to take Moscow before they were ruthlessly suppressed. Catherine had Pugachev drawn and quartered in Red Square, but the specter of revolution continued to haunt her and her successors.

While suppressing the Russian peasantry, Catherine successfully waged war against the Ottoman Empire and advanced Russia's southern boundary to the Black Sea. Then, by plotting with the rulers of Austria and Prussia, she incorporated territories of the Polish-Lithuanian Commonwealth during the Partitions of Poland, pushing the Russian frontier westward into Central Europe. By the time of her death in 1796, Catherine's expansionist policy had made Russia into a major European power. This continued with Alexander I's wresting of Finland from the weakened kingdom of Sweden in 1809 and of Bessarabia from the Ottomans in 1812.

### **First half of the nineteenth century**



The capital of Imperial Russia was St. Petersburg.



Napoleon made a major misstep when he invaded Russia after a dispute with Tsar Alexander I and launched an invasion of the tsar's realm in 1812. The campaign was a catastrophe. Although Napoleon's Grand Armee made its way to Moscow, the Russians' scorched-earth strategy prevented the invaders from living off the country. In the bitterly cold Russian weather, thousands of French troops were ambushed and killed by peasant guerrilla fighters. As Napoleon's forces retreated, the Russian troops pursued them into Central and Western Europe and to the gates of Paris. After Russia and its allies defeated Napoleon, Alexander became known as the 'savior of Europe,' and he presided over the redrawing of the map of Europe at the Congress of Vienna (1815), which made Alexander the monarch of Congress Poland.

Although the Russian Empire would play a leading political role in the next century, secured by its defeat of Napoleonic France, its retention of serfdom precluded economic progress of any significant degree. As West European economic growth accelerated during the Industrial Revolution, which had begun in the second half of the 18th century, Russia began to lag ever farther behind, creating new problems for the empire as a great power. Russia's great power status obscured the inefficiency of its government, the isolation of its people, and its economic backwardness. Following the defeat of Napoleon, Alexander I had been ready to discuss constitutional reforms, but though a few were introduced, no thoroughgoing changes were attempted.

The relatively liberal tsar was replaced by his younger brother, Nicholas I (1825–1855), who at the onset of his reign was confronted with an uprising. The background of this revolt lay in the Napoleonic Wars, when a number of well-educated Russian officers traveled in Europe in the course of the military campaigns, where their exposure to the liberalism of Western Europe encouraged them to seek change on their return to autocratic Russia. The result was the Decembrist Revolt (December 1825), the work of a small circle of liberal nobles and army officers who wanted to install Nicholas' brother as a constitutional monarch. But the revolt was easily crushed, leading Nicholas to turn away from the Westernization program begun by Peter the Great and champion the maxim " Autocracy, Orthodoxy, and Respect to the People."



An episode from the Russian-French wars.



Fort Ross, an early 19th century outpost of the Russian-American Company in California.

After the Russian armies occupied the allied Georgia in 1802, they clashed with Persia over control of Azerbaijan and got involved into the Caucasian War against mountaineers, which would lumber on for half a century. Russian tsars had also to deal with two uprisings in their newly acquired territories of the Polish-Lithuanian Commonwealth: the November Uprising in 1830 and the January Uprising in 1863.

The harsh retaliation for the revolt made "December Fourteenth" a day long remembered by later revolutionary movements. In order to repress further revolts, schools and universities were placed under constant surveillance and students were provided with official textbooks. Police spies were planted everywhere. Would-be revolutionaries were sent off to Siberia; under Nicholas I hundreds of thousands were sent to katorga there.

The question of Russia's direction had been gaining steam ever since Peter the Great's programme of Westernization. Some favored imitating Western Europe while others renounced the West and called for a return of the traditions of the past. The latter path was championed by Slavophiles, who heaped scorn on the





"decadent" West. The Slavophiles were opponents of bureaucracy, preferred the collectivism of the mediaeval Russian *mir*, or village community, to the individualism of the West. Alternative social doctrines were elaborated by such Russian radicals as Alexander Herzen, Mikhail Bakunin, and Peter Kropotkin.

## Second half of the nineteenth century

Tsar Nicholas died with his philosophy in dispute. One year earlier, Russia had become involved in the Crimean War, a conflict fought primarily in the Crimean peninsula. Since playing a major role in the defeat of Napoleon, Russia had been regarded as militarily invincible, but, once pitted against a coalition of the great powers of Europe, the reverses it suffered on land and sea exposed the decay and weakness of Tsar Nicholas' regime.

When Alexander II came to the throne in 1855, desire for reform was widespread. A growing humanitarian movement, which in later years has been likened to that of the abolitionists in the United States before the American Civil War, attacked serfdom. In 1859, there were more than 23 million serfs living under conditions frequently worse than those of the peasants of western Europe on 16th century manors. Alexander II made up his own mind to abolish serfdom from above rather than wait for it to be abolished from below through revolution.

The emancipation of the serfs in 1861 was the single most important event in 19th century Russian history. It was the beginning of the end for the landed aristocracy's monopoly of power. Emancipation brought a supply of free labor to the cities, industry was stimulated, and the middle class grew in number and influence; however, instead of receiving their lands as a gift, the freed peasants had to pay a special tax for what amounted to their lifetime to the government, which in turn paid the landlords a generous price for the land that they had lost. In numerous instances the peasants wound up with the poorest land. All the land turned over to the peasants was owned collectively by the *mir*, the village community, which divided the land among the peasants and supervised the various holdings. Although serfdom was abolished, since its abolition was achieved on terms unfavorable to the peasants, revolutionary tensions were not abated, despite Alexander II's intentions.

In the late 1870s Russia and the Ottoman Empire again clashed in the Balkans. From 1875 to 1877, the Balkan crisis escalated with rebellions against Ottoman rule by various Slavic nationalities, which the Ottoman Turks suppressed with what was seen as great cruelty in Russia. Russian nationalist opinion became a serious domestic factor in its support for liberating Balkan Christians from Ottoman rule and making Bulgaria and Serbia independent. In early 1877, Russia intervened on behalf of Serbian and Russian volunteer forces when it went to war with the Ottoman Empire. Within one year, Russian troops were nearing Constantinople, and the Ottomans surrendered. Russia's nationalist diplomats and generals persuaded Alexander II to force the Ottomans to sign the Treaty of San Stefano in March 1878, creating an enlarged, independent Bulgaria that stretched into the southwestern Balkans. When Britain threatened to declare war over the terms of the Treaty of San Stefano, an exhausted Russia backed down. At the Congress of Berlin in July 1878, Russia agreed to the creation of a smaller Bulgaria. As a result, Pan-Slavists were left with a legacy of bitterness against Austria-Hungary and Germany for failing to back Russia. The disappointment as a result of war stimulated revolutionary tensions in the country.



A provincial Russian town in winter.

Following Alexander II's assassination by the Narodnya Volya, a Nihilist terrorist organization, in 1881, the throne passed to his son Alexander III (1881–1894), a staunch reactionary who revived the maxim of "Autocracy, Orthodoxy, and Respect to the People" of Nicholas I. A committed Slavophile, Alexander III believed that Russia could be saved from chaos only by shutting itself off from the subversive influences of Western Europe. In his reign Russia concluded the union with republican France to contain the growing power of Germany, completed the conquest of Central Asia and exacted important territorial and commercial concessions from China.

The tsar's most influential adviser was Konstantin Petrovich Pobedonostsev, tutor to Alexander III and his son Nicholas, and procurator of the Holy Synod from 1880 to 1895. He taught his royal pupils to fear freedom of speech and press and to hate democracy, constitutions, and the parliamentary system. Under Pobedonostsev, revolutionaries were hunted down and a policy of Russification was carried out throughout the empire.

### Early twentieth century

Alexander was succeeded by his son Nicholas II (1894–1917). The Industrial Revolution, which began to exert a significant influence in Russia, was meanwhile creating forces that would finally overthrow the tsar. The liberal elements among the industrial capitalists and nobility believed in peaceful social reform and a constitutional monarchy, forming the Constitutional Democrats, or Kadets. Social revolutionaries combined the Narodnik tradition and advocated the distribution of land among those who actually worked it—the peasants. Another radical group was the Social Democrats, exponents of Marxism in Russia. Gathering their support from the radical intellectuals and the urban working class, they advocated complete social, economic and political revolution.

Image:Tsushima Russian Fleet.jpg  
The Baltic Fleet in the Battle of Tsushima.

In 1903 the party split into two wings—the Mensheviks, or moderates, and the Bolsheviks, the radicals. The Mensheviks believed that Russian socialism would grow gradually and peacefully and that the tsar's regime should be succeeded by a democratic republic in which the socialists would cooperate with the liberal bourgeois parties. The Bolsheviks, under Vladimir Lenin, advocated the formation of a small elite of professional revolutionists, subject to strong party discipline, to act as the vanguard of the proletariat in order to seize power by force.

The disastrous performance of the Russian armed forces in the Russo-Japanese War (1904–1905) was a major blow to the Tsarist regime and increased the potential for unrest. In January 1905, an incident known as "Bloody Sunday" occurred when Father Gapon led an enormous crowd to the Winter Palace in St. Petersburg to present a petition to the tsar. When the procession reached the palace, Cossacks opened fire on the crowd, killing hundreds. The Russian masses were so aroused over the massacre that a general strike was declared demanding a democratic republic. This marked the beginning of the Russian Revolution of 1905. Soviets (councils of workers) appeared in most cities to direct revolutionary activity. Russia was paralyzed, and the government was desperate.

In October 1905, Nicholas reluctantly issued the famous October Manifesto, which conceded the creation of a national Duma (legislature) to be called without delay. The right to vote was extended and no law was to go into force without confirmation by the Duma. The moderate groups were satisfied; but the socialists rejected the concessions as insufficient and tried to organise new strikes. By the end of 1905, there was disunity among the reformers, and the tsar's position was



strengthened for the time being.



A scene from the First Russian Revolution, by Ilya Repin.

Tsar Nicholas II and his subjects entered World War I with enthusiasm and patriotism, with the defence of Russia's fellow Orthodox Slavs, the Serbs, as the main battle cry. In August 1914, the Russian army entered Germany to support the French armies. However, the weaknesses of the Russian economy and the inefficiency and corruption in government were hidden only for a brief period under a cloak of fervent nationalism. Military reversals and the government's incompetence soon soured much of the population. German control of the Baltic Sea and German-Ottoman control of the Black Sea severed Russia from most of its foreign supplies and potential markets.

By the middle of 1915 the impact of the war was demoralizing. Food and fuel were in short supply, casualties were staggering, and inflation was mounting. Strikes increased among low-paid factory workers, and the peasants, who wanted land reforms, were restless. Meanwhile, public distrust of the regime was deepened by reports that a semiliterate mystic, Grigory Rasputin, had great political influence within the government. His assassination in late 1916 ended the scandal but did not restore

the autocracy's lost prestige.

On March 3, 1917, a strike occurred in a factory in the capital St. Petersburg; within a week nearly all the workers in the city were idle, and street fighting broke out. When the tsar dismissed the Duma and ordered strikers to return to work, his orders triggered the February Revolution.

The Duma refused to disband, the strikers held mass meetings in defiance of the regime, and the army openly sided with the workers. A few days later a provisional government headed by Prince Lvov was named by the Duma and the following day the tsar abdicated. Meanwhile, the socialists in St. Petersburg had formed a Soviet (council) of workers and soldier's deputies to provide them with the power that they lacked in the Duma.

## Territory

### Boundaries

The administrative boundaries of European Russia, apart from Finland and its portion of Poland, coincided broadly with the natural limits of the East-European plains. In the North it met the Arctic Ocean; the islands of Novaya Zemlya, Kolguev and Vaigach also belonged to it, but the Kara Sea was reckoned to Siberia. To the East it had the Asiatic dominions of the empire, Siberia and the Kyrgyz steppes, from both of which it was separated by the Ural Mountains, the Ural River and the Caspian Sea — the administrative boundary, however, partly extending into Asia on the Siberian slope of the Urals. To the South it had the Black Sea and Caucasus, being separated from the latter by the Manych depression, which in Post-Pliocene times connected the Sea of Azov with the Caspian. The West boundary was purely conventional: it crossed the peninsula of Kola from the Varangerfjord to the Gulf of Bothnia; thence it ran to the Kurisches Haff in the southern Baltic, and thence to

#### History of Russia

Early East Slavic states  
 Rus' Khaganate (8th–9th c.)  
 Khazars (7th–10th c.)  
 Volga Bulgaria (7th–13th c.)  
 Kievan Rus' (9th–12th c.)  
 Vladimir-Suzdal (12th–14th c.)  
 Novgorod Republic (12th–15th c.)



the mouth of the Danube, taking a great circular sweep to the West to embrace Poland, and separating Russia from Prussia, Austrian Galicia and Romania.

It is a special feature of Russia that it has no free outlet to the open sea except on the ice-bound shores of the Arctic Ocean. Even the White Sea is merely a gulf of that ocean. The deep indentations of the gulfs of Bothnia and Finland were surrounded by what is ethnological Finnish territory, and it is only at the very head of the latter gulf that the Russians had taken firm foothold by erecting their capital at the mouth of the Neva. The Gulf of Riga and the Baltic belong also to territory which was not inhabited by Slavs, but by Finnish peoples and by Germans. The East coast of the Black Sea belonged properly to Transcaucasia, a great chain of mountains separating it from Russia. But even this sheet of water is an inland sea, the only outlet of which, the Bosphorus, was in foreign hands, while the Caspian, an immense shallow lake, mostly bordered by deserts, possessed more importance as a link between Russia and her Asiatic settlements than as a channel for intercourse with other countries.

## Geography

By the end of the 19th century the size of the empire was about 22,400,000 square kilometers (almost 1/6 of the Earth's landmass); its only rival in size at the time was the British Empire. However, at this time, the majority of the population lived in European Russia. More than 100 different ethnic groups lived in the Russian Empire, with ethnic Russians comprising about 45% of the population.

## Territory development

In addition to almost entire territory of modern Russia, prior to 1917 the Russian Empire included most of Ukraine ( Dnieper Ukraine and Crimea), Belarus, Moldova ( Bessarabia), Finland ( Grand Duchy of Finland), Armenia , Azerbaijan, Georgia, the Central Asian states of Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan and Uzbekistan ( Russian Turkestan), most of Lithuania, Estonia and Latvia ( Baltic provinces), as well as a significant portion of Poland ( Kingdom of Poland) and Ardahan, Artvin, Iğdır, and Kars from Turkey. Between 1742 and 1867 the Russian Empire claimed Alaska as its colony.

Following the Swedish defeat in the Finnish War and the signing of the Treaty of Fredrikshamn on September 17, 1809, Finland was incorporated into the Russian Empire as an autonomous grand duchy. The Tsar ruled the Grand Duchy of Finland as a constitutional monarch through his governor and a native Finnish Senate appointed by him.

## Imperial external territories

According to the 1st article of the Organic law, the Russian Empire was one indivisible state. In addition, the 26th article stated that "With the Imperial Russian

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Mongol invasion (1220s–1240s)  
 Golden Horde (1240s–1480s)  
 Muscovy (1340–1547)  
 Khanate of Kazan (1438–1552)  
 Tsardom of Russia (1547–1721)  
**Russian Empire (1721–1917)**

- 1721–1796
- 1796–1855
- 1855–1892
- 1892–1917

Soviet Russia and the USSR

- 1917–1927
  - Russian Revolution
  - Civil War
- 1927–1953
- 1953–1985
- 1985–1991

Russian Federation (1991–present)  
 Timeline



Russian Empire (dark green) and areas within its sphere of influence (light green) as of 1866, at the time of the maximum territorial expansion of the empire.



throne are indivisible the Kingdom of Poland and Grand Duchy of Finland". Relations with the Grand Duchy of Finland were also regulated by the 2nd article, "The Grand Duchy of Finland, constituted an indivisible part of the Russian state, in its internal affairs governed by special regulations at the base of special laws" and the law of 10 June 1910.

In 1744–1867 the empire also controlled the so-called *Russian America*. With the exception of this territory (modern day Alaska), the Russian Empire was a contiguous landmass spanning Europe and Asia. In this it differed from contemporary, colonial-style empires. The result of this was that whilst the British and French Empire declined in the 20th century, the Russian Empire kept a large proportion of its territory, firstly as the Communist Soviet Union, and latterly as part of the present-day Russian Federation.

Furthermore, the empire at times controlled concession territories, notably the port of Kwantung and the Chinese Eastern Railway Zone, both conceded by imperial China, as well as a concession in Tientsin. See for these periods of extraterritorial control the relations between the Empire of Japan and the Russian Empire.

## Government and administration

Russia was described in the Almanach de Gotha for 1910 as "a constitutional monarchy under an autocratic tsar." This obvious contradiction in terms well illustrates the difficulty of defining in a single formula the system, essentially transitional and meanwhile *sui generis*, established in the Russian Empire since October 1905. Before this date the fundamental laws of Russia described the power of the emperor as "autocratic and unlimited." The imperial style is still "Emperor and Autocrat of All the Russias"; but in the fundamental laws as remodeled between the October Manifesto and the opening of the first Imperial Duma on 27 April 1906, while the name and principle of autocracy was jealously preserved, the word "unlimited" vanished. Not that the regime in Russia had become in any true sense constitutional, far less parliamentary; but the "unlimited autocracy" had given place to a "self-limited autocracy," whether permanently so limited, or only at the discretion of the autocrat, remaining a subject of heated controversy between conflicting parties in the state. Provisionally, then, the Russian governmental system may perhaps be best defined as "a limited monarchy under an autocratic emperor."



Russian Empire in 1912

## The emperor



Peter the Great changed his title from Tsar in 1721, when he was declared *Emperor of all Russia*. While subsequent rulers kept this title, the ruler of Russia was commonly known as *Tsar* or *Tsaritsa* until the fall of the Empire during the February Revolution of 1917.

The power of emperor before the October Manifesto was limited by two liabilities: the emperor and his consort must belong to the Russian Orthodox Church and to obey the laws of succession, established by Paul I. On 17 October 1905, the situation changed, the emperor voluntarily limited his legislative power by decreeing that no measure was to become law without the consent of the Imperial Duma, a freely elected national assembly. In addition to mentioned moral liabilities appeared new juridical, amplified with the Organic law of 28 April 1906.

## Imperial Council

By the law of the 20 February 1906, the Council of the Empire was associated with the Duma as a legislative Upper House; and from this time the legislative power has been exercised normally by the emperor only in concert with the two chambers.

The Council of the Empire, or Imperial Council, as reconstituted for this purpose, consisted of 196 members, of whom 98 were nominated by the emperor, while 98 were elective. The ministers, also nominated, were *ex officio* members. Of the elected members, 3 were returned by the "black" clergy (the monks), 3 by the "white" clergy (seculars), 18 by the corporations of nobles, 6 by the academy of sciences and the universities, 6 by the chambers of commerce, 6 by the industrial councils, 34 by the governments having zemstvos, 16 by those having no zemstvos, and 6 by Poland. As a legislative body the powers of the Council were coordinate with those of the Duma; in practice, however, it has seldom if ever initiated legislation.

## The Duma and electoral system

The Duma of the Empire or Imperial Duma (Gosudarstvennaya Duma), which formed the Lower House of the Russian parliament, consisted (since the ukaz of 2 June 1907) of 442 members, elected by an exceedingly complicated process. The membership was manipulated as to secure an overwhelming majority of the wealthy (especially the landed classes) and also for the representatives of the Russian peoples at the expense of the subject nations. Each province of the empire, except Central Asia, returned a certain number of members; added to these were those returned by several large cities. The members of the Duma were chosen by electoral colleges and these, in their turn, were elected in assemblies of the three classes: landed proprietors, citizens and peasants. In these assemblies the wealthiest proprietors sat in person whilst the lesser proprietors were represented by delegates. The urban population was divided into two categories according to taxable wealth, and elected delegates directly to the college of the Governorates. The peasants were represented by delegates selected by the regional subdivisions called volosts. Workmen were treated in special manner with every industrial concern employing fifty hands or over electing one or more delegates to the electoral college.

In the college itself the voting for the Duma was by secret ballot and a simple majority carried the day. Since the majority consisted of conservative elements (the landowners and urban delegates), the progressives had little chance of representation at all save for the curious provision that one member at least in each



Nicholas II, the last Tsar of Russia.



government was to be chosen from each of the five classes represented in the college. That the Duma had any radical elements was mainly due to the peculiar franchise enjoyed by the seven largest towns — Saint Petersburg, Moscow, Kiev, Odessa, Riga and the Polish cities of Warsaw and Łódź. These elected their delegates to the Duma directly, and though their votes were divided (on the basis of taxable property) in such a way as to give the advantage to wealth, each returned the same number of delegates.

## Council of Ministers

By the law of 18 October 1905, to assist the emperor in the supreme administration a Council of Ministers (Sovyet Ministrov) was created, under a *minister president*, the first appearance of a prime minister in Russia. This council consists of all the ministers and of the heads of the principal administrations. The ministries were as follows:

- of the Imperial Court, to which the administration of the apanages, the chapter of the imperial orders, the imperial palaces and theatres, and the Academy of Fine Arts are subordinated;
- Foreign Affairs;
- War and Marine;
- Finance;
- Commerce and Industry (created in 1905);
- Interior (including police, health, censorship and press, posts and telegraphs, foreign religions, statistics);
- Agriculture;
- Ways and Communications;
- Justice;
- National Enlightenment.

## Most Holy Synod

The Most Holy Synod (established in 1721) was the supreme organ of government of the Orthodox Church in Russia. It was presided over by a lay procurator, representing the emperor, and consisted of the three metropolitans of Moscow, St Petersburg and Kiev, the archbishop of Georgia, and a number of bishops sitting in rotation.

## Senate

The Senate (Pravitelstvuyushchi Senat, i.e. directing or governing senate), originally established during the Government reform of Peter I, consisted of members nominated by the emperor. Its wide variety of functions were carried out by the different departments into which it was divided. It was the supreme court of cassation; an audit office, a high court of justice for all political offences; one of its departments fulfilled the functions of a heralds' college. It also had supreme jurisdiction in all disputes arising out of the administration of the Empire, notably differences between representatives of the central power and



The Senate and Synod headquarters on Senate Square in St. Petersburg.



the elected organs of local self-government. Lastly, it promulgated new laws, a function which theoretically gave it a power akin to that of the Supreme Court of the United States, of rejecting measures not in accordance with fundamental laws.

## Provincial administration



Residence of the Governor of Moscow (1778-82)

For purposes of provincial administration Russia was divided (as of 1914) into 81 provinces (*guberniyas*) and 20 regions (*oblasts*) and 1 district (*okrug*). Vassals and protectorates of the Russian Empire included the Emirate of Bukhara, the Khanate of Khiva and, after 1914, Tuva (Uriankhai). Of these 11 Governorates, 17 provinces and 1 district (Sakhalin) belonged to Asiatic Russia. Of the rest 8 Governorates were in Finland, 10 in Poland. European Russia thus embraced 59 governments and 1 province (that of the Don). The Don province was under the direct jurisdiction of the ministry of war; the rest have each a governor and deputy-governor, the latter presiding over the administrative council. In addition there were governors-general, generally placed over several governments and armed with more extensive powers usually including the command of the troops within the limits of their jurisdiction. In 1906 there were governors-general in Finland, Warsaw, Vilna, Kiev, Moscow and Riga. The larger cities (St Petersburg, Moscow, Odessa, Sevastopol, Kerch, Nikolayev, Rostov) have an administrative system of their own, independent of the governments; in these the chief of police acts as governor.

## Judicial system

The judicial system of the Russian Empire, existed from the mid-19th century, was established by the "tsar emancipator" Alexander II, by the statute of 20 November 1864 (*Sudebni Ustav*). This system — based partly on English, partly on French models — was built up on certain broad principles: the separation of the judicial and administrative functions, the independence of the judges and courts, the publicity of trials and oral procedure, the equality of all classes before the law. Moreover, a democratic element was introduced by the adoption of the jury system and—so far as one order of tribunal was concerned—the election of judges. The establishment of a judicial system on these principles constituted a fundamental change in the conception of the Russian state, which, by placing the administration of justice outside the sphere of the executive power, ceased to be a despotism. This fact made the system especially obnoxious to the bureaucracy, and during the latter years of Alexander II and the reign of Alexander III there was a piecemeal taking back of what had been given. It was reserved for the third Duma, after the revolution, to begin the reversal of this process.

The system established by the law of 1864 was remarkable in that it set up two wholly separate orders of tribunals, each having their own courts of appeal and coming in contact only in the senate, as the supreme court of cassation. The first of these, based on the English model, are the courts of the elected justices of the peace, with jurisdiction over petty causes, whether civil or criminal; the second, based on the French model, are the ordinary tribunals of nominated judges, sitting with or without a jury to hear important cases.

## Local administration

Alongside the local organs of the central government in Russia there are three classes of local elected bodies charged with administrative functions:

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- the peasant assemblies in the *mir* and the *volost*;
- the *zemstvos* in the 34 Governorates of Russia;
- the *municipal dumas*.

## Municipal dumas

Since 1870 the municipalities in European Russia have had institutions like those of the *zemstvos*. All owners of houses, and tax-paying merchants, artisans and workmen are enrolled on lists in a descending order according to their assessed wealth. The total valuation is then divided into three equal parts, representing three groups of electors very unequal in number, each of which elects an equal number of delegates to the municipal *duma*. The executive is in the hands of an elective mayor and an *uprava*, which consists of several members elected by the *duma*. Under Alexander III, however, by laws promulgated in 1892 and 1894, the municipal *dumas* were subordinated to the governors in the same way as the *zemstvos*. In 1894 municipal institutions, with still more restricted powers, were granted to several towns in Siberia, and in 1895 to some in Caucasia.



The Moscow City Duma

## Baltic provinces

The formerly Swedish controlled Baltic provinces ( Courland, Livonia and Estonia) were incorporated into the Russian Empire after the defeat of Sweden in the Great Northern War. Under the Treaty of Nystad of 1721, the Baltic German nobility retained considerable powers of self-government and numerous privileges in matters affecting education, police and the administration of local justice. After 167 years of German language administration and education, laws were promulgated in 1888 and 1889 where the rights of the police and manorial justice were transferred from Baltic German control to officials of the central government. Since about the same time a process of rigorous Russification was being carried out in the same provinces, in all departments of administration, in the higher schools and in the university of Dorpat, the name of which was altered to Yuriev. In 1893 district committees for the management of the peasants' affairs, similar to those in the purely Russian governments, were introduced into this part of the empire.

## Religions

The state religion of the Russian Empire was that of the Russian Orthodox Christianity. Its head was the tsar; but although he made and annulled all appointments, he did not determine questions of dogma or church teaching. The principal ecclesiastical authority was the Holy Synod, the head of which, the Procurator, was one of the council of ministers and exercised very wide powers in ecclesiastical matters. In theory all religions were freely professed, except that certain restrictions were laid upon the Jews; but in actual fact non-Orthodox groups were significantly restricted. According to returns published in 1905, based of the Russian Empire Census of 1897, adherents of the different religious communities in the whole of the Russian empire numbered approximately as follows, though the heading Orthodox includes a very great many Raskolniks or *Dissenters*.

Religion	Count of believers
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Orthodox	87,123,604
Islam	13,906,972
Roman Catholics	11,467,994
Judaism	5,215,805
Lutherans	3,572,653
Old Believers	2,204,596
Armenian Apostolic	1,179,241
Buddhists and Lamaists	433,863
Other non-Christian Religions	285,321
Reformed	85,400
Mennonites	66,564
Armenian Catholics	38,840
Baptists	38,139
Karaite Judaism	12,894
Anglicans	4,183
Other Christian Religions	3,952

The ecclesiastical heads of the national Russian Orthodox Church consisted of three metropolitans (St Petersburg, Moscow, Kiev), fourteen archbishops and fifty bishops, all drawn from the ranks of the monastic (celibate) clergy. The parochial clergy had to be married when appointed, but if left widowers were not allowed to marry again; this rule continues to apply today.

## Society

Subjects of the Russian Empire were segregated into *sosloviyes*, or social estates (classes) such as nobility (*dvoryanstvo*), clergy, merchants, cossacks and peasants. Native people of the Caucasus, non ethnic Russian areas such as Tartarstan, Bashkirstan, Siberia and Central Asia were officially registered as a category called *inorodtsy* (non-Slavic, literally: "people of another origin").

A mass of the people, 81.6%, belonged to the peasant order, the others were: nobility, 1.3%; clergy, 0.9%; the burghers and merchants, 9.3%; and military,



6.1%. More than 88 millions of the Russians were peasants. A part of them were formerly serfs (10,447,149 males in 1858) – the remainder being " state peasants " (9,194,891 males in 1858, exclusive of the Archangel Governorate) and " domain peasants " (842,740 males the same year).

## Serfdom

The serfdom which had sprung up in Russia in the 16th century, and became enshrined by law in 1649, was abolished in 1861. This act liberated the serfs from a yoke that was terrible, even under the best landlords, and from this point of view it was obviously an immense benefit.

The household servants or dependents attached to the personal service were merely set free, whilst the landed peasants received their houses and orchards, and allotments of arable land. These allotments were given over to the rural commune ( *mir* ), which was made responsible for the payment of taxes for the allotments. For these allotments the peasants had to pay a fixed rent which could be fulfilled by personal labour. The allotments could be redeemed by peasants with the help of the Crown, and then they were freed from all obligations to the landlord. The Crown paid the landlord and the peasants had to repay the Crown, for forty-nine years at 6% interest. The financial redemption to the landlord was not calculated on the value of the allotments, but was considered as a compensation for the loss of the compulsory labour of the serfs. Many proprietors contrived to significantly curtail the allotments which the peasants had occupied under serfdom, and frequently deprived them of precisely the parts of which they were most in need: pasture lands around their houses. The result was to compel the peasants to rent land from their former masters.

## Peasants

After the Emancipation reform one quarter of peasants have received allotments of only 2.9 acres per male, and one-half less than 8.5 to 11.4 acres – the normal size of the allotment necessary to the subsistence of a family under the three-fields system being estimated at 28 to 42 acres. Land must thus of necessity be rented from the landlords at fabulous prices. The aggregate value of the redemption and land taxes often reaches 185 to 275% of the normal rental value of the allotments, not to speak of taxes for recruiting purposes, the church, roads, local administration and so on, chiefly levied from the peasants. The arrears increase every year; one-fifth of the inhabitants have left their houses; cattle are disappearing. Every year more than half the adult males (in some districts three-fourths of the men and one-third of the women) quit their homes and wander throughout Russia in search of labor. In the governments of the Black Earth Area the state of matters is hardly better. Many peasants took the "gratuitous allotments," whose amount was about one-eighth of the normal allotments.

The average allotment in Kherson was only 0.90 acre, and for allotments from 2.9 to 5.8 acres the peasants pay 5 to 10 rubles of redemption tax. The state peasants were better off, but still they were emigrating in masses. It was only in the steppe governments that the situation was more hopeful. In Little Russia, where the allotments were personal (the *mir* existing only among state peasants), the state of affairs does not differ for the better, on account of the high redemption taxes. In the West provinces, where the land was valued cheaper and the allotments somewhat increased after the Polish insurrection, the general situation was better. Finally, in the Baltic provinces nearly all the land belonged to the German landlords, who either farmed the land themselves, with hired laborers, or let it in small farms. Only one quarter of the peasants were farmers, the remainder were mere laborers.

## Landowners



The situation of the former serf-proprietors was also unsatisfactory. Accustomed to the use of compulsory labor, they have failed to accommodate themselves to the new conditions. The millions of rubles of redemption money received from the crown have been spent without any real or lasting agricultural improvements having been affected. The forests have been sold, and only those landlords are prospering who exact rack-rents for the land without which the peasants could not live upon their allotments. During the years 1861 to 1892 the land owned by the nobles decreased 30%, or from 210,000,000 to 150,000,000 acres (610,000 km<sup>2</sup>); during the following four years an additional 2,119,500 acres (8,577 km<sup>2</sup>) were sold; and since then the sales have gone on at an accelerated rate, until in 1903 alone close upon 2,000,000 acres (8,000 km<sup>2</sup>) passed out of their hands. On the other hand, since 1861, and more especially since 1882, when the Peasant Land Bank was founded for making advances to peasants who were desirous of purchasing land, the former serfs, or rather their descendants, have between 1883 and 1904 bought about 19,500,000 acres (78,900 km<sup>2</sup>) from their former masters. There has been an increase of wealth among the few, but along with this a general impoverishment of the mass of the people, and the peculiar institution of the mir, framed on the principle of community of ownership and occupation of the land, was not conducive to the growth of individual effort. In November 1906, however, the emperor Nicholas II promulgated a provisional ukaz permitting the peasants to become freeholders of allotments made at the time of emancipation, all redemption dues being remitted. This measure, which was endorsed by the third Duma in an act passed on the 21 December 1908, is calculated to have far-reaching and profound effects upon the rural economy of Russia. Thirteen years previously the government had endeavored to secure greater fixity and permanence of tenure by providing that at least twelve years must elapse between every two redistributions of the land belonging to a mir amongst those entitled to share in it. The ukaz of November 1906 had provided that the various strips of land held by each peasant should be merged into a single holding; the Duma, however, on the advice of the government, left this to the future, as an ideal that could only gradually be realized.

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# Russian Revolution (1917)

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The **Russian Revolution** of 1917 refers to a series of two popular revolutions in Russia, and the events surrounding them. These revolutions had the effect of completely changing the nature of society within the Russian Empire and transforming the Russian state, which ultimately led to the replacement of the old Tsarist autocracy with the Soviet Union.

The February Revolution of 1917 (March 1917 of the Gregorian calendar) was a spontaneous popular revolution focused around Petrograd, with an associated mutiny of the military. In the chaos members of the Duma assumed control of the country, forming the Russian Provisional Government. The army leadership felt they did not have the means to suppress the revolution and Tsar Nicholas II of Russia, the last Tsar of Russia, abdicated, effectively leaving the Provisional Government in power. The Soviets (workers' councils) which were led by more radical socialist factions initially permitted the new government to rule but insisted on a prerogative to influence the government and control various militias. The February Revolution took place in the context of the First World War, with much of the army in a state of mutiny.

A period of dual power eventuated, in which the Provisional Government held state power and the national network of Soviets, led by socialists, had the allegiance of the lower-class citizens and the political Left. During this chaotic period there were frequent army mutinies and many strikes. The Provisional Government chose to remain in the war, whereas the policy of the Bolsheviks and other socialist factions was to abandon the war effort. The Bolsheviks formed workers militias into the Red Guards (later the Red Army) over which they exerted substantial control. The Mensheviks, another socialist faction, were also fighting for control over the country at this time.

The October Revolution (November of the Gregorian calendar), in which the Bolshevik party, led by Vladimir Lenin, and the workers' Soviets, overthrew the Provisional Government in Petrograd. A civil war soon erupted between the Red and White (nationalist) factions, which was to continue for several years, with the Bolsheviks ultimately victorious. The Bolsheviks signed a peace treaty with Germany. In this way the Revolution paved the way for the USSR. While many notable historical events occurred in Moscow and Petrograd, there was also a broadly-based movement in cities throughout the state, among national minorities throughout the empire, and in the rural areas, where peasants seized and redistributed land.

## Background

At the start of 1917 the country was ripe for revolution — growing rapidly, creating expanded social opportunities but also great uncertainty. Peasant villagers more and more often migrated between agrarian and industrial work environments, and many relocated entirely, creating a growing urban labor force. A middle class of white-collar employees, businessmen, and professionals (the latter group comprising doctors, lawyers, teachers, journalists, engineers, etc.) was on the

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rise. Even nobles had to find new ways to subsist in this changing economy, and contemporaries spoke of new classes forming (proletarians and capitalists, for example), although these classes were also divided along crisscrossing lines of status, gender, age, ethnicity, and belief.

It was becoming harder to speak of clearly-defined social groups or boundaries. Not only were groups fractured in various ways, their defining boundaries were also increasingly blurred by migrating peasants, worker intellectuals, gentry professionals, and the like. There was a general sense that the texture of people's lives was being transformed by a spreading commercial culture which remade the surfaces of material life (buildings, store fronts, advertisements, fashion, clocks and machines) and nurtured new objects of desire.

By 1917, the growth of political consciousness, the impact of revolutionary ideas, and the weak and inefficient system of government (which had been debilitated further by its participation in World War I), should have convinced the emperor, Nicholas II, to take the necessary steps towards reform. In January 1917, in fact, Sir George Buchanan, the British Ambassador in Russia, advised the emperor to "break down the barrier that separates you from your people to regain their confidence." He received little response from Nicholas.

Many of the people of Russia resented the autocracy of Tsar Nicholas II and the corrupt and anachronistic elements in his government. He was seen as being out of touch with the needs and aspirations of the Russian people, the vast majority of whom were victims of the wretched socio-economic conditions which prevailed. Socially, Tsarist Russia stood well behind the rest of Europe in its industry and farming, resulting in few opportunities for fair advancement on the part of peasants and industrial workers. Economically, widespread inflation and food shortages in Russia contributed to the revolution. Militarily, inadequate supplies, logistics, and weaponry led to heavy losses that the Russians suffered during World War I; this further strengthened Russia's view of Nicholas II as weak and unfit to rule. Ultimately, these factors, coupled with the development of revolutionary ideas and movements (particularly during the years following the 1905 Bloody Sunday Massacre), led to the Russian Revolution.

Many workers acquired a sense of self-respect and confidence, heightening expectations and desires. Living in cities, workers encountered material goods such as they had never seen while in the village. Most important, living in cities, they were exposed to new ideas about the social and political order.

The social causes of the Russian Revolution mainly came from centuries of oppression of the lower classes by the Tsarist regime, and Nicholas's failures in World War I. While rural agrarian peasants had been emancipated from serfdom in 1861, they still resented paying redemption payments to the state, and demanded communal tender of the land they worked. The problem was further compounded by the failure of Sergei Witte's land reforms of the early 1900s. Increasing peasant disturbances and sometimes full revolts occurred, with the goal of securing ownership of the land they worked. Russia consisted mainly of poor farming peasants, with 1.5% of the population owning 25% of the land.

The rapid industrialization of Russia also resulted in urban overcrowding and poor conditions for urban industrial workers (as mentioned above). Between 1890



Bolshevik forces marching on Red Square.



and 1910, the population of the capital, Saint Petersburg, swelled from 1,033,600 to 1,905,600, with Moscow experiencing similar growth. This created a new 'proletariat' which, due to being crowded together in the cities, was much more likely to protest and go on strike than the peasantry had been in previous times. In one 1904 survey, it was found that an average of sixteen people shared each apartment in Saint Petersburg, with six people per room. There was also no running water, and piles of human waste were a threat to the health of the workers. The poor conditions only aggravated the situation, with the number of strikes and incidents of public disorder rapidly increasing in the years shortly before World War I.

World War I only added to the chaos. Conscription swept up the unwilling in all parts of Russia. The vast demand for factory production of war supplies and workers caused many more labor riots and strikes. Conscription stripped skilled workers from the cities, who had to be replaced with unskilled peasants, and then, when famine began to hit due to the poor railway system, workers abandoned the cities in droves to look for food. Finally, the soldiers themselves, who suffered from a lack of equipment and protection from the elements, began to turn against the Tsar. This was mainly because, as the war progressed, many of the officers who were loyal to the Tsar were killed, and were replaced by discontented conscripts from the major cities, who had little loyalty to the Tsar.

## Political issues

Many subjects of the crown had reason to be dissatisfied with the existing autocracy. Nicholas II was a deeply conservative ruler and maintained a strict authoritarian system. Individuals and society in general were expected to show self-restraint, devotion to community, deference to the social hierarchy, and a sense of duty to country. Religious faith helped bind all of these tenets together as a source of comfort and reassurance in the face of difficult conditions and as a means of political authority exercised through the clergy. Perhaps more than any other modern monarch, Nicholas II attached his fate and the future of his dynasty to the notion of the ruler as a saintly and infallible father to his people. This idealized vision of the Romanov monarchy blinded him to the actual state of his country. With a firm belief that his power to rule was granted by Divine Right, Nicholas assumed that the Russian people were devoted to him with unquestioning loyalty. This ironclad belief rendered Nicholas unwilling to allow the progressive reforms that might have alleviated the suffering of the Russian people. Even after the 1905 revolution spurred the Tsar to decree limited civil rights and democratic representation, he worked to limit even these liberties in order to preserve the ultimate authority of the crown.

Despite constant oppression, the desire of the people for democratic participation in government was strong. Since the Age of Enlightenment, Russian intellectuals had promoted Enlightenment ideals such as the dignity of the individual and of the rectitude of democratic representation. These ideals were championed most vociferously by Russia's liberals, although populists, Marxists, and anarchists also claimed to support democratic reforms. A growing opposition movement had begun to challenge the Romanov monarchy openly well before the turmoil of World War I. Dissatisfaction with Russian autocracy culminated in the huge national upheaval that followed the Bloody Sunday massacre of January 1905, in which hundreds of unarmed protesters were shot by the Tsar's troops. Workers responded to the massacre with a crippling general strike, forcing Nicholas to put forth the October Manifesto which established a democratically elected parliament (the State Duma). The Tsar undermined this promise of reform but a year later with Article 87 of the 1906 Fundamental State Laws, and subsequently dismissed the first two Dumas when they proved uncooperative. Unfulfilled hopes of democracy fueled revolutionary ideas and violent outbursts targeted at the monarchy.

One of the Tsar's principal rationales for risking war in 1914 was his desire to restore the prestige that Russia had lost amid the debacles of the Russo-Japanese war. Nicholas also sought to foster a greater sense of national unity with a war against a common and ancient enemy. The Russian Empire was an agglomeration



of diverse ethnicities that had shown significant signs of disunity in the years before the First World War. Nicholas believed in part that the shared peril and tribulation of a foreign war would mitigate the social unrest over the persistent issues of poverty, inequality, and inhuman working conditions. Instead of restoring Russia's political and military standing, World War I led to the horrifying slaughter of Russian troops and military defeats that undermined both the monarchy and society in general to the point of collapse.

## World War I

The outbreak of war in August 1914 initially served to quiet the prevalent social and political protests, focusing hostilities against a common external enemy, but this patriotic unity did not last long. As the war dragged on inconclusively, war-weariness gradually took its toll. More important, though, was this deeper fragility: although many ordinary Russians joined anti-German demonstrations in the first few weeks of the war, the most widespread reaction appears to have been skepticism and fatalism. Hostility toward the Kaiser and the desire to defend their land and their lives did not necessarily translate into enthusiasm for the Tsar or the government.

Russia's first major battle of the war was a disaster: in the 1914 Battle of Tannenberg, over 30,000 Russian troops were killed or wounded and 90,000 captured, while Germany suffered just 20,000 casualties. However, Austro-Hungarian forces allied to Germany were driven back deep into the Galicia region by the end of the year. In the autumn of 1915, Nicholas had taken direct command of the army, personally overseeing Russia's main theatre of war and leaving his ambitious but incapable wife Alexandra in charge of the government. Reports of corruption and incompetence in the Imperial government began to emerge, and the growing influence of Grigori Rasputin in the Imperial family was widely resented. In the eyes of Lynch, a revisionist historian who focuses on the role of the people, Rasputin was a "fatal disease" to the Tsarist regime.

In 1915, things took a critical turn for the worse when Germany shifted its focus of attack to the Eastern front. The superior German army — better led, better trained and better supplied — was terrifyingly effective against the ill-equipped Russian forces, driving the Russians out of Galicia, as well as Russian Poland, during the Gorlice-Tarnow Offensive campaign. By the end of October 1916, Russia had lost between 1,600,000 and 1,800,000 soldiers, with an additional 2,000,000 prisoners of war and 1,000,000 missing, all making up a total of nearly 5,000,000 men.

These staggering losses played a definite role in the Mutinies which began to occur, and, in 1916, reports of fraternizing with the enemy started to circulate. Soldiers went hungry, and they lacked shoes, munitions, and even weapons. Rampant discontent lowered morale, only to be further undermined by a series of military defeats.

Casualty rates were the most vivid sign of this disaster. Already, by the end of 1914, only five months into the war, nearly 400,000 Russian men had lost their lives and nearly 1,000,000 were injured. Far sooner than expected, scarcely-trained recruits had to be called up for active duty, a process repeated throughout the war as staggering losses continued to mount. The officer class also saw remarkable turnover, especially within the lower echelons, which were quickly filled with soldiers rising up through the ranks. These men, usually of peasant or worker backgrounds, were to play a large role in the politicization of the troops in 1917.

The huge losses on the battlefields were not limited to men. The army quickly ran short of rifles and ammunition (as well as uniforms and food), and, by





mid-1915, men were being sent to the front bearing no arms; it was hoped that they could equip themselves with the arms that they recovered from fallen soldiers, of both sides, on the battlefields. With patently good reason, the soldiers did not feel that they were being treated as human beings, or even as valuable soldiers, but rather as raw materials to be squandered for the purposes of the rich and powerful.

By the spring of 1915, the army was in steady retreat, which was not always orderly; desertion, plunder and chaotic flight were not uncommon. By 1916, however, the situation had improved in many respects. Russian troops stopped retreating, and there were even some modest successes in the offensives that were staged that year, albeit at great loss of life. Also, the problem of shortages was largely solved by a major effort to increase domestic production. Nevertheless, by the end of 1916, morale among soldiers was even worse than it had been during the great retreat of 1915. The fortunes of war may have improved, but the fact of the war, still draining away strength and lives from the country and its many individuals and families, remained an oppressive unavailability. The crisis in morale (as was argued by Allan Wildman, a leading historian of the Russian army in war and revolution) "was rooted fundamentally in the feeling of utter despair that the slaughter would ever end and that anything resembling victory could be achieved."

The war devastated not only soldiers. By the end of 1915, there were manifold signs that the economy was breaking down under the heightened strain of wartime demand. The main problems were food shortages and rising prices. Inflation shoved real incomes down at an alarmingly rapid rate, and shortages made it difficult to buy even what one could afford. These shortages were especially a problem in the capital, Petrograd (formerly the City of Saint Petersburg), where distance from supplies and poor transportation networks made matters particularly bad. Shops closed early or entirely for lack of bread, sugar, meat and other provisions, and lines lengthened massively for what remained. It became increasingly difficult both to afford and actually buy food.

Not surprisingly, strikes increased steadily from the middle of 1915, and so did crime; but, for the most part, people suffered and endured — scouring the city for food — working-class women in Petrograd reportedly spent about forty hours a week in food lines — begging, turning to prostitution or crime, tearing down wooden fences to keep stoves heated for warmth, grumbling about the rich, and wondering when and how this would all come to an end.

Government officials responsible for public order worried about how long the people's patience would last. A report by the Petrograd branch of the security police, the Okhrana, in October 1916, warned bluntly of "the possibility in the near future of riots by the lower classes of the empire enraged by the burdens of daily existence."

Nicholas was blamed for all of these crises, and what little support he had left began to crumble. As discontent grew, the State Duma issued a warning to Nicholas in November 1916. It stated that, inevitably, a terrible disaster would grip the country unless a constitutional form of government was put in place. In typical fashion, however, Nicholas ignored them, and Russia's Tsarist regime collapsed a few months later during the February Revolution of 1917. One year later, the Tsar and his entire family were executed. Ultimately, Nicholas's inept handling of his country and the War destroyed the Tsars and ended up costing him both his rule and his life.

## February Revolution



This revolution broke out without definite leadership and formal plans, which may be seen as indicative of the fact that the Russian people had quite enough of the existing system. Petrograd, the capital, became the focus of attention, and, on February 23 (March 8) 1917, people at the food queues started a demonstration. They were soon joined by many thousands of women textile workers, who walked out of their factories—partly in commemoration of International Women's Day but mainly to protest against the severe shortages of bread. Already, large numbers of men and women were on strike, and the women stopped at any still-operating factories to call on their workers to join them. The mobs marched through the streets, with cries of "Bread!" and "Give us bread!" During the next two days, the strike, encouraged by the efforts of hundreds of rank-and-file socialist activists, spread to factories and shops throughout the capital. By February 25th, virtually every industrial enterprise in Petrograd had been shut down, together with many commercial and service enterprises. Students, white-collar workers and teachers joined the workers in the streets and at public meetings, whilst, in the still-active Duma, liberal and socialist deputies came to realise a potentially-massive problem. They presently denounced the current government even more vehemently and demanded a responsible cabinet of ministers. The Duma, consisting primarily of the bourgeoisie, pressed the Tsar to abdicate in order to avert a revolution.

On the evening of Saturday the 25th, with police having lost control of the situation, Nicholas II, who refused to believe the warnings about the seriousness of these events, sent a fateful telegram to the chief of the Petrograd military district, General Sergei Khabalov: "I command you tomorrow to stop the disorders in the capital, which are unacceptable in the difficult time of war with Germany and Austria." Most of the soldiers obeyed these orders on the 26th, but mutinies, often led by lower-ranked officers, spread overnight. On the morning of the 27th, workers in the streets, many of them now armed, were joined by soldiers, sent in by the government to quell the riots. Many of these soldiers were insurgents, however, and they joined the crowd and fired on the police, in many cases little red ribbons tied to their bayonets. The outnumbered police then proceeded to join the army and civilians in their rampage. Thus, with this near-total disintegration of military power in the capital, effective civil authority collapsed.

By nighttime on the 27th, the cabinet submitted its resignation to the Tsar and proposed a temporary military dictatorship, but Russia's military leaders rejected this course. Nicholas, meanwhile, had been on the front with the soldiers, where he had seen first-hand Russia's defeat at Tannenberg. He had become very frustrated and was conscious of the fact that the demonstrations were on a massive scale; indeed, he feared for his life. The ill health of his son (suffering from the blood disorder hemophilia) was causing him difficulties, too. Nicholas accepted defeat at last and abdicated on 13 March, hoping, by this last act of service to his nation (as he stated in his manifesto), to end the disorders and bring unity to Russia. In the wake of this collapse of the 300-year-old Romanov dynasty—Nicholas's brother, to whom he subsequently offered the crown, refused to become Tsar unless that was the decision of an elected government; he wanted *the people* to want him as their leader—a minority of the Duma's deputies declared themselves a Provisional Government, chaired by Prince Lvov, a moderate reformist, although leadership moved gradually to Alexander Kerensky of the Social Revolutionary Party.



Nicholas II, March 1917, shortly after the revolution brought about his abdication.

## Timeline 1914-1916

1914



- June - July: General Strikes in Saint Petersburg.
- July 19th: Germany declares war on Russia, causing a brief sense of patriotic union amongst the Russian nation and a downturn in striking.
- July 30th: The All Russian Zemstvo Union for the Relief of Sick and Wounded Soldiers is created with Lvov as president.
- August - November: Russia suffers heavy defeats and a large shortage of supplies, including food and munitions, but holds onto Austrian Galicia.
- August 18th: Saint Petersburg is renamed Petrograd as 'Germanic' names are changed to sound more Russian, and hence more patriotic.
- November 5th: Bolshevik members of the Duma are arrested; they are later tried and exiled to Siberia.

## 1915

- February 19: Great Britain and France accept Russia's claims to Istanbul and other Turkish lands.
- June 5th: Strikers shot at in Kostromá; casualties.
- July 9th: The Great Retreat begins, as Russian forces pull back out of Galicia and Russian Poland into Russia proper.
- August 9th: The Duma's bourgeois parties form the 'Progressive bloc' to push for better government and reform; includes the Kadets, Octobrist groups and Nationalists.
- August 10th: Strikers shot at in Ivánovo-Voznesénsk; casualties.
- August 17-19th: Strikers in Petrograd protest at the deaths in Ivánovo-Voznesénsk.
- August 23rd: Reacting to war failures and a hostile Duma, the Tsar takes over as Commander-in-Chief of the armed forces, prorogues the Duma and moves to military headquarters at Mogilev. Central government begins to seize up.

## 1916

- January - December: Despite successes in the Brusilov offensive, the Russian war effort is still characterised by shortages, poor command, death and desertion. Away from the front, the conflict causes starvation, inflation and a torrent of refugees. Both soldiers and civilians blame the incompetence of the Tsar and his government.
- February 6: Duma reconvened.
- February 29th: After a month of strikes at the Putílov Factory, the government conscripts the workers and takes charge of production. Protest strikes follow.
- June 20: Duma prorogued.
- October: Troops from 181st Regiment help striking Russkii Renault workers fight against the Police.
- November 1st: Miliukov gives his 'Is this stupidity or treason?' speech in reconvened Duma.
- December 17/18th: Rasputin is killed by Prince Yusupov.
- December 30th: The Tsar is warned that his army won't support him against a revolution.

## Between February and throughout October: "Dual Power" (*dvoevlastie*)

The effective power of the Provisional Government was challenged by the authority of an institution that claimed to represent the will of workers and soldiers and could, in fact, mobilize and control these groups during the early months of the revolution—the Petrograd Soviet [Council] of Workers' Deputies. The model



for the soviet were workers' councils that had been established in scores of Russian cities during the 1905 revolution. In February 1917, striking workers elected deputies to represent them and socialist activists began organizing a citywide council to unite these deputies with representatives of the socialist parties. On 27 February, socialist Duma deputies, mainly Mensheviks and Socialist Revolutionaries, took the lead in organizing a citywide council. The Petrograd Soviet met in the Tauride Palace, the same building where the new government was taking shape.

The leaders of the Petrograd Soviet believed that they represented particular classes of the population, not the whole nation. They also believed Russia was not ready for socialism. So they saw their role as limited to pressuring hesitant "bourgeoisie" to rule and to introduce extensive democratic reforms in Russia (the replacement of the monarchy by a republic, guaranteed civil rights, a democratic police and army, abolition of religious and ethnic discrimination, preparation of elections to a constituent assembly, and so on). They met in the same building as the emerging Provisional Government not to compete with the Duma Committee for state power but to best exert pressure on the new government, to act, in other words, as a popular democratic lobby.



The relationship between these two major powers was complex from the beginning and would shape the politics of 1917. The representatives of the Provisional Government agreed to "take into account the opinions of the Soviet of Workers' Deputies," though they were also determined to prevent "interference in the actions of the government," which would create "an unacceptable situation of dual power." In fact, this was precisely what was being created, though this "dual power" (dvoevlastie) was the result less of the actions or attitudes of the leaders of these two institutions than of actions outside their control, especially the ongoing social movement taking place on the streets of Russia's cities, in factories and shops, in barracks and in the trenches, and in the villages.

A series of political crises—see the chronology below—in the relationship between population and government and between the Provisional government and the soviets (which developed into a nationwide movement with a national leadership, The All-Russian Central Executive Committee of Soviets (VTsIK)) undermined the authority of the Provisional Government but also of the moderate socialist leaders of the Soviet. Although the Soviet leadership initially refused to participate in the "bourgeois" Provisional Government, Alexander Kerensky, a young and popular lawyer and a member of the Social Revolutionary Party (SRP), agreed to join the new cabinet, and he became an increasingly central figure in the government, eventually taking leadership of the Provisional Government. As minister of war and later Prime Minister, Kerensky promoted freedom of speech, released thousands of political prisoners, did his very best to continue the war effort and even organised a new offensive (which, however, was no more successful than its predecessors). Nevertheless, Kerensky still faced several great challenges, highlighted by the soldiers, urban workers and peasants, who claimed that they had gained nothing by the revolution:

- Other political groups were trying to undermine him.
- Heavy military losses were being suffered on the front.
- The soldiers were dissatisfied, demoralised and had started to defect. (On arrival back in Russia, these soldiers were either imprisoned or sent straight back to the front.)
- There was enormous discontent with Russia's involvement in the war, and many were calling for an end to it.
- There were great shortages of food and supplies, which was difficult to remedy because of the wartime economic conditions.

The political group which proved most troublesome for Kerensky, and would eventually overthrow him, was the Bolshevik Party, led by Vladimir Lenin. Lenin



had been living in exile in neutral Switzerland and, due to the democratization of politics after the February Revolution which legalized formerly banned political parties, he perceived the opportunity for his Marxist revolution. Although return to Russia had become a possibility, the war made it logistically difficult. Eventually, German officials arranged for Lenin to pass through their territory, hoping that his activities would weaken Russia or even--if the Bolsheviks came to power--lead to Russia's withdrawal from the war. Lenin and his associates, however, had to agree to travel to Russia in a sealed train: Germany would not take the chance that he would foment revolution in Germany. After passing through the front, he arrived in Petrograd in April 1917.

With Lenin's arrival, the popularity of the Bolsheviks increased steadily. Over the course of the spring, public dissatisfaction with the Provisional Government and the war, in particular among workers, soldiers and peasants, pushed these groups to radical parties. Despite growing support for the Bolsheviks, buoyed by maxims that called most famously for "all power to the Soviets," the party held very little real power in the moderate dominated Petrograd Soviet. In fact, historians such as Sheila Fitzpatrick have asserted that Lenin's exhortations for the Soviet Council to take power were intended to arouse indignation both with the Provisional Government, whose policies were viewed as conservative, and the Soviet itself, which was viewed as subservient to the conservative government. By most historians' accounts, Lenin and his followers were unprepared for how their groundswell of support, especially among influential worker and soldier groups, would translate into real power in summer, 1917.

On June 18, the Provisional Government launched an attack against Germany which failed miserably. Soon after, the military ordered the Petrograd to go to the front reneging a previously made promise and the soldiers refused to follow the new orders. The arrival of radical Kronstadt sailors, who had tried and executed many officers, including one admiral, further fueled the growing revolutionary atmosphere. The sailors and soldiers, along with Petrograd workers, took to the streets in violent protest, calling for "all power to the Soviets." The revolt, however, was disowned by Lenin and the Bolshevik leaders and dissipated within a few days. In the aftermath, Lenin fled to Finland under threat of arrest while Trotsky, among other prominent Bolsheviks, was arrested. The July Days confirmed the popularity of the anti-war, radical Bolsheviks, but their unpreparedness at the moment of revolt was an embarrassing gaffe which resulted in loss of support among their main constituent groups--soldiers and workers.

The Bolshevik failure in the July Days proved temporary, though. In August, poor, or misleading, communication led General Lavr Kornilov, the recently appointed Supreme Commander of Russian military forces, to believe that the Petrograd government had been captured by radicals, or was in serious danger thereof. In response, he ordered troops to Petrograd to pacify the city. In order to secure his position, Kerensky had to ask for Bolshevik assistance. He also sought help from the Petrograd Soviet, which called upon armed Red Guards to "defend the revolution." The Kornilov Affair failed largely due to the efforts of the Bolsheviks, whose influence over railroad and telegraph workers proved vital in stopping the movement of troops. With his coup failing, Kornilov surrendered and was relieved of his position. The Bolsheviks' role in stopping the attempted coup immensely strengthened their position.

In early September, the Soviet Council freed the jailed Bolsheviks and Trotsky became chairman of the Petrograd Soviet. Growing numbers of socialists and lower-class Russians viewed the government less and less as a force in support of their needs and interests. The Bolsheviks benefited as the only major organized opposition party which had refused to compromise with the Provisional Government, and they benefited from growing frustration and even disgust with other parties, such as the Mensheviks and SRs, who stubbornly refused to break with the idea of national unity across all classes.

In Finland, Lenin had worked on his book *State and Revolution* and continued to lead his party writing newspaper articles and policy decrees. By October, he returned to Petrograd, aware that the increasingly radical city presented him no legal danger and a second opportunity for revolution. The Bolshevik Central Committee drafted a resolution, calling for the dissolution of the Provisional Government in favour of the Petrograd Soviet. The resolution was passed 10-2 (



(Lev Kamenev and Grigory Zinoviev prominently dissenting) and the October Revolution began.

## October Revolution

The October Revolution was led by Vladimir Lenin and was based upon Lenin's writing on the ideas of Karl Marx, a political ideology often known as Marxism-Leninism. It marked the beginning of the spread of communism in the twentieth century. It was far less sporadic than the revolution of February and came about as the result of deliberate planning and coordinated activity to that end. Though Lenin was the leader of the Bolshevik Party, it has been argued that since Lenin wasn't present during the actual takeover of the Winter Palace, it was really Trotsky's organization and direction that led the revolution, spurred by the motivation Lenin instigated within his party. Critics on the Right have long argued that the financial and logistical assistance of German intelligence via their key agent, Alexander Parvus was a key component as well, though historians are divided, for the evidence is sparse.

On November 7, 1917, Bolshevik leader Vladimir I. Lenin led his leftist revolutionaries in a revolt against the ineffective Provisional Government (Russia was still using the Julian Calendar at the time, so period references show an October 25 date). The October revolution ended the phase of the revolution instigated in February, replacing Russia's short-lived provisional parliamentary government with government by soviets, local councils elected by bodies of workers and peasants. Liberal and monarchist forces, loosely organized into the White Army, immediately went to war against the Bolsheviks' Red Army.

Soviet membership was initially freely elected, but many members of the Socialist-Revolutionary Party, anarchists, and other leftists opposed the Bolsheviks through the soviets. When it became clear that the Bolsheviks had little support outside of the industrialized areas of Saint Petersburg and Moscow, they barred non-Bolsheviks from membership in the soviets. Other socialists revolted and called for "a third revolution." The most notable instances were the Tambov rebellion, 1919–1921, and the Kronstadt rebellion in March 1921. These movements, which made a wide range of demands and lacked effective coordination, were eventually defeated along with the White Army during the Civil War.

## Death of the royal family

In early March, the Provisional Government placed Nicholas and his family under house arrest in the Alexander Palace at Tsarskoe Selo, 15 miles (24 km) south of Petrograd. In August 1917 the Kerensky government evacuated the Romanovs to Tobolsk in the Urals, allegedly to protect them from the rising tide of revolution during the Red Terror. After the Bolsheviks came to power in October 1917, the conditions of their imprisonment grew stricter and talk of putting Nicholas on trial increased. As the counter revolutionary White movement gathered force, leading to full-scale civil war by the summer, the Romanovs were moved during April and May 1918 to Yekaterinburg, a militant Bolshevik stronghold. During the early morning of July 16, at approximately 1:30 am, Nicholas, Alexandra, their children, their physician, and three servants were taken into the basement and executed. According to Edvard Radzinsky and Dmitrii



Vladimir Lenin, leader of the Bolsheviks



Volkogonov, the order came directly from Vladimir Lenin and Yakov Sverdlov in Moscow. That the order came from the top has long been believed, although there is a dearth of hard evidence. It has been argued that the execution was carried out on the initiative of local Bolshevik officials, or that it was an option approved in Moscow should White troops approach Yekaterinburg. Radzinsky noted that Lenin's bodyguard personally delivered the telegram ordering the execution and that he was ordered to destroy the evidence. The royal family was lined up and shooting commenced. Accounts by participants described the event as chaotic, partly because jewels sewn inside the girls undergarments deflected many of the shots.

## Civil war

The Russian Civil War, which broke out in 1918 shortly after the revolution, brought death and suffering to millions of people regardless of their political orientation. The war was fought mainly between the Red Army ("Reds"), consisting of radical communists and revolutionaries, and the "Whites"—the monarchists, conservatives, liberals and moderate socialists who opposed the drastic restructuring championed by the Bolsheviks. The Whites had backing from nations such as Great Britain, France, USA and Japan.

Also during the Civil War, Nestor Makhno led a Ukrainian anarchist movement allied with the Bolsheviks thrice, one of the powers ending the alliance each time. However, a Bolshevik force under Mikhail Frunze destroyed the Makhnovist movement, when the Makhnovists refused to merge into the Red Army. In addition, the so-called "Green Army" (nationalists and anarchists) played a secondary role in the war, mainly in Ukraine.

## The Russian revolution and the world

Trotsky said that the goal of socialism in Russia would not be realized without the success of the world revolution. Indeed, a revolutionary wave caused by the Russian Revolution lasted until 1923. Despite initial hopes for success in the German Revolution, in the short-lived Hungarian Soviet Republic and others like it, no other Marxist movement succeeded in keeping power in its hands.

This issue is subject to conflicting views on the communist history by various Marxist groups and parties. Stalin later rejected this idea, stating that socialism was possible in one country.

The confusion regarding Stalin's position on the issue stems from the fact that he, after Lenin's death in 1924, successfully used Lenin's argument—the argument that socialism's success needs the workers of other countries in order to happen—to defeat his competitors within the party by accusing them of betraying Lenin and, therefore, the ideals of the October Revolution.

## Brief chronology leading to Revolution of 1917

*Dates are correct for the Julian calendar, which was used in Russia until 1918. It was twelve days behind the Gregorian calendar during the 19th century and thirteen days behind it during the 20th century.*



Date(s)	Event(s)
1855	Start of reign of Tsar Alexander II.
1861	Emancipation of the serfs.
1874–81	Growing anti-government terrorist movement and government reaction.
1881	Alexander II assassinated by revolutionaries; succeeded by Alexander III.
1883	First Russian Marxist group formed.
1894	Start of reign of Nicholas II.
1898	First Congress of Russian Social Democratic Labour Party (RSDLP).
1900	Foundation of Socialist Revolutionary Party (SR).
1903	Second Congress of Russian Social Democratic Labour Party. Beginning of split between Bolsheviks and Mensheviks.
1904–5	Russo-Japanese War; Russia loses war.
1905	<p>Russian Revolution of 1905.</p> <ul style="list-style-type: none"> <li>▪ January: Bloody Sunday in Saint Petersburg.</li> <li>▪ June: Battleship Potemkin uprising at Odessa on the Black Sea (see movie <i>The Battleship Potemkin</i>).</li> <li>▪ October: general strike, Saint Petersburg Soviet formed; October Manifesto: Imperial agreement on elections to the State Duma.</li> </ul>
1906	First State Duma. Prime Minister: Petr Stolypin. Agrarian reforms begin.
1907	Second State Duma, February–June.
1907	Third State Duma, until 1912.
1911	Stolypin assassinated.
1912	Fourth State Duma, until 1917. Bolshevik/ Menshevik split final.
1914	Germany declares war on Russia.
1915	Serious defeats, Nicholas II declares himself Commander in Chief.
1916	Food and fuel shortages and high prices. Progressive Bloc formed.
1917	Strikes, mutinies, street demonstrations lead to the fall of autocracy.





## Expanded chronology of Revolution of 1917

Gregorian Date	Julian Date	Event
	January	Strikes and unrest in Petrograd
	February	February Revolution
March 8 <sup>th</sup>	February 23 <sup>rd</sup>	International Women's Day: strikes and demonstrations in Petrograd, growing over the next few days.
March 11 <sup>th</sup>	February 26 <sup>th</sup>	50 demonstrators killed in Znamenskaya Square Tsar Nicholas II prorogues the State Duma and orders commander of Petrograd military district to suppress disorders with force.
March 12 <sup>th</sup>	February 27 <sup>th</sup>	<p>* Troops refuse to fire on demonstrators, deserters. Prisons, courts, and police bums attacked and looted by angry crowds.</p> <ul style="list-style-type: none"> <li>■ Okhrana buildings set on fire. Garrison joins revolutionaries.</li> <li>■ Petrograd Soviet formed.</li> <li>■ Formation of Provisional Committee of the Duma by liberals from Constitutional Democratic Party (Kadets).</li> </ul>
March 14 <sup>th</sup>	March 1 <sup>st</sup>	Order No.1 of the Petrograd Soviet.
March 15 <sup>th</sup>	March 2 <sup>nd</sup>	Nicholas II abdicates. Provisional Government formed under Prime Minister Prince Lvov.
April 16 <sup>th</sup>	April 3 <sup>rd</sup>	Return of Lenin to Russia. He publishes his April Theses.
May 3 <sup>rd</sup> -4 <sup>th</sup>	April 20 <sup>th</sup> -21 <sup>st</sup>	"April Days": mass demonstrations by workers, soldiers, and others in the streets of Petrograd and Moscow triggered by the publication of the Foreign Minister Miliukov's note to the allies, which was interpreted as affirming commitment to the war policies of the old government. First Provisional Government falls.
May 18 <sup>th</sup>	May 5 <sup>th</sup>	First Coalition Government forms when socialists, representatives of the Soviet leadership, agree to enter the cabinet of the Provisional Government. Kerensky, the only socialist already in the government, made minister of war and navy.
June 16 <sup>th</sup>	June 3 <sup>rd</sup>	First All-Russian Congress of Workers' and Soldiers' Deputies opens in Petrograd. Closed on 24 <sup>th</sup> . Elects Central Executive Committee of Soviets (VTsIK), headed by Mensheviks and SRs.
June 23 <sup>rd</sup>	June 10 <sup>th</sup>	Planned Bolshevik demonstration in Petrograd banned by the Soviet.
June 29 <sup>th</sup>	June 16 <sup>th</sup>	Kerensky orders offensive against Austro-Hungarian forces. Initial success only.



July 1 <sup>st</sup>	June 18 <sup>th</sup>	Official Soviet demonstration in Petrograd for unity is unexpectedly dominated by Bolshevik slogans: "Down with the Ten Capitalist Ministers", "All Power to the Soviets".
July 15 <sup>th</sup>	July 2 <sup>nd</sup>	Russian offensive ends. Trotsky joins Bolsheviks.
July 16 <sup>th</sup> -17 <sup>th</sup>	July 3 <sup>rd</sup> -4 <sup>th</sup>	The " July Days"; mass armed demonstrations in Petrograd, encouraged by the Bolsheviks, demanding "All Power to the Soviets".
July 19 <sup>th</sup>	July 6 <sup>th</sup>	German and Austro-Hungarian counter-attack. Russians retreat in panic, sacking the town of Tarnopol. Arrest of Bolshevik leaders ordered.
July 20 <sup>th</sup>	July 7 <sup>th</sup>	Lvov resigns and asks Kerensky to become Prime Minister and form a new government. Established July 25 <sup>th</sup> .
August 4 <sup>th</sup>	July 22 <sup>nd</sup>	Trotsky and Lunacharskii arrested.
September 8 <sup>th</sup>	August 26 <sup>th</sup>	Second coalition government ends.
September 8 <sup>th</sup> -12 <sup>th</sup>	August 26 <sup>th</sup> -30 <sup>th</sup>	"Kornilov mutiny". Begins when the commander-in-chief of the Russian army, General Lavr Kornilov, demands (or is believed by Kerensky to demand) that the government give him all civil and military authority and moves troops against Petrograd.
September 13 <sup>th</sup>	August 31 <sup>st</sup>	Majority of deputies of the Petrograd Soviet approve a Bolshevik resolution for an all-socialist government excluding the bourgeoisie.
September 14 <sup>th</sup>	September 1 <sup>st</sup>	Russia declared a republic
September 17 <sup>th</sup>	September 4 <sup>th</sup>	Trotsky and others freed.
September 18 <sup>th</sup>	September 5 <sup>th</sup>	Bolshevik resolution on the government wins majority vote in Moscow Soviet.
October 2 <sup>nd</sup>	September 19 <sup>th</sup>	Moscow Soviet elects executive committee and new presidium, with Bolshevik majorities, and the Bolshevik Viktor Nogin as chairman.
October 8 <sup>th</sup>	September 25 <sup>th</sup>	Third coalition government formed. Bolshevik majority in Petrograd Soviet elects Bolshevik Presidium and Trotsky as chairman.
October 23 <sup>rd</sup>	October 10 <sup>th</sup>	Bolshevik Central Committee meeting approves armed uprising.



October 24 <sup>th</sup>	October 11 <sup>th</sup>	Congress of Soviets of the Northern Region, until October 13 <sup>th</sup> .
November 2 <sup>nd</sup>	October 20 <sup>th</sup>	First meeting of the Military Revolutionary Committee of the Petrograd Soviet.
November 7 <sup>th</sup>	October 25 <sup>th</sup>	October Revolution is launched as MRC directs armed workers and soldiers to capture key buildings in Petrograd. Winter Palace attacked at 9:40pm and captured at 2am. Kerensky flees Petrograd. Opening of the 2nd All-Russian Congress of Soviets.
November 8 <sup>th</sup>	October 26 <sup>th</sup>	Second Congress of Soviets: Mensheviks and right SR delegates walk out in protest against the previous day's events. Congress approves transfer of state authority into its own hands and local power into the hands of local soviets of workers', soldiers', and peasants' deputies, abolishes capital punishment, issues Decree on Peace and Decree on Land, and approves the formation of an all-Bolshevik government, the Council of People's Commissars (Sovnarkom), with Lenin as chairman.

## Cultural portrayal

The Russian Revolution has been portrayed in several films.

- *Arsenal* (IMDB profile). Written and directed by Aleksandr Dovzhenko.
- *Konets Sankt-Peterburga* AKA *The End of Saint Petersburg* (IMDB profile).
- *Lenin v 1918 godu* AKA *Lenin in 1918* (IMDB profile). Directed by Mikhail Romm and E. Aron (co-director).
- *October: Ten Days That Shook the World* (IMDB profile). Directed by Sergei M. Eisenstein and Grigori Aleksandrov. Runtimes: Sweden:104 min, USA:95 min. Country: Soviet Union. Black and White. Silent. 1927.
- *The End of Saint Petersburg*, directed by Vsevolod Pudovkin, USSR, 1927.
- *Reds* (IMDB profile). Directed by Warren Beatty, 1981. It is based on the book *Ten Days that Shook the World*.
- *Anastasia* (IMDB profile), an American animated feature, directed by Don Bluth and Gary Goldman, 1997.
- *Dr. Zhivago*, an American drama-romance-war film directed by David Lean, 1965, and loosely based on the famous novel of the same name by Boris Pasternak.
- *The White Guard*, Mikhail Bulgakov, 1926. Partially autobiographical novel, portraying the life of one family torn apart by uncertainty of the Civil War times. Also, *Dni Turbinykh* (IMDB profile), 1976 - film based on the novel.

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# Slavery

2008/9 Schools Wikipedia Selection. Related subjects: Animal & Human Rights; General history

**Slavery** is a social-economic system under which certain persons — known as **slaves** — are deprived of personal freedom and compelled to work.

Slaves are held against their will from the time of their capture, purchase, or birth, and are deprived of the right to leave, to refuse to work, or to receive compensation (such as wages) in return for their labor. As such, slavery is one form of unfree labor.

In its narrowest sense, the word slave refers to people who are treated as the property of another person, household, company, corporation or government. This is referred to as **chattel slavery**.

## Current situation

Although outlawed in nearly all countries today, slavery is still practiced in some parts of the world. According to a broad definition of slavery used by Kevin Bales of Free the Slaves, an advocacy group linked with Anti-Slavery International, there are 27 million people (though some put the number as high as 200 million) in virtual slavery today, spread all over the world. This is, also according to that group:

- The largest number of people that has ever been in slavery at any point in world history.
- The smallest percentage of the total human population that has ever been enslaved at once.
- Reducing the price of slaves to as low as US\$40 in Mali for young adult male laborers, to a high of US\$1000 or so in Thailand for HIV-free young females suitable for use in brothels. This represents the price paid to the person, or parents.
- This represents the lowest price that there has ever been for a slave in raw labor terms — while the price of a comparable male slave in 1850 America would have been about US\$1000 in the currency of the time (US\$38,000 today), thus slaves, at least of that category, now cost one thirty-eighth of their price 150 years ago, although this does not refer to the price of an 1850 slave in Africa.
- As a result, the economics of slavery is stark: the yield of profit per year for those buying and controlling a slave is over 800% on average, as opposed to the 5% per year that would have been the expected payback for buying a slave in colonial times. This combines with the high potential to lose a slave (have them stolen, escape, or freed by unfriendly authorities) to yield what are called **disposable people** — those who can be exploited intensely for a short time and then discarded, such as the prostitutes thrown out on city streets to die once they contract HIV, or slaves forced to work in mines.

Although outlawed in most countries today slavery is, nonetheless, practiced *in secret* in many parts of the world — with outright enslavement still taking place



From the title page of abolitionist Anthony Benezet's book *Some Historical Account of Guinea*, London, 1788



in parts of Africa, the Middle East, and South Asia. In June and July 2007, 570 people who had been enslaved by brick manufacturers in Shanxi and Henan were freed by the Chinese government. Of those rescued, 69 of them were children. In response, the Chinese government assembled a force of 35,000 police to check northern Chinese brick kilns for slaves, sent dozens of kiln supervisors to prison, punished 95 officials in Shanxi province for dereliction of duty, and sentenced one kiln foreman to death for killing an enslaved worker.

In Mauritania alone, it is estimated that up to 600,000 men, women and children, or 20% of the population, are enslaved, many of them used as bonded labour. Slavery in Mauritania was criminalized in August 2007. In Niger, slavery is also a current phenomenon. A Nigerian study has found that more than 800,000 people are enslaved, almost 8% of the population. Child slavery has commonly been used in the production of cash crops and mining. According to the U.S. Department of State, more than 109,000 children were working on cocoa farms alone in Côte d'Ivoire (Ivory Coast) in 'the worst forms of child labor' in 2002.

## Etymology



Slave market in early medieval Eastern Europe. Painting by Sergei Ivanov

Prior to the 10th century, words other than "slave" were used for all kinds of unfree labourers. For instance, the old Latin word for "slave" was *servus*, which was used for both serfs and chattel slaves.

The word slave, in the English language, originates from the Middle English *sclave*, the Old French *esclave*, the Medieval Latin *sclavus* and ultimately from the early Greek *sklabos* (from *sklabenoi*) meaning "Slavic people". The term originally referred to various peoples from Eastern and Central Europe, as many Slavic and other people from these areas were captured and sold as slaves by a Holy Roman Emperor, Otto I (912–973), and his successors.

## Definitions

The 1926 Slavery Convention described slavery as "...the status and/or condition of a person over whom any or all of the powers attaching to the right of ownership are exercised..." Slaves cannot leave an owner, an employer or a territory without explicit permission (they must have a passport to leave), and they will be returned if they escape. Therefore a system of slavery — as opposed to the isolated instances found in any society — requires official, legal recognition of ownership, or widespread tacit

arrangements with local authorities, by masters who have some influence because of their social and/or economic status and their lives. The International Labour Organization (ILO) defines forced labour as "all work or service which is extracted from any person under the menace of any penalty and for which the said person has not offered himself voluntarily", albeit with certain exceptions of: military service, convicted criminals, emergencies and minor community services.

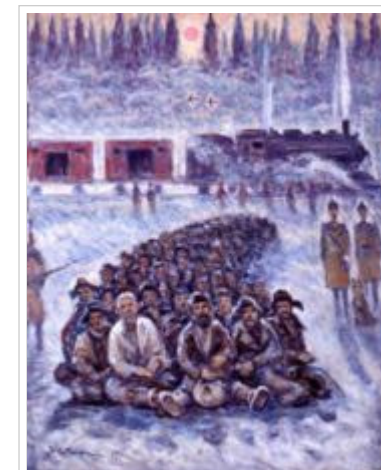
The current usage of the word **serfdom** is not usually synonymous with slavery, because medieval serfs were considered to have rights, as human beings, whereas slaves were considered "things" — property.



Slaves are people who are owned and controlled by others in a way that they have almost no rights or freedom of movement and are not paid for their labour, aside from food, clothing and shelter needed for basic subsistence.

## Other uses of the term

- The International Labour Organization says that child labour usually amounts to forced labour.
- Many anarchists, socialists, and communists have condemned "wage slavery" or "economic slavery", where workers are forced to choose between accepting wages perceived as too low for their work and not being paid at all (and so presumably starving). This is related to the notion of economic coercion.
- Some libertarians and anarcho-capitalists view government taxation as a form of slavery
- Some feel that military drafts and other forms of coerced government labor constitute slavery. Gladiators, for example, were often slaves, with Spartacus being a famous example.
- Some proponents of animal rights apply the term *slavery* to the condition of some or all human-owned animals, arguing that their status is no different from that of human slaves.
- Some feel that child support orders amount to slavery. (Labor is compelled in typical court orders, and loss of employment often results in jail time for nonsupport.)



Nikolai Getman Moving out.  
The Gulag Collection.

## History

The evidence for slavery predates written records. It can be found in almost all cultures and continents. Slavery can be traced to the earliest records, such as the Code of Hammurabi in Mesopotamia (~1800 BC), which refers to slavery as an already established institution. An important exception occurred under the reign of the Achaemenid Empire in Persia in 500 BC. The forced labor of women in some ancient and modern cultures may also be identified as slavery. Slavery, in this case, includes sexual services.

Historically, most slaves were captured in wars or kidnapped in isolated raids, but some persons were sold into slavery by their parents, or by themselves, as a means of surviving extreme conditions. Most slaves were born into that status, to parents who were enslaved. Ancient Warfare often resulted in slavery for prisoners and their families, who were either killed, ransomed or sold as slaves. Captives were often considered the property of those who captured them and were looked upon as a prize of war. Slavery may originally have been more humane than simply executing those who would return to fight if they were freed, but the effect led to widespread enslavement of particular groups of people. Those captured sometimes differed in ethnicity, nationality, religion, or race from their enslavers, but often were the same as the captors. The dominant group in an area might take captives and turn them into slaves with little fear of suffering the like fate. The possibility always existed of reversals of fortune, as when Seneca warned, at the height of the Roman Empire, when powerful nations fought among themselves, anyone might find himself enslaved.



*Captive Andromache* by Frederic Leighton, 1st Baron Leighton — a Trojan princess enslaved after the Trojan war



Brief sporadic raids or kidnapping could mean enslavement of persons otherwise not at war. St. Patrick recounted in his *Confession* having been kidnapped by pirates.

## In ancient societies

Ancient societies characterized by poverty, rampant warfare or lawlessness, famines, population pressures, and cultural and technological lag are frequently exporters of slaves to more developed nations. Today the illegal slave trade (mostly in Africa) deals with slaves who are rural people forced to move to cities, or those purchased in rural areas and sold into slavery in cities. These moves take place due to loss of subsistence agriculture, thefts of land, and population increases.

In many ancient cultures, persons (often including their family) convicted of serious crimes could be sold into slavery. The proceeds from this sale were often used to compensate the victims. The Code of Hammurabi (~1800 BC) prescribes this for failure to maintain a water dam, to compensate victims of a flood. The convicted criminal might be sold into slavery if he lacked the property to make compensation to the victims. Other laws and other crimes might enslave the criminal regardless of his property. Some laws called for the criminal and all his property to be handed over to his victim.

## Child slavery

People have been sold into slavery so that the money could be used to pay off their debts. This could range from a judge, king or Emperor ordering a debtor sold with all his family, to the poor selling off their own children to prevent starvation. In times of dire need such as famine, people have offered themselves into slavery not for a purchase price, but merely so that their new master would feed and take care of them.

In most institutions of slavery throughout the world, the children of slaves became the property of the master. Local laws varied as to whether the status of the mother or of the father determined the fate of the child, but it was usually determined by the status of the mother. In many cultures, slaves could earn their freedom through hard work and buying their own freedom. This was not possible in all cultures.



*The Slave Market* (c. 1884), painting by Jean-Léon Gerome.



According to the Anti-Slavery Society, "Although there is no longer any state which legally recognizes, or which will enforce, a claim by a person to a right of property over another, the abolition of slavery does not mean that it ceased to exist. There are millions of people throughout the world — mainly children — in conditions of virtual slavery, as well as in various forms of servitude which are in many respects similar to slavery." It further notes that slavery, particularly child slavery, was on the rise in 2003. It points out that there are countless others in other forms of servitude (such as peonage, bonded labor and servile concubinage) which are not slavery in the narrow legal sense. Critics claim they are stretching the definition and practice of slavery beyond its original meaning, and are actually referring to forms of unfree labour other than slavery.

## Slave work

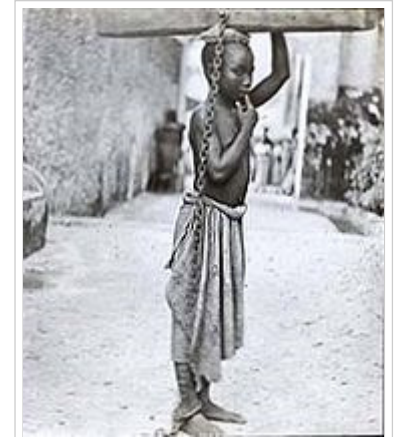
The type of work slaves did depended on the time period and location of their slavery. In general, they did the same work as everyone else in the lower echelons of the society they lived in but were not paid for it beyond room and board, clothing etc. The most common types of slave work are domestic service, agriculture, mineral extraction, army make-up, industry, and commerce. Prior to about the 18th century, domestic services were acquired in some wealthier households and may include up to four female slaves and their children on its staff. The chattels (as they are called in some countries) are expected to cook, clean, sometimes carry water from an outdoor pump into the house, and grind cereal. Most hired servants to do the same tasks.

Many slaves were used in agriculture and cultivation from ancient times through the 1800s. The strong, young men and women were sometimes forced to work long days in the fields, with little or no breaks for water or food. Since slaves were usually considered valuable property, they were usually taken care of in the sense that minimally adequate food and shelter were provided to maintain good health, and that the workload was not excessive to the point of endangering health. However, this was not always the case in many countries where they worked on land that was owned by absentee owners. The overseers in many of these areas literally worked the slaves to death.

In mineral extraction, the majority of the work, when done by slaves, was done nearly always by men. In some places, they mined the salt that was used during extensive trade in the 19th century.

Some of the men in ancient civilizations who were bought into chattel slavery were trained to fight in their nation's army and other military services. Chattel slaves were occasionally trained in artisan workshops for industry and commerce. The men worked in metalworking, while the females normally worked in either textile trades or domestic household tasks. The majority of the time, the slave owners did not pay the chattels for their services beyond room and board, clothing etc.

However, not all slaves were manual laborers or servants. In some societies slaves sometimes attained highly responsible positions. In the Bible, Joseph, for instance, was sold into slavery in Egypt by his brothers, who were jealous of his vanity (and his many-colored coat), but rose to become vizier to the Pharaoh. And the ranks of the Mamelukes, who ruled Egypt until being defeated by Napoleon in 1798, were filled by slaves from the Caucasus who were allowed to rule Egypt in exchange for maintaining its military defense.



Slavery in Zanzibar. 'An Arab master's punishment for a slight offence. The log weighed 32 pounds, and the boy could only move by carrying it on his head.' Unknown photographer, c. 1890.





## Female slavery

Female slaves were long traded to the Middle Eastern countries and kingdoms by Arab traders and sold into sexual slavery to work as concubines or prostitutes. Typically, females were sold at a lower price than their male counterparts, with one exception being when (predominantly) Irish women captured in Viking raids were sold to the Middle East in the 800-1200 period.

## Western slavery

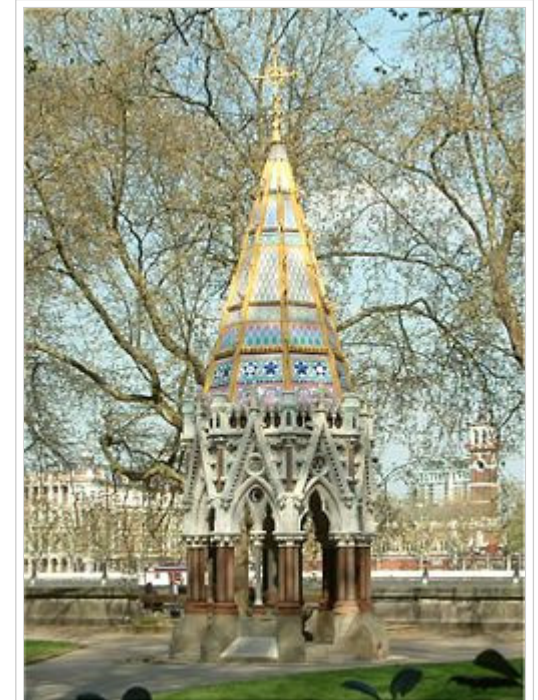
In the West, slavery ended during the Medieval period, only to be revived after the Renaissance and its appreciation of the organization of classical society (i.e. ancient Greece and Rome).

## Human trafficking

Trafficking in human beings, sometimes called **human trafficking**, or **sex trafficking** (as the majority of victims are women or children forced into prostitution), is not the same as people smuggling. A smuggler will facilitate illegal entry into a country for a fee, but on arrival at their destination, the smuggled person is free; the trafficking victim is enslaved. Victims do not agree to be trafficked: they are tricked, lured by false promises, or forced into it.

Traffickers use coercive tactics including deception, fraud, intimidation, isolation, threat and use of physical force, debt bondage or even force-feeding with drugs of abuse to control their victims. Whilst the majority of victims are women, and sometimes children, forced into prostitution, other victims include men, women and children forced into manual labour. Due to the illegal nature of trafficking, the exact extent is unknown. A US Government report published in 2003, estimates that 800,000-900,000 people worldwide are trafficked across borders each year. This figure does not include those who are trafficked internally.

## Economics



The Buxton Memorial Fountain, celebrating the emancipation of slaves in the British Empire in 1834, London.



Economists have attempted to model during which circumstances slavery (and milder variants such as serfdom) appear and disappear. One observation is that slavery becomes more desirable for land owners when land is abundant but labour is not, so paid workers can demand high wages. If labour is abundant but land is scarce, then it becomes more costly for the land owners to have guards for the slaves than to employ paid workers who can only demand low wages due to the competition. Thus first slavery and then serfdom gradually decreased in Europe as the population grew. It was reintroduced in the Americas and in Russia (serfdom) as large new land areas with few people become available.

Another observation is slavery is more common when the labour done is relatively simple and thus easy to supervise, such as large scale growing of a single crop. It is much more difficult and costly to check that slaves are doing their best and with good quality when they are doing complex tasks. Thus, slavery tends to decrease with technological advancements requiring more skilled people, even as they are able to demand high wages. Because of this, theoretical knowledge and learning in Greece—and later in Rome—was largely separated from physical labour and manufacturing.

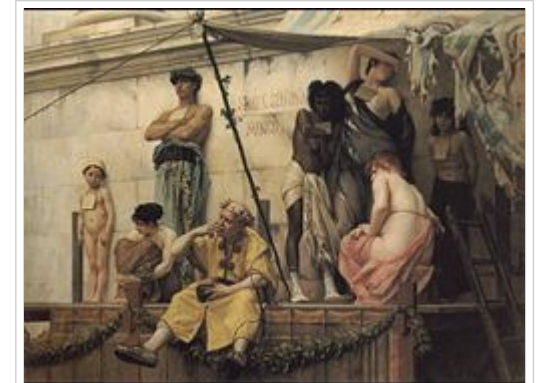
It has also been argued that slavery tends to retard technological advancement, since the focus is on increasing the number of slaves rather than improving the efficiency of labor. Some Russian scholars have argued that the Soviet Union's technological development was hindered by Stalin's use of slave labor.

## Contemporary slavery

Since 1945, debate about the link between economic growth and different relational forms (most notably unfree social relations of production in Third World agriculture) occupied many contributing to discussions in the development decade (the 1960s). This continued to be the case in the mode of production debate (mainly about agrarian transition in India) that spilled over into the 1970s, important aspects of which continue into the present (see the monograph by Brass, 1999, and the 600 page volume edited by Brass and van der Linden, 1997). Central to these discussions was the link between capitalist development and modern forms of unfree labour (peonage, debt bondage, indenture, chattel slavery). Within the domain of political economy it is a debate that has a very long historical lineage, and - accurately presented - never actually went away. Unlike advocacy groups, for which the number of the currently unfree is paramount, those political economists who participated in the earlier debates sought to establish who, precisely, was (or was not) to be included under the rubric of a worker whose subordination constituted a modern form of unfreedom. This element of definition was regarded as an epistemologically necessary precondition to any calculations of how many were to be categorized as relationally unfree.

There are three general types of slavery today: wage slaves, contract slaves, and slaves in the traditional sense.

- Wage slavery** often occurs in underdeveloped areas, where employers can afford to employ people at low wages, knowing they can't afford to risk their employment. Most child laborers for example, can be considered to be wage slaves. Marxists and anarchists, however, use the term more broadly to refer to a situation in which a person must sell his or her labor power, submitting to the authority of an employer in order to prosper or merely to subsist; creating a hierarchical social condition in which a person chooses a job but only within a coerced set of choices (e.g. work for a boss or starve) which usually excludes democratic worker's control of the workplace and the economy as a whole and unconditional access to food, shelter and health care.



Gustave Boulanger's painting *The Slave Market*.



- **Contract slaves** are generally poor, often illiterate, people who have been tricked into signing contracts they do not understand.
- **Slavery in its traditional sense** is still very active; only its activities are carried out underground. Actual slavery is still carried out much the same way it has been for centuries: people, often women and children, are abducted (usually from underdeveloped countries such as those in the Middle East, South America, Asia, Africa and the former Soviet Bloc countries), loaded aboard a ship and smuggled to a foreign country (usually Asia or the Middle East) and they are sold, the men and male children sold for labor, while the women and girls for domestic slavery or to work as unwilling prostitutes primarily in Asia and the West.

A combination of wage and contract slavery is found in Sarawak mining towns among Indonesian Dayak immigrants looking for work. They have to buy the tools they need to work with, but often don't have the required money, so they need to buy them on a loan. Then they discover that local food is so expensive that all their wages are spent on that, so they can't pay off the loan and are forced by law to keep working for no gain.

Slavery still exists today all across the world. Groups such as the American Anti-Slavery Group, Anti-Slavery International and Free the Slaves, the Anti-Slavery Society, and the Norwegian Anti-Slavery Society continue to campaign to rid the world of slavery.

On December 10, 1948, the General Assembly of the United Nations adopted the Universal Declaration of Human Rights. Article 4 states:

*No one shall be held in slavery or servitude; slavery and the slave trade shall be prohibited in all their forms.*

Since 1997, the United States Department of Justice has, through work with the Coalition of Immokalee Workers, prosecuted six individuals on charges of slavery in the agricultural industry. These prosecutions have led to freedom for over 1000 slaves in the tomato and orange fields of South Florida.

This is only one example of the contemporary fight against slavery worldwide, which is especially pervasive in agriculture, apparel and the sex industry.

In the contemporary United States, the mantle of "abolitionist" has been widely embraced by those who seek to abolish the death penalty, those advocating immigration rights, and anarchists seeking to abolish the state.

## **Abolitionist movements**

### **History of abolitionism**



Slavery has existed, in one form or another, through the whole of recorded human history — as have, in various periods, movements to free large or distinct groups of slaves. According to the Biblical Book of Exodus, Moses led Israelite slaves out of ancient Egypt — possibly the first written account of a movement to free slaves. Later Jewish laws (known as Halacha) prevented slaves from being sold out of the Land of Israel, and allowed a slave to move to Israel if he so desired. The Cyrus Cylinder, inscribed about 539 BC by the order of Cyrus the Great of Persia, abolished slavery and allowed Jews and other nationalities who had been enslaved under Babylonian rule to return to their native lands. Abolitionism should be distinguished from efforts to help a particular group of slaves, or to restrict one practice, such as the slave trade.

There were celebrations in 2007 to commemorate the 200th anniversary of the Abolition of the slave trade in the United Kingdom. William Wilberforce received much of the credit although the groundwork was an anti-slavery essay by Thomas Clarkson. Wilberforce was also urged by his close friend, Prime Minister William Pitt, to make the issue his own. After the abolition act was passed these campaigners switched to encouraging other countries to follow suit, notably France.

Abolitionist pressure in the United States produced a series of small steps forward. After January 1, 1808, the importation of slaves into the United States was prohibited, but not the internal slave trade, nor involvement in the international slave trade externally. Legal slavery persisted; and those slaves already in the U.S. would not be legally emancipated for another 60 years.

## Apologies

On May 21, 2001, the National Assembly of France passed the Taubira law, recognizing slavery as a crime against humanity. At the same time the British, Spanish, Dutch and Portuguese delegations declined to give an apology for the slave trade and limited to give a "regret." This is probably due to the legal implications of such a statement. It is worth to mention that it is uncertain whether the apology of these four nations are for "slave trade" or "slavery". Apologies on behalf of African nations, for their role in trading their countrymen into slavery, also remain an open issue since slavery was practiced in Africa even before the first Europeans arrived and the Atlantic slave trade was performed with a high degree of involvement of several African societies. The black slave market was supplied by well-established slave trade networks controlled by local African societies and individuals. Indeed, as already mentioned in this article, slavery persists in several areas of West Africa until the present day.

"There is adequate evidence citing case after case of African control of segments of the trade. Several African nations such as the Ashanti of Ghana and the Yoruba of Nigeria had economies depended solely on the trade. African peoples such as the Imbangala of Angola and the Nyamwezi of Tanzania would serve as middlemen or roving bands warring with other African nations to capture Africans for Europeans."

Several historians have made important contributions to the global understanding of the African side of the Atlantic slave trade. By arguing that African merchants determined the assemblage of trade goods accepted in exchange for slaves, many historians argue for African agency and ultimately a shared



Three Abyssinian slaves in chains



responsibility for the slave trade.

The issue of an apology is linked to reparations for slavery and is still being pursued by a number of entities across the world. For example, the Jamaican Reparations Movement approved its declaration and action Plan.

In September, 2006, it was reported that the UK Government may issue a "statement of regret" over slavery, an act that was followed through by a "public statement of sorrow" from Tony Blair on November 27, 2006.

On February 25, 2007 the state of Virginia resolved to 'profoundly regret' and apologize for its role in the institution of slavery. Unique and the first of its kind in the U.S., the apology was unanimously passed in both Houses as Virginia approached the 400th anniversary of the founding of Jamestown, where the first slaves were imported into North America in 1619.

On August 24, 2007, Mayor Ken Livingstone of London, England apologized publicly for Britain's role in colonial slave trade. "You can look across there to see the institutions that still have the benefit of the wealth they created from slavery," he said pointing towards the financial district. He claimed that London was still tainted by the horrors of slavery. Jesse Jackson praised Mayor Livingstone, and added that reparations should be made.

## Reparations

Sporadically there have been movements to achieve reparations for those formerly held as slaves, or sometimes their descendants. Claims for reparations for being held in slavery are handled as a civil law matter in almost every country. This is often decried as a serious problem, since former slaves' relative lack of money means they often have limited access to a potentially expensive and futile legal process. Mandatory systems of fines and reparations paid to an as yet undetermined group of claimants from fines, paid by unspecified parties, and collected by authorities have been proposed by advocates to alleviate this "civil court problem". Since in almost all cases there are no living ex-slaves or living ex-slave owners these movements have gained little traction. In nearly all cases the judicial system has ruled that the statute of limitations on these possible claims has long since expired.

Nonetheless, from time to time information is circulated (often through e-mail) to United States residents describing a \$5000 "slavery tax credit", passed into law under President Bill Clinton's administration during the 1990s, but never announced to the public. No such credit exists, and persons attempting to promote or take advantage of the alleged credit are subject to prosecution. (See Slavery reparations scam for further information.) A similar scam involves a "tax credit" available to Native Americans.

## Religion and slavery

Some argue that the Bible condones slavery in Ancient Israelite society by failing to condemn the widespread existing practice present in other cultures. It also explicitly states that under certain circumstances, slavery is morally acceptable. Nonetheless the Bible was used, before and during the American Civil War, by both slaveholders and abolitionists to justify their views. A significant theme in the Bible is deliverance from slavery, as in the Exodus story and in the sense of deliverance from sin. A familiar quotation from the Christian Bible appears in both Isaiah 61:1-2 and Luke 4:17-19:



And there was delivered unto him the book of the prophet Isaiah. And when he [Jesus] had opened the book, he found the place where it was written, "The Spirit of the Lord is upon me, because he hath anointed me to preach the gospel to the poor; he hath sent me to heal the brokenhearted, to preach deliverance to the captives, and recovering of sight to the blind, to set at liberty them that are bruised, to preach the acceptable year of the Lord."

Retrieved from "<http://en.wikipedia.org/wiki/Slavery>"

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# Spanish conquest of the Inca Empire

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The **Spanish conquest of the Inca Empire** was a process through which a group of Spaniards led by Francisco Pizarro succeeded in toppling the Inca Empire in the early 16th-century, as part of the discovery and conquest of the new world. They took advantage of a recent civil war in the empire (between the groups of the brothers: Atahualpa and Huascar) to capture the ruling monarch, Inca in the city of Cajamarca on November 15, 1532. Today it is called the Siege of the Incas. In the following years the conquistadors managed to consolidate their power over the whole Andean region, repressing successive indigenous rebellions until the establishment of the Viceroyalty of Perú in 1542 and the fall of the resistance of Vilcabamba in 1572.

## Background

By the early 16th century, the Inca empire had seen many years of strong leadership under Huayna Capac. However, the emperor and his designated heir, Ninan Coyuchi, died probably of smallpox. The ensuing war of succession between the Panakas (royal lines) weakened the Inca leadership and contributed to its speedy downfall. At the centre of the conflict were the two main contenders, Huascar and Atahualpa, who were both sons of Huayna Capac.

Huascar may have been intended by his father as the new emperor, though no records remain to confirm this. Huascar reigned in the southern regions of the empire, where he was well-liked despite being known for his cruelty—he came close to murdering his sister and mother. Atahualpa, on the other hand, was chosen to govern the northern territory known as the Kingdom of Quito, which was located in modern-day Ecuador and southern Colombia.

After a few years of relative peace, war broke out between the two brothers. It is estimated that 100,000 people were killed in this bloody dispute. After many struggles, Atahualpa, teetering towards insanity, finally defeated Huascar, and treated the losers terribly.

After sending Huascar to prison, Atahualpa took the throne, but the conflict and his cruelty contributed to the weakening of the empire at the critical moment at which the Spanish conquistadors under Francisco Pizarro arrived.

## Arrival of Pizarro

Francisco Pizarro and his brothers ( Gonzalo, Juan, and Hernando) were attracted by the news of a rich and fabulous kingdom.



One of the main events in the conquest of the Inca Empire was the death of Atahualpa, the last Sapa Inca on 29 August 1533



*There lies Peru with its riches;  
Here, Panama and its poverty.  
Choose, each man, what best becomes a brave Castilian.*  
— **Francisco Pizarro**

They arrived to Inca territory in 1531, which they called **Peru**. According to historian Raúl Porras Barrenechea, **Peru** is not a Quechuan nor Caribbean word, but Indo-Hispanic or Hybrid.

After three long expeditions, Pizarro established the first Spanish settlement in northern Peru, calling it San Miguel de Piura. On July 1532. Pizarro sent his fellow conquistador, Hernando de Soto, to explore the land and soon returned with an envoy from the emperor Atahualpa, bringing presents and an invitation for a meeting with the Spanish.

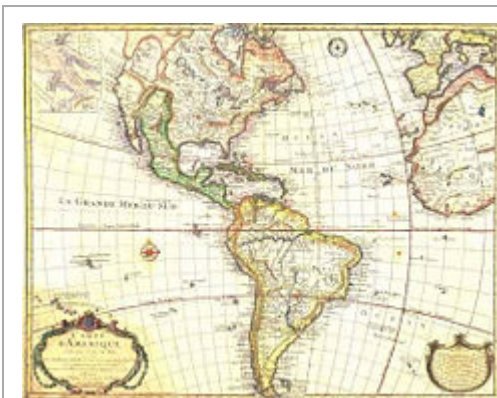
## Capture of Atahualpa

After his victory over his brother, Atahualpa began his southward march from Quito to claim the Inca throne in Cusco. Atahualpa had heard tales of "white bearded men" approaching his territory. Some accounts say that Atahualpa sent messengers with presents to Pizarro and his men to induce them to leave, and others contend that it was Pizarro who sent a messenger to Atahualpa requesting a meeting. Most accounts agree, however, that Atahualpa met with Pizarro voluntarily.

Atahualpa and his forces met with the Spaniards at Cajamarca on the evening of November 15th. Rather than meeting with Atahualpa himself, Pizarro sent Hernando de Soto, friar Vincente de Valverde and native interpreter Felipillo to speak with the Inca leader. De Soto spoke with Atahualpa for a while and told them that they were emissaries from King Charles I of Spain. They also said they came in peace and were prepared to serve him against his enemies. Atahualpa nearly scoffed at that as he believed their behaviour was not what one would expect of embassies and emissaries. In fact he knew of their earlier atrocities against the nuns dedicated to serve the god Inti in his temple. He demanded a full accounting of their behaviour in his country and an apology from their leader Pizarro. He did however agree to meet with them in the city the next day.

De Soto noticed the sight of his horses were unnerving some of the Inca's attendants so with an incredible display of horsemanship, he performed the tricks an experienced horseman would do. He stopped short of the Inca with the horse just inches away from Atahualpa. While this frightened the attendants, the Inca was unblinking. This told the Spaniards that they were not dealing with a fearful one like Moctezuma II in Mexico and it gave them even more fear the night of the 15th and early on the 16th. However it gave Pizarro the idea he needed to win Peru.

The next morning, Pizarro had his men strategically placed around the square where they were to meet. When



**Spanish colonization of the Americas**  
**History of the conquest**

Inter caetera  
Alaska  
California  
Florida  
Guatemala  
Mexico  
Peru





Atahualpa came with 4,000 unarmed soldiers and attendant, Friar Valverde spoke with him about the Spanish presence in his lands as well as engaged in a poorly executed attempt to explain to him the precepts of the Catholic religion, an attempt which was certainly not helped by an unskilled translator. After doing so, he offered Atahualpa a Bible in the expectation that he and his men would immediately convert to Christianity or be considered an enemy of the Church and of Spain by the Spanish Crown. While Atahualpa did not succeed in this he had planned to meet with Pizarro to capture him and kill Pizarro and his commanders. However, he planned to keep the necessary specialists (gun-men, cavalry, etc.) to help train his army.



The Inca-Spanish confrontation in the Battle of Cajamarca left thousands of natives dead

Atahualpa stated that he was no one's vassal and asked where they got their authority to do this. A popular but widely disputed legend states that Valverde pointed to the Book saying that it contained God's word and handed it over to Atahualpa. Supposedly, when the Inca was presented with the Book he shook it close to his ear and asked "Why doesn't it speak to me?" Having literally never seen a book before, he then threw the unfamiliar object aside. Supposedly, this is what gave the Spanish a reason to attack, starting the Battle of Cajamarca on November 16, 1532. Though the historical accounts relating to these circumstances vary, the true motivations for the attack seemed to be a desire for loot and flat-out impatience, in that the Inca did not adequately understand the Conquistadores' demands. Pizarro executed Atahualpa's 12-man honour guard and took the Inca captive at the so-called ransom room, where they demanded a lofty sum of precious gems and metals to be exchanged for Atahualpa.

Although largely unarmed, the fact that a small number of Spanish troops were able to defeat the thousands Inca warriors at Cajamarca is attributable to many factors, among them that the Spanish had caballeros. The fact that the Inca Empire had a highly centralized chain of command correlated with the emperor's well-being or military victories, created a fictional perception of how the various gods perceived the Inca to either soldiers or commoners alike. This meant that not only the advent of the Spaniards holding the emperor hostage effectively paralyzed the empires' forces for a time.

The Spanish weapons included heavy metal swords and shields, some had guns and perhaps cannons; the Inca's weapons were by far inferior to those of the Spaniards. The Inca used heavy cloth, wood, and leather for their armor, and their weapons were made of sharpened stones and wood that they used as spears as well as bows and arrows. Nevertheless, there were many more Incas than Spaniards; this added to the Inca's inability to comprehend the threat of the Spanish.

The Incas were eventually defeated due to inferior weapons, 'open battle' tactics, disease, internal unrest, the cunning, boldness and steely courage of the Spanish, and the capture of their emperor. Some of the same factors contributed to the success of similar, small Spanish bands against the Aztecs and other Andean civilizations. However, ensuing hostilities like the Mixtón Rebellion, Chichimeca War, and Arauco War would require that the conquistadors sometimes ally with friendly tribes in these later expeditions. Many of the guns used by the Spaniards were obsolete and clumsy to use in the close-combat situations that

## Yucatán

### Conquistadores

Vasco Núñez de Balboa  
 Francisco Vázquez de Coronado  
 Hernán Cortés  
 Juan Ponce de León  
 Francisco de Montejo  
 Pánfilo de Narváez  
 Francisco Pizarro  
 Diego de Almagro  
 Hernando de Soto  
 Sebastián de Belalcázar  
 Pedro de Valdivia  
 Juan de Oñate  
 Francisco de Orellana



the Spanish found themselves in, and most natives adapted in 'guerrilla fashion' by only shooting at the legs of the conquistadors if they happened to be unarmored. During Atahualpa's captivity, the Spanish, although greatly outnumbered, forced him to order his generals to back down by threatening to kill him if he did not. According to the Spanish envoy's demands, Atahualpa offered to fill a large room with gold and promised the Spanish twice that amount in silver. While Pizarro ostensibly accepted this offer and allowed the gold to pile up, he had no intention of releasing the Inca; he needed Atahualpa's influence over his generals and the people in order to maintain the peace.

Atahualpa feared that if Huascar came into contact with the Spanish, he would be so useful to them that Pizarro would no longer need Atahualpa and have him killed. To avoid this, Atahualpa ordered Huascar's execution, which took place not far from Cajamarca according to some chronicles. Others mentioned that Huascar had been previously killed in battle, and a few others that Huascar was killed before Pizarro's arrival.

In the end, this tactic was futile; months passed, and as it became clear to Atahualpa that the Spanish did not intend to free him, he began to call on his generals to launch an attack on the Spanish. Still outnumbered and fearing an imminent attack from the Inca general Rumiñahui, the Spanish began to see Atahualpa as too much of a liability. He was charged with 12 crimes, the most grave being attempting to revolt against the Spanish, practicing idolatry and murdering his brother, Huascar. He was found guilty of all 12 charges and garroted on July 26, 1533.

## Rebellion and reconquest

The situation went quickly downhill. As things began to fall apart, many parts of the Inca Empire revolted, some of them joining with the Spanish against their own rulers. Many kingdoms and tribes had been conquered or persuaded to join the Inca empire. They thought that by joining the Spaniards, they could gain their own freedom. But these native people never foresaw the massive waves of Spaniard immigrants coming to their land and the tragedy that they would bring upon their people.

After Atahualpa's execution, Pizarro installed Atahualpa's brother, Tupac Huallpa, as a puppet Inca ruler, but he soon died unexpectedly, leaving Manco Inca Yupanqui in power. He began his rule as an ally of the Spanish and was respected in the southern regions of the empire, but there was still much unrest in the north near Quito where Atahualpa's generals were amassing troops. Atahualpa's death meant that there was no hostage left to deter these northern armies from attacking the invaders. Led by Atahualpa's generals Rumiñahui, Zope-Zupahua and Quisquis, the native armies inflicted considerable damage on the Spanish. In the end, however, the Spanish succeeded in re-capturing Quito, effectively ending any organized rebellion in the north of the empire.

Manco Inca initially had good relations with Francisco Pizarro and several other Spanish conquistadors. However, in 1535 he was left in Cusco under the control of Pizarro's brothers, Juan and Gonzalo, who so mistreated Manco Inca that he ultimately rebelled. Under the pretense of performing religious ceremonies in the nearby Yucay valley, Manco was able to escape Cusco.



Spaniards executing Tupac Amaru, the last Inca of Vilcabamba, in 1572

Diego de Almagro, originally one of Francisco Pizarro's party, returned from his exploration of Chile, disappointed in not finding any wealth similar to that of Peru. King Charles I of Spain (Holy Roman Emperor Charles V) had awarded the city of Cuzco to Pizarro, but Almagro attempted to claim the city nonetheless. Manco Inca hoped to use the disagreement between Almagro and Pizarro to his advantage and attempted the recapture of Cuzco during the spring of 1537. The siege of Cuzco was waged until the following spring, and during that time Manco's armies managed to wipe three relief columns sent from Lima, but was ultimately unsuccessful in its goal of routing the Spaniards from the city. The Inca leadership did not have the full support of all its subject peoples and furthermore, the degrading state of Inca morale coupled with the superior Spanish siege weapons soon made Manco Inca realize his hope of recapturing Cuzco was failing. Manco Inca eventually withdrew to Vilcabamba after only 10 months of fighting, and therefore, the Spanish reinforcements from the Indies arriving under the command of Diego de Almagro eventually took the city once again without conflict.

After the Spanish regained control of Cuzco, Manco Inca and his armies retreated to the fortress at Ollantaytambo where he, for a time, successfully launched attacks against Pizarro based at Cuzco and even managed to defeat the Spanish in an open battle. However, when it became clear that defeat was imminent, they retreated further to the mountainous region of Vilcabamba, where the Manco Inca continued to hold some power for several more decades. His son, Túpac Amaru, was the last Inca. After deadly confrontations, he was murdered by the Spanish in 1572.

The Spaniards destroyed almost every Inca building in Cuzco, built a Spanish city over the old foundations, and proceeded to colonize and exploit the former empire.

In total, the conquest took about forty years to complete. Many Inca attempts to regain the empire had occurred, but none had been successful. Thus the Spanish conquest was achieved through relentless force, legendary courage and remarkable cunning, aided by factors like smallpox and a great communication and cultural divide. The Spaniards destroyed most of the Incan culture and introduced the Spanish culture to the native population.

### Important Years:

- 1532 - Spaniards capture Atahualpa and force him to paralyze his army
- 1533 - Atahualpa's brother Huascar and then Athahualpa himself are killed. Cuzco seized, Inca army defeated
- 1534 - Northern Inca army defeated, Quito destroyed
- 1535 - Lima is founded, expedition by Diego de Almagro marches south to Chile
- 1536 - Manco Inca reclaim much of Cuzco, but fail to capture Lima
- 1537 - Manco Inca is defeated in Cuzco, his grand army - the last of Incas - disbanded
- 1572 - The last Sapa Inca, Tupac Amaru, is executed and last sanctuary Vilcabamba captured

## Aftermath



Struggle for power opposed Francisco Pizarro and Diego de Almagro and resulted in a long civil war. Almagro was killed. Then Almagro's descendants venged his death by killing Pizarro. Despite the war, the Spaniards did not neglect the colonizing process. Its most significant act was the foundation of Lima in January, 1535, from which the political and administrative institutions were organized. The necessity of consolidating a Spanish Real Authority on these territories, led to the creation of a Real Audiencia (Royal Audience). In 1542, the Spanish created the Viceroyalty of New Castilla, that shortly after would be called Viceroyalty of Peru. Nevertheless, the Viceroyalty of Peru was not organized until the arrival of the Viceroy Francisco de Toledo in 1572. Toledo ended the indigenous state of Vilcabamba, executing the Inca Tupac Amaru. He also promoted the economic development from the commercial monopoly and the mineral extraction of the argentiferous mines of Potosí, using the Inca institution called *mita*.

## In fiction

The conquest of the Incas is dramatized in Peter Shaffer's play *The Royal Hunt of the Sun*. In the play, Pizarro, Atahualpa, Valverde and other historical figures appear as characters.

The conquest is also used as a starting point for the Matthew Reilly novel *Temple*, where the siege of Cusco is used. Many historical figures are mentioned, especially Pizarro who is mentioned as the pursuer of the protagonist.

The Inca are featured in the third Campaign in Age of Empires 3, having a Lost City hidden in the Andes. The player has to make his/her way through a blizzard in the mountains before reaching a verdant valley containing the hidden Inca City. They are also in the Multiplayer, found primarily in the areas making up Chile and Argentina. They have spearmen, bola-throwers, and have (as upgrades), the great Inca road systems, cotton armor, and Chasquis messengers. This section of the Campaign is set after the conquest of the Inca, and the player has to fend off a separate attack similar to the Spanish Conquest.

## Quotes

When has it ever happened, either in ancient or modern times, that such amazing exploits have been achieved? Over so many climes, across so many seas, over such distances by land, to subdue the unseen and unknown? Whose deeds can be compared with those of Spain? Not even the ancient Greeks and Romans.

— Francisco Xerez, *Report on the Discovery of Peru*

When I set out to write for the people of today and of the future, about the conquest and discovery that our Spaniards made here in Peru, I could not but reflect that I was dealing with the greatest matters one could possibly write about in all of creation as far as secular history goes. Where have men ever seen the things they have seen here? And to think that God should have permitted something so great to remain hidden from the world for so long in history, unknown to men, and then let it be found, discovered and won all in our own time!

— Pedro Cieza de León, *Chronicles of Peru*

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# Spanish Empire

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The **Spanish Empire** was one of the largest empires in history and one of the first global empires.

In the 15th and 16th centuries, Spain was in the vanguard of European global exploration and colonial expansion. Spain opened trade routes across the oceans, with trade flourishing across the Atlantic Ocean between Spain and America and across the Pacific Ocean between Asia-Pacific and Mexico via the Philippines. Conquistadors toppled the Aztec and Inca civilizations, and laid claim to vast stretches of land in North and South America. For a time, the Spanish Empire was the foremost global power, dominating the oceans with its experienced navy and ruling the European battlefield with its infantry ( *tercios* ). Spain enjoyed a cultural golden age in the 16th and 17th centuries.

From the middle of the 16th century, silver and gold from American mines increasingly financed the military capability of Habsburg Spain in its long series of European and North African wars. In the 17th and 18th centuries, the Spanish empire maintained the largest territory in the world, although it suffered fluctuating military and economic fortunes from the 1640s. Confronted by the new experiences, difficulties and suffering created by empire-building, Spanish thinkers formulated some of the first modern ideas on natural law, sovereignty, international law, war, and economics — even questioning the legitimacy of imperialism — in related schools of thought called the School of Salamanca.

Constant contention with rival powers caused territorial, commercial, and religious conflict that contributed to the slow decline of Spanish power from the mid-17th century. In the Mediterranean, Spain warred constantly with the Ottoman Empire; on the European continent, France became comparably strong. Overseas, Spain was initially rivaled by Portugal, and later by the English and Dutch. In addition, English-, French-, and Dutch-sponsored piracy, overextension of Spanish military commitments in its territories, increasing government corruption, and economic stagnation caused by military expenditures ultimately contributed to the empire's weakening.

Spain's European empire was finally undone by the Peace of Utrecht ( 1713 ), which stripped Spain of its remaining territories in Italy and the Low Countries. Spain's fortunes improved thereafter, but it remained a second rate power in continental European politics.



An anachronous map of the overseas Spanish Empire (1492-1898) in red, and the Spanish Habsburg realms in Europe (1516-1714) in orange.



However, Spain maintained and enlarged its vast overseas empire until the 19th century, when the shock of the Peninsular War sparked declarations of independence in Quito (1809), Colombia (1810), Venezuela and Paraguay (1811) and successive revolutions that split away its territories on the mainland (the Spanish Main) of America. Spain retained significant fragments of its empire in the Caribbean (Cuba and Puerto Rico); Asia (Philippines), and Oceania (Guam, Micronesia, Palau, and Northern Marianas) until the Spanish–American War of 1898. Spanish participation in the Scramble for Africa was minimal: Spanish Morocco was held until 1956 and Spanish Guinea and the Spanish Sahara were held until 1968 and 1975 respectively. The Canary Islands, Ceuta, Melilla are administrative divisions that have remained part of Spain and, Isla de Alborán, Isla Perejil, Islas Chafarinas, Peñón de Alhucemas, and Peñón de Vélez de la Gomera are territories which have remained part of Spain. Also, according to the UN " Spanish Sahara/Western Sahara," annexed by Morocco in 1976, is still technically under Spanish Administration.



Flag used by Imperial Spain (16th to 18th centuries)

## Definition

The Spanish Empire includes Spain's overseas colonies in America, Asia-Pacific, and Africa, but some disputes exist as to which European territories are to be counted. For instance, traditionally, territories such as the Low Countries were included as they were part of the possessions of the King of Spain, governed by Spanish officials, and defended by Spanish troops. However, authors like the British historian Henry Kamen contend that these territories were never integrated into a "Spanish" state and instead formed part of the wider Habsburg estate. Because of this, many historians use "Habsburg" and "Spanish" almost interchangeably when referring to the dynastic inheritance of Charles V or Philip II.

Similarly, it seems to be a matter of preference whether one counts as "Spanish" the Bourbon Kingdom of Naples in the 18th century, which, while dynastically and military aligned with Spain, remained a constitutionally separate state. The problem is compounded by the evolving definition of "Spain" itself, which, though unified by the crown, was still in some sense a collection of separate kingdoms, namely Castile, Aragon, and Navarre.

Although Spain and Portugal were united in a " personal union" between 1580 and 1640, a period now referred to as the Iberian union, the crowns of Portugal and Spain were kept separate: Philip was Philip II of Spain and Philip I of Portugal. Portugal remained a separate state and the Portuguese empire was administered separately from the Spanish Empire.

## The origins of the Empire (1402–1521)



Three instances of powers that were to play an important part in the Spanish empire are to be recognized in the Aragonese, the Burgundian and the Portuguese empires. Meanwhile, during the last 250 years of the Reconquista era, the Castilian monarchy, tolerated the small Moorish *taifa* client-kingdom of Granada in the south-east by exacting tributes of gold, the *parias*, and, in so doing, ensuring that gold from the Niger region of Africa entered Europe. Castile also intervened in Northern Africa itself, competing with the Portuguese Empire, when Henry III of Castile began the colonization of the Canary Islands in 1402, authorizing under feudal agreement to Norman noblemen Jean de Béthencourt. The conquest of Canary Islands, inhabited by Guanche people, was only finished when the own armies of the Crown of Castille won in long and bloody wars, the islands of Gran Canaria (1478-1483), La Palma (1492-1493) and Tenerife (1494- 1496).

The marriage of the Reyes Católicos ( Ferdinand II of Aragon and Isabella I of Castile) created a confederation of reigns, each with their own administrations, but ruled by a common monarchy. According to Henry Kamen, Spain was created by the Empire, rather than the Empire being created by Spain.



Anachronous map of the Crown of Aragon.



Surrender of Granada's king in the presence of the Catholic Kings.

In 1492, Spain drove out the last Moorish king of Granada. After their victory, the Spanish monarchs negotiated with Christopher Columbus, a Genoese sailor attempting to reach Cipangu by sailing west. Castile was already engaged in a race of exploration with Portugal to reach the Far East by sea when Columbus made his bold proposal to Isabella. Columbus instead "inadvertently" discovered America, inaugurating the Spanish colonization of the continent. The Indies were reserved for Castile.

The claim of Spain to these lands was solidified by the *Inter caetera* papal bull of 1493, and by the immediately following Treaty of Tordesillas of 1494, in which the globe was divided into two hemispheres between Spanish and Portuguese claims. These actions gave Spain exclusive rights to establish colonies in all of the New World from Alaska to Cape Horn (except Brazil), as well as the easternmost parts of Asia. The Castilian Empire was the result of a period of rapid colonial expansion into the New World, as well as the Philippines and colonies in Africa: Melilla was captured by Castile in 1497 and Oran in 1509.

The Catholic Monarchs decided to support the Aragonese house of Naples against Charles VIII of France in the Italian Wars from 1494. As king of Aragon, Ferdinand had been involved in the struggle against France and Venice for control of Italy; these conflicts became the centre of Ferdinand's foreign policy as king. In these battles, which established the supremacy of the Spanish infantry against French knights, Gonzalo Fernández de Córdoba would forge the nearly invincible Spanish army of the 16th and early 17th centuries.



Christopher Columbus taking possession of La Española.





The death of French general Gaston de Foix at the Battle of Ravenna (1512)

After the death of Queen Isabella, Ferdinand as Spain's sole monarch adopted a more aggressive policy than he had as Isabella's husband, enlarging Spain's sphere of influence in Italy and against France. Ferdinand's first investment of Spanish forces came in the War of the League of Cambrai against Venice, where the Spanish soldiers distinguished themselves on the field alongside their French allies at the Battle of Agnadello (1509). Only a year later, Ferdinand became part of the Holy League against France, seeing a chance at taking both Milan — to which he held a dynastic claim — and Navarre. The war was less of a success than that against Venice, and in 1516, France agreed to a truce that left Milan in her control and recognized Spanish control of Upper Navarre.

Upon the settlement of Hispaniola which was successful in the early 1500s, the colonists began searching elsewhere to begin new settlements. Those from the less prosperous Hispaniola were eager to search for new success in a new settlement. From there Juan Ponce de León conquered Puerto Rico and Diego Velázquez took Cuba. The first settlement on the mainland was Darién in Panama, settled by Vasco Núñez de Balboa in 1512.

In 1513, Balboa crossed the Isthmus of Panama, and led the first European expedition to see the Pacific Ocean from the west coast of the New World. In an action with enduring historical import, Balboa claimed the Pacific Ocean and all the lands adjoining it for the Spanish Crown.

The coastal villages and towns of Spain, Italy and Mediterranean islands were frequently attacked by Barbary pirates from North Africa, the Formentera was even temporarily left by its population and long stretches of the Spanish and Italian coasts were almost completely abandoned by their inhabitants. The most famous corsair was the Turkish Barbarossa ("Redbeard"). According to Robert Davis between 1 million and 1.25 million Europeans were captured by North African pirates and sold as slaves in North Africa and Ottoman Empire between the 16th and 19th centuries.

## The Sun Never Sets (1521–1643)



The 16th and 17th centuries are sometimes called "the Golden Age of Spain" (in Spanish, *Siglo de Oro*). As a result of the marriage politics of the *Reyes Católicos*, their grandson Charles inherited the Castilian empire in America, the Aragonese Empire in the Mediterranean (including a large portion of modern Italy), as well as the crown of the Holy Roman Empire and of the Low Countries and Franche-Comté. Thus this Empire was constituted from the inheritance of territories, and not through conquest. After his defeat of the Castilian rebels in the Castilian War of the Communities, Charles became the most powerful man in Europe, his rule stretching over an empire in Europe unrivalled in extent until the Napoleonic era. It was often said during this time that it was the empire on which the sun never set. This sprawling empire of the Spanish Golden Age was controlled, not from distant inland Madrid, but from Seville.

Commercially this Castilian Empire abroad was initially a disappointment. It did stimulate some trade and industry. In the 1520s the large scale extraction of silver from the rich deposits of Mexico's Guanajuato began, but it was not until the opening of the silver mines in Mexico's Zacatecas and Peru's Potosi in 1546 that the large shipments of silver became the fabled source of wealth. During the sixteenth century, Spain held the equivalent of US\$1.5 trillion (1990 terms) in gold and silver received from New Spain. Ultimately, however, these imports diverted investment away from other forms industry and contributed to inflation in Spain in the last decades of the 16th century. This situation was aggravated (but nothing like as much as popular myth asserts) by the loss of many from the commercial and artisan classes with the expulsions of the Jews and Moriscos. The vast imports of silver ultimately made Spain overly dependent on foreign sources of raw materials and manufactured goods.

The wealthy preferred to invest their fortunes in public debt (*juros*), which were backed by these silver imports, rather than in production of manufactures and the improvement of agriculture. This helped perpetuate the medieval aristocratic prejudice that saw manual work as dishonorable long after this attitude had started to decline in other west European countries. The silver and gold whose circulation helped facilitate the economic and social revolutions taking place in the Low Countries, France and England and other parts of Europe helped stifle them in Spain. The problems caused by inflation were discussed by scholars at the School of Salamanca and *arbitristas* but they had no impact on the Habsburg government.

The Habsburg dynasty squandered the American and Castilian riches in wars across Europe for Habsburg interests, defaulted on their debt several times, and left Spain bankrupt (with the tensions between the Empire and the people of Castile exploding in the popular rebellion of the Castilian War of the Communities (1520–22)). The Habsburg political goals were several:

- Access to American (gold, silver, sugar) and Asian products ( porcelain, spices, silk)
- Undermining the power of France and containing it in its eastern borders.
- Maintaining Catholic Habsburg hegemony in Germany, defending Catholicism against the Reformation. Charles attempted to quell the Protestant Reformation at the Diet of Worms but Luther refused to recant his heresy. However, Charles's piety could not stop his mutinying troops from plundering the Holy See in the *Sacco di Roma*.
- Defending Europe against Islam, notably the Ottoman Empire.



The Pillars of Hercules with the motto " Plus Ultra" as symbol of the Emperor Charles V in the Town Hall of Seville (16th century)



## Siege of Tenochtitlan, conquest of the Inca Empire and the discovery of the Philippines (1521–1541)

After Columbus, the colonization of America was led by a series of warrior-explorers called the Conquistadors. The Spanish forces exploited the rivalries between competing local peoples and states, some of which were only too willing to form alliances with the Spanish in order to defeat their more-powerful enemies, such as the Aztecs or Incas - a tactic that would be extensively used by later European colonial powers. The Spanish conquest was also greatly facilitated by the spread of diseases (e.g. smallpox) common in Europe but unknown in the New World, which decimated the native American populations. This caused a labour shortage and so the colonists informally and gradually, at first, initiated the Atlantic slave trade. (*see Population history of American indigenous peoples*)



Emperor Atahualpa is shown surrounded on his palanquin at the  **Battle of Cajamarca**.

One of the most successful conquistadors was Hernán Cortés, who with a relatively small Spanish force but also crucially the support of around two hundred thousand Amerindian allies, overran the mighty Aztec empire in the campaigns of 1519–21 to bring Mexico into the Spanish empire as the basis for the colony of New Spain. Of equal importance was the conquest of the Inca empire by Francisco Pizarro, which would become the Viceroyalty of Peru. After the conquest of Mexico, rumours of golden cities ( Quivira and Cibola in North America, El Dorado in South America) caused several more expeditions to be sent out, but many of those returned without having found their goal, or having found it, finding it much less valuable than was hoped. Indeed, the American colonies only began to yield a substantial part of the crown's revenues with the establishment of mines such as that of Potosí ( 1546). By the late 16th century American silver accounted for one-fifth of Spain's total budget. In the 16th century perhaps 240,000 Europeans entered American ports.

The Portuguese Ferdinand Magellan died while in the Philippines commanding a Castilian expedition to circumnavigate the globe in 1522. Juan Sebastián Elcano would lead the expedition to success.

Meanwhile, in Europe, Francis I of France, who found himself surrounded by Habsburg territories, invaded the Spanish possessions in Italy in 1521, and inaugurated a second round of Franco-Spanish conflict. The war was a disaster for France, which suffered defeat at Bicocca ( 1522), Pavia ( 1525, at which Francis was captured), and Landriano ( 1529) before Francis relented and abandoned Milan to Spain once more.



Charles's victory at the Battle of Pavia, 1525, surprised many Italians and Germans and elicited concerns that Charles would endeavor to gain ever greater power. Pope Clement VII switched sides and now joined forces with France and prominent Italian states against the Habsburg Emperor, in the War of the League of Cognac. In 1527, Charles grew exhausted with the pope's meddling in what he viewed as purely secular affairs, and sacked Rome itself, embarrassing the papacy sufficiently enough that Clement, and succeeding popes, were considerably more circumspect in their dealings with secular authorities. In 1533, Clement's refusal to annul Henry VIII of England's marriage was a direct consequence of his unwillingness to offend the emperor and have his capital sacked for perhaps a second time. The Peace of Barcelona, signed between Charles and the Pope in 1529, established a more cordial relationship between the two leaders. Spain was effectively named the protector of the Catholic cause and Charles was crowned as King of Italy (Lombardy) in return for Spanish intervention in overthrowing the rebellious Florentine Republic.

In 1528, the great admiral Andrea Doria allied with the Emperor to oust the French and restore Genoa's independence, opening the prospect for financial renewal: 1528 marks the first loan from Genoese banks to Charles (Braudel 1984).

Further Spanish settlements were progressively established in the New World: New Granada (modern Colombia) in the 1530s, Lima in 1535 the capital of the Viceroyalty of Peru, Buenos Aires in 1536 and Santiago in 1541.

### **New Laws to the Peace of Augsburg (1542–1555)**

Spain passed some laws for the protection of the indigenous peoples of its American colonies, the first such in 1542; the legal thought behind them was the basis of modern international law. Taking advantage of their extreme remoteness, the European colonists revolted when they saw their power being reduced, forcing a partial revoking of these New Laws. Later, weaker laws were introduced to protect the indigenous peoples but records show their effect was limited. The restored *Encomenderos* increasingly used native Indian workforce.

In 1543, the king of France Francis I announced his unprecedented alliance with the Ottoman sultan, Suleiman the Magnificent, by occupying the Spanish-controlled city of Nice in concert with Ottoman forces. Henry VIII of England, who bore a greater grudge against France than he held against the Emperor for standing in the way of his divorce, joined Charles in his invasion of France. Although the Spanish army was defeated at the Battle of Ceresole in Savoy the French were unable to seriously threaten Spanish controlled Milan, whilst suffering defeat in the north at the hands of Henry, thereby being forced to accept unfavourable terms. The Austrians, led by Charles's younger brother Ferdinand, continued to fight the Ottomans in the east. Charles went to take care of an older problem: the Schmalkaldic League.



The Battle of Pavia ( 1525)



The League had allied itself to the French, and efforts in Germany to undermine the League had been rebuffed. Francis's defeat in 1544 led to the annulment of the alliance with the Protestants, and Charles took advantage of the opportunity. He first tried the path of negotiation at the Council of Trent in 1545, but the Protestant leadership, feeling betrayed by the stance taken by the Catholics at the council, went to war, led by the Saxon elector Maurice. In response, Charles invaded Germany at the head of a mixed Dutch–Spanish army, hoping to restore the Imperial authority. The emperor personally inflicted a decisive defeat on the Protestants at the historic Battle of Mühlberg in 1547. In 1555, Charles signed the Peace of Augsburg with the Protestant states and restored stability in Germany on his principle of *cuius regio, eius religio*, a position unpopular with Spanish and Italian clergymen. Charles's involvement in Germany would establish a role for Spain as protector of the Catholic, Habsburg cause in the Holy Roman Empire; the precedent would lead, seven decades later, to involvement in the war that would decisively end Spain as Europe's leading power.

Charles had preferred to suppress the Ottomans through a considerably more maritime strategy, hampering Ottoman landings on the Venetian territories in the Eastern Mediterranean. Only in response to Barbary pirate's raids on the eastern coast of Spain did Charles personally lead attacks against the Algiers ( 1541).

### St. Quentin to Lepanto (1556–1571)

Charles V's only legitimate son, **Philip II of Spain** (r. 1556– 98) parted the Austrian possessions with his uncle Ferdinand. Philip treated Castile as the foundation of his empire, but the population of Castile (that was about a third of France's) was never great enough to provide the soldiers needed to support the Empire. When he married Mary Tudor, England was allied to Spain.



A map of the dominion of the Habsburgs following the abdication of Charles V ( 1556) as depicted in *The Cambridge Modern History Atlas* (1912); Habsburg lands are shaded green. From 1556 the lands in a line from the Netherlands, through to the east of France, to the south of Italy and the islands were retained by the Spanish Habsburgs.



Spain was not yet at peace, as the aggressive Henry II of France came to the throne in 1547 and immediately renewed conflict with Spain. Charles's successor, Philip II, aggressively prosecuted the war against France, crushing a French army at the Battle of St. Quentin in Picardy in 1558 and defeating Henry again at the Battle of Gravelines. The Peace of Cateau-Cambrésis, signed in 1559, permanently recognized Spanish claims in Italy. In the celebrations that followed the treaty, Henry was killed by a stray splinter from a lance. France was stricken for the next thirty years by chronic civil war and unrest (see French Wars of Religion) and removed from effectively competing with Spain and the Habsburg family in European power games. Freed from effective French opposition, Spain saw the apogee of its might and territorial reach in the period 1559–1643.

The opening for the Genoese banking consortium was the state bankruptcy of Philip II in 1557, which threw the German banking houses into chaos and ended the reign of the Fuggers as Spanish financiers. The Genoese bankers provided the unwieldy Habsburg system with fluid credit and a dependably regular income. In return the less dependable shipments of American silver were rapidly transferred from Seville to Genoa, to provide capital for further ventures.

Florida was colonized in 1565 by Pedro Menendez de Aviles when he founded Saint Augustine, Florida and then promptly defeated an illegal attempt led by the French Captain Jean Ribault and 150 of his countrymen to establish a French foothold in Spanish Florida territory. Saint Augustine quickly became a strategic defensive base for the Spanish ships full of gold and silver being sent to Spain from its New World dominions. On April 27, 1565, the first permanent Spanish settlement in the Philippines was founded by Miguel López de Legaspi and the service of Manila Galleons was inaugurated. The Manila Galleons shipped goods from all over Asia across the Pacific to Acapulco on the coast of Mexico. From there, the goods were transhipped across Mexico to the Spanish treasure fleets, for shipment to Spain. The Spanish trading post of Manila was established to facilitate this trade in 1572.

After Spain's victory over France and the beginning of France's religious wars, Philip II's ambitions grew. In 1565, the Spanish defeated an Ottoman landing on the strategic island of Malta, defended by the Knights of St. John. Suleiman the Magnificent's death the following year and his succession by his less capable son Selim the Sot emboldened Philip, and he resolved to carry the war to the sultan himself. In 1571, Spanish and Venetian warships, joined by volunteers across Europe, led by Charles's illegitimate son Don John of Austria annihilated the Ottoman fleet at the Battle of Lepanto, in one of the most decisive battles in naval history. The battle ended the threat of Ottoman naval hegemony in the Mediterranean. This mission marked the height of the respectability of Spain and its sovereign abroad as Philip bore the burden of leading the Counter-Reformation.

## European Conflicts (1571–1598)

The time for rejoicing in Madrid was short-lived. In 1566, Calvinist-led riots in the Netherlands prompted the Duke of Alva to march into the country and restore order. In 1568, William the Silent led a failed attempt to drive Alva from the Netherlands. These battles are generally considered to signal the start of the Eighty Years' War that ended with the independence of the United Provinces. The Spanish, who derived a great deal of wealth from the Netherlands and



The celebrations following the Peace of Cateau-Cambrésis (1559) between Spain and France

Image:Lepanto.jpg

The Battle of Lepanto (1571), marking the end of the Ottoman Empire as the dominant naval power in the Mediterranean



particularly from the vital port of Antwerp, were committed to restoring order and maintaining their hold on the provinces. In 1572, a band of rebel Dutch privateers known as the *watergeuzen* ("Sea Beggars") seized a number of Dutch coastal towns, proclaimed their support for William and denounced the Spanish leadership.

For Spain, the war became an endless quagmire, sometimes literally. In 1574, the Spanish army under Luis de Requeséns was repulsed from the Siege of Leiden after the Dutch broke the dykes, thus causing extensive flooding. In 1576, faced with the bills from his 80,000-man army of occupation in the Netherlands, the cost of his fleet that had won at Lepanto, together with the growing threat of piracy in the open seas reducing his income from his American colonies Philip was forced to accept bankruptcy. The army in the Netherlands mutinied not long after, seizing Antwerp and looting the southern Netherlands, prompting several cities in the previously peaceful southern provinces to join the rebellion. The Spanish chose the route of negotiation, and pacified most of the southern provinces again with the Union of Arras in 1579.

Under the Arras agreement the southern states of the Spanish Netherlands, today in Wallonia and the Nord-Pas-de-Calais (and Picardy) *régions* in France, expressed their loyalty to the Spanish king Philip II and recognized his Governor-General, Don Juan of Austria. In 1580, this gave King Philip the opportunity to strengthen his position when the last member of the Portuguese royal family, Cardinal Henry of Portugal, died. Philip asserted his claim to the Portuguese throne and in June sent the Duke of Alba with an army to Lisbon to assure his succession. Though the Duke of Alba and the Spanish occupation, however, was little more popular in Lisbon than in Rotterdam, the combined Spanish and Portuguese empires placed into Philip's hands almost the entirety of the explored New World along with a vast trading empire in Africa and Asia. In 1582, when Philip II moved his court back to Madrid from the Atlantic port of Lisbon where he had temporarily settled to pacify his new Portuguese kingdom, the pattern was sealed, in spite of what every observant commentator privately noted: "Sea power is more important to the ruler of Spain than any other prince" wrote a commentator, "for it is only by sea power that a single community can be created out of so many so far apart." A writer on tactics in 1638 observed, "The might most suited to the arms of Spain is that which is placed on the seas, but this matter of state is so well known that I should not discuss it, even if I thought it opportune to do so." (quoted by Braudel 1984)



Otto van Veen: *The Relief of Leiden* ( 1574)  
after the Dutch had broken their dykes in the  
Eighty Years' War



Portugal required an extensive occupation force to keep it under control, and Spain was still reeling from the 1576 bankruptcy. In 1584, William the Silent was assassinated by a half-deranged Catholic, and the death of the popular Dutch resistance leader was hoped to bring an end to the war. It did not. In 1586, Queen Elizabeth I of England, sent support to the Protestant causes in the Netherlands and France, and Sir Francis Drake launched attacks against Spanish merchants in the Caribbean and the Pacific, along with a particularly aggressive attack on the port of Cadiz. In 1588, hoping to put a stop to Elizabeth's meddling, Philip sent the Spanish Armada to attack England. Favorable weather, smaller more manœuverable English ships, and the fact that England had been warned by their spies in Netherland and were ready for the attack resulted in defeat for the outnumbered but more heavily armoured Armada of Spain. Nevertheless the defeat of the military attack, The Drake–Norris Expedition, 1589 marked a turning point in the 1585– 1604 Anglo–Spanish War in Spain's favour, and few can doubt that the Spanish fleet was the strongest in Europe until the Dutch fleet inflicted the defeat of the Battle of the Downs in 1639, when an increasingly exhausted Spain began to visibly weaken.



The Spanish Armada leaving the Bay of Ferrol  
(1588)

Spain had invested itself in the religious warfare in France after Henry II's death. In 1589, Henry III, the last of the Valois lineage, died at the walls of Paris. His successor, Henry IV of Navarre, the first Bourbon king of France, was a man of great ability, winning key victories against the Catholic League at Arques (1589) and Ivry ( 1590). Committed to stopping Henry of Navarre from becoming King of France, the Spanish divided their army in the Netherlands and invaded France in 1590.



*The defense of Cádiz*, by Zurbarán

## "God is Spanish" (1596–1626)





Faced with wars against England, France and the Netherlands, each led by capable leaders, the bankrupted empire found itself competing against strong adversaries. Continuing piracy against its shipping in the Atlantic and the costly colonial enterprises forced Spain to renegotiate its debts in 1596. The plague devastated Castilian lands between 1596 and 1602, causing the deaths of 500,000 people. The crown attempted to reduce its exposure to the different conflicts, first signing the Treaty of Vervins with France in 1598, recognizing Henry IV (since 1593 a Catholic) as king of France, and restoring many of the stipulations of the previous Peace of Cateau-Cambrésis. England, suffering from a series of defeats at sea and from an endless guerrilla war by Catholics in Ireland, who were supported by Spain, agreed to the Treaty of London, 1604, following the accession of the more tractable Stuart King James I.

Peace with England and France gave Spain an opportunity to focus her energies on restoring her rule to the Dutch provinces. The Dutch, led by Maurice of Nassau, the son of William the Silent and perhaps the greatest strategist of his time, had succeeded in taking a number of border cities since 1590, including the fortress of Breda. Following the peace with England, the new Spanish commander Ambrosio Spinola, a general with the ability to match Maurice, pressed hard against the Dutch and was prevented from conquering the Netherlands only by Spain's latest bankruptcy in 1607. In 1609, the Twelve Years' Truce was signed between Spain and the United Provinces. At last, Spain was at peace - the *Pax Hispanica*.

Spain made a fair recovery during the truce, putting her finances in order and doing much to restore her prestige and stability in the run-up to the last truly great war in which she would play a leading part. Philip II's successor, Philip III, was a man of limited ability, uninterested in politics and preferring to delegate management of the empire to others. His chief minister was the capable Duke of Lerma.

The Duke of Lerma (and to a large extent Philip II) had been uninterested in the affairs of their ally, Austria. In 1618, the king replaced him with Don Balthasar de Zúñiga, a veteran ambassador to Vienna. Don Balthasar believed that the key to restraining the resurgent French and eliminating the Dutch was a closer alliance with Habsburg Austria. In 1618, beginning with the Defenestration of Prague, Austria and the Holy Roman Emperor, Ferdinand II, embarked on a campaign against the Protestant Union and Bohemia. Don Balthasar encouraged Philip to join the Austrian Habsburgs in the war, and Spinola, the rising star of the Spanish army in the Netherlands, was sent at the head of the Army of Flanders to intervene. Thus, Spain entered into the Thirty Years' War.



A map of the Spanish and Portuguese Empires in the period of Iberian Union (1581-1640)



In 1621, Philip III was succeeded by the considerably more religious Philip IV. The following year, Don Balthasar was replaced by Gaspar de Guzman, Count-Duke of Olivares, a reasonably honest and able man who believed that the centre of all Spain's woes rested in the Netherlands. After certain initial setbacks, the Bohemians were defeated at White Mountain in 1621, and again at Stadtlohn in 1623. The war with the Netherlands was renewed in 1621 with Spinola taking the fortress of Breda in 1625. The intervention of Christian IV of Denmark in the war worried some (Christian was one of Europe's few monarchs who had no worries over his finances), but the victory of the Imperial general Albert of Wallenstein over the Danes at Dessau Bridge and again at Lutter (both in 1626), eliminated that threat.

There was hope in Madrid that the Netherlands might finally be reincorporated into the Empire, and after the defeat of Denmark the Protestants in Germany seemed crushed. France was once again involved in her own instabilities (the famous Siege of La Rochelle began in 1627), and Spain's eminence seemed clear. The Count-Duke Olivares stridently affirmed, "God is Spanish and fights for our nation these days".

### **The road to Rocroi (1626–1643)**

Olivares was a man out of time: he realized that Spain needed to reform, and to reform it needed peace. The destruction of the United Provinces of the Netherlands was added to his list of necessities, because at the root of every anti-Habsburg coalition there was Dutch money. Dutch bankers financed the East India merchants of Seville, and everywhere in the world Dutch entrepreneurship and colonists were undermining Spanish and Portuguese hegemony.

While Spinola and the Spanish army were focused on the Netherlands, the war seemed to go in Spain's favour. But 1627 saw the collapse of the Castilian economy. The Spanish had been debasing their currency to pay for the war and prices exploded in their domestic economy, just as they had in previous years in Austria. Until 1631, parts of Castile operated on a barter economy owing to the currency crisis, and the government was unable to collect any meaningful taxes from the peasantry and had to depend on revenue from its colonies. The Spanish armies in Germany resorted to "paying themselves" on the land.

Olivares had backed certain taxation reforms in Spain pending the end of the war, but was blamed for another embarrassing and fruitless war in Italy. The Dutch, who during the Twelve Years' Truce had made their increasingly navy a priority, (which showed its maturing potency at the Battle of Gibraltar 1607), managed to strike a great blow against Spanish maritime trade with the capture of the treasure fleet by captain Piet Hein, on which Spain had become dependent after the economic collapse.

Spanish military resources were fully stretched across Europe, and also at sea as they sought to protect maritime trade against the greatly improved Dutch and French fleets, while still occupied with the Ottoman and associated Barbary pirate threat in the Mediterranean. . A Dutch takeover of much of Brazil was ejected by a Spanish-Portuguese expeditions, but the isolated and undermanned forts and shipping of the Portuguese part of the empire in Africa and the Orient proved particularly vulnerable to Dutch and English raids and takeovers.

In 1630, Gustavus Adolphus of Sweden, one of history's most noted commanders, landed in Germany and relieved the port of Stralsund, the last continental stronghold of German forces belligerent to the Emperor. Gustavus then marched south and won notable victories at Breitenfeld and Lützen, attracting more Protestant support with every step he took. The situation for the Catholics improved with Gustavus's death at Lutzen in 1632, and a key victory at Nordlingen was won in 1634. From a position of strength, the Emperor approached the war-weary German states with a peace in 1635: many accepted, including the two

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Image:DiegoVelazquez  
SurrenderofBreda.jpg  
The Surrender of Breda ( 1625)  
to Ambrosio Spinola, by  
Velazquez. This victory came to  
symbolize the renewed period  
of Spanish military vigour in  
the Thirty Years' War.



most powerful, Brandenburg and Saxony. Then France entered the equation, and diplomatic calculations were thrown in to confusion.

Cardinal Richelieu of France had been a strong supporter of the Dutch and Protestants since the beginning of the war, sending funds and equipment in an attempt to stem Habsburg strength in Europe. Richelieu decided that the recently-signed Peace of Prague was contrary to French designs and declared war on the Holy Roman Emperor and Spain within months of the peace being signed. In the war that followed, the more experienced Spanish forces scored initial successes. Olivares ordered a lightning campaign into northern France from the Spanish Netherlands, hoping to shatter the resolve of King Louis XIII's ministers and topple Richelieu. In the *année de Corbie*, 1636, Spanish forces advanced as far south as Corbie, and such was the threat to Paris that the war came close to a conclusion on Spanish terms.

After 1636, however, Olivares halted the advance, fearful of provoking another crown bankruptcy. The hesitation in pressing home the advantage proved fateful; French forces regrouped and pushed the Spanish back towards the border. The Spanish army would never again penetrate so far. At the Battle of the Downs in 1639 a Spanish fleet carrying troops was destroyed by the Dutch navy, and the Spanish found themselves unable to supply and reinforce their forces adequately in the Netherlands. The Army of Flanders, which represented the finest of Spanish soldiery and leadership, faced a French assault led by Louis II de Bourbon, Prince de Condé in northern France at Rocroi in 1643. The Spanish, led by Francisco de Melo, were devastated, with most of their infantry slaughtered or captured by French cavalry. The high reputation of the Army of Flanders was broken at Rocroi, and with it, the grandeur of Spain.



The Battle of Rocroi ( 1643), the symbolic end of Spain's grandeur; the decline sets in.

## The Empire of the last Spanish Habsburgs (1643–1713)

Traditionally, historians mark the Battle of Rocroi ( 1643) as the end of Spanish dominance in Europe, but the war was not finished. Supported by the French, the Catalans, Neapolitans, and Portuguese rose up in revolt against the Spanish in the 1640s. With the Netherlands effectively lost after the Battle of Lens in 1648, the Spanish made peace with the Dutch and recognized the independent United Provinces in the Peace of Westphalia that ended both the Eighty Years' War and the Thirty Years' War.

War with France continued for eleven more years. Although France suffered from a civil war from 1648– 52 (*see Wars of the Fronde*) the Spanish economy was so exhausted that it was unable to effectively cope with war on so many fronts. Yet the decline of Spanish power in this period has often been overstated. Spain retook Naples in 1648 and Catalonia in 1652, but the war came to an end at the Battle of the Dunes (1658) where the French army under Viscount Turenne defeated the remnants of the Spanish army of the Netherlands. Spain agreed to the Peace of the Pyrenees in 1659 that ceded to France Roussillon and Artois.



John IV of Braganza (r. 1640– 57) being proclaimed King of Portugal

Portugal had rebelled in 1640 under the leadership of John of Braganza, a pretender to the throne. He had received widespread support from the Portuguese people, and Spain — which had to deal with rebellions elsewhere, along with the war against France – was unable to respond adequately. John mounted the throne as King John IV of Portugal and the Spanish and Portuguese co-existed in a de facto state of peace from 1644 to 1657. When John died in 1657, the Spanish attempted to wrest Portugal from his son Alfonso VI of Portugal but were defeated at Ameixial ( 1663) and Montes Claros ( 1665), leading to Spain's recognition of Portugal's independence in 1668.

Spain still had a huge overseas empire, but France was now the superpower in Europe and the United Provinces were in the Atlantic.

The Great Plague of Seville ( 1647- 1652) killed up to 25% of Seville's population. Sevilla, and indeed the economy of Andalucía, would never recover from so complete a devastation. Altogether Spain was thought to have lost 500,000 people, out of a population of slightly fewer than 10,000,000, or nearly 5% of its entire population. Historians reckon the total cost in human lives due to these plagues throughout Spain, throughout the entire 17th century, to be a minimum of nearly 1.25

million.

The regency of the young Spanish king Charles II was incompetent in dealing with the War of Devolution that Louis XIV of France prosecuted against the Spanish Netherlands in 1667– 68, losing considerable prestige and territory, including the cities of Lille and Charleroi. In the Franco-Dutch War of 1672- 1678, Spain lost still more territory when it came to the assistance of its former Dutch enemies, most notably Franche Comté. In the Nine Years' War ( 1688- 1697) Louis once again invaded the Spanish Netherlands. French forces led by the Duke of Luxembourg defeated the Spanish at Fleurus ( 1690), and subsequently defeated Dutch forces under William III of Orange, who fought on Spain's side. The war ended with most of the Spanish Netherlands under French occupation, including the important cities of Ghent and Luxembourg. The war revealed to Europe how vulnerable and backward the Spanish defenses and bureaucracy were, but the ineffective Spanish Habsburg government took no action to improve them.

The final decades of the 17th century saw utter decay and stagnation in Spain; while the rest of Western Europe went through exciting changes in government and society — the Glorious Revolution in England and the reign of the Sun King in France — Spain remained adrift. The Spanish bureaucracy that had built up around the charismatic, industrious, and intelligent Charles I and Philip II demanded a strong and hardworking monarch; the weakness and lack of interest of Philip III and Philip IV contributed to Spain's decay. Charles II was mentally retarded and impotent. He was therefore childless, and in his final will he left his throne to the Bourbon prince Philip of Anjou, rather than to a member of the family that had tormented him throughout his life. This resulted in the War of the Spanish Succession.

## The Bourbon Spanish Empire: Reform and Recovery (1713–1806)

Under the Treaties of Utrecht ( April 11, 1713), the European powers decided what the fate of Spain would



An artist's rendition of the *Battle of Almansa*.



be, in terms of the continental balance of power. The new Bourbon king Philip V retained the Spanish overseas empire, but ceded the Spanish Netherlands, Naples, Milan, and Sardinia to Austria; Sicily and parts of Milan to Duchy of Savoy; and Gibraltar and Minorca to the Kingdom of Great Britain.



The *Battle of Cape Passaro*, 11 August 1718.

The disastrous showing in the War of the Quadruple Alliance, 1718–20, exposed the level of weakness and dependence it had fallen to. Moreover, Philip V granted the British the exclusive right to slave trading in Spanish America for thirty years, the so-called *asiento*, as well as licensed voyages to ports in Spanish colonial dominions, openings, as Fernand Braudel remarked, for both licit and illicit smuggling (Braudel 1984 p 418). Spain's economic and demographic recovery had begun slowly in the last decades of the Habsburg reign, as was evident from the growth of its trading convoys and much more rapid growth of illicit trade during the period, though this growth was slower than in her northern rivals who had gained increasing illicit access to her empire's markets. Critically, this recovery was not translated into institutional improvement because of the incompetent leadership of the unfortunate last Habsburg. This legacy of neglect was reflected in the early years of Bourbon rule in which the military was ill-advisedly pitched into battle against the Quadruple alliance. The poor performance of the demoralised Spanish military is well illustrated by the Battle of Cape Passaro, when a Spanish fleet was captured by the British. The British navy found the captured ships in such a rotten state that their best use was to be broken up. Following the war the new

Bourbon monarchy would take a much more cautious approach to international relations, built upon a family alliance with Bourbon France, and continuing to follow a program of institutional renewal.

With a Bourbon monarchy came a repertory of Bourbon mercantilist ideas based on a centralized state, put into effect in America slowly at first but with increasing momentum during the century (see Enlightenment Spain). The Spanish Bourbons' broadest intentions were to break the power of the entrenched aristocracy of the *Criollos* in America (locally born colonials of European descent), and, eventually, loosen the territorial control of the Society of Jesus over the virtually independent theocracies of Guarani *Misiones*: the Jesuits were expelled from Spanish America in 1767. In addition to the established *consulados* of Mexico City and Lima, firmly in the control of local landowners, a new rival *consulado* was set up at Vera Cruz.

Immediately Philip's government set up a ministry of the Navy and the Indies (1714) and created first a Honduras Company (1714), a Caracas Company (1728) and — the only one destined to thrive — a Havana Company (1740). In 1717–18 the structures for governing the Indies, the *Consejo de Indias* and the *Casa de Contratación* that governed investments in the cumbersome escorted fleets were transferred from Seville to Cádiz, which became the one port for all Indies trading (see *flota* system). Individual sailings at regular intervals were slow to displace the old habit of armed convoys, but by the 1760s there were regular packet ships plying the Atlantic between Cádiz and Havana and Puerto Rico, and at longer intervals to the Río de la Plata, where an additional viceroyalty was created in 1776. The contraband trade that was the lifeblood of the Habsburg empire declined in proportion to registered shipping (a shipping registry having been established in 1735).

Two upheavals registered unease within Spanish America and at the same time demonstrated the renewed resiliency of the reformed system: the Tupac Amaru uprising in Peru in 1780 and the rebellion of the *comunidades* of Venezuela, both in part reactions to tighter, more efficient control.



## 18th Century Prosperity

However, its vast empire in America and Asia made it a relevant power on the world stage. The 18th century was a century of prosperity for the overseas Spanish Empire as trade within grew steadily, particularly in the second half of the century, under the Bourbon reforms. Spain's crucial victory in the Battle of Cartagena against an extraordinary British fleet, in the Caribbean port of Cartagena de Indias, one of a number of successful battles, helped it secure Spain's dominance of the Americas until the 19th century.

Rapid shipping growth from the mid- 1740s until the Seven Years' War (1756–63), reflecting in part the success of the Bourbons in bringing illicit trade under control. With the loosening of trade controls after the Seven Years War, shipping trade within the empire once again began to expand, reaching an extraordinary rate of growth in the 1780s.

The ending of Cádiz's trade monopoly with America brought about a rebirth of Spanish manufactures. Most notable was the rapidly growing textile industry of Catalonia which by the mid-1780s saw the first signs of industrialisation. This saw the emergence of a small, politically-active commercial class in Barcelona. Though the scale of such industry was very small compared to the vast industry in Lancashire, it was growing rapidly and was to become a major centre of such industry in the Mediterranean in the mid nineteenth century. Though one must not exaggerate such small, scattered examples of local modernity, especially when seen in the light of the vast developments then taking place to the north, especially Britain, they do disprove the notion of economic stasis. Most of the improvement was in and around some major coastal cities and the major islands such as Cuba, with its plantations, and a renewed growth of precious metals mining in America. On the other hand most of rural Spain and its empire, where the great bulk of the population lived, lived in backward conditions, that were reinforced by old customs and served by poor roads. Agricultural productivity remained low despite efforts to introduce new techniques to an uninterested, exploited peasant and landless labouring class. Governments were inconsistent in their policies. Even with the substantial improvements of the 18th century, Spain was still an economic backwater. Under the mercantile trading arrangements it had difficulty in providing the goods being demanded by the strongly growing markets of its empire, and providing adequate outlets for the return trade, leading to rising tensions with its colonial elites.



San Felipe de Barajas Fortress ( Cartagena). In 1741 the Spanish defeated a British invasion fleet and army from this fortress in present-day Colombia.



The Bourbon institutional reforms were to bear some fruit militarily when Spanish forces easily retook Naples and Sicily from the Austrians in 1734 ( War of the Polish Succession) and thwarted British campaigns attempting to seize the strategic cities of Cartagena de Indias and Cuba during the War of Jenkins' Ear ( 1739– 42). Moreover, though Spain lost territories to greatly improved and successful amphibious British forces towards the end of the Seven Years' War (1756–63), she was to recover these losses and seize the British naval base in the Bahamas during the American Revolutionary War (1775–83).

The Amazon basin and some large adjoining regions had been considered Spanish territory since the Treaty of Torsedillas and explorations such as that by Francisco de Orellana. The area was occupied by Portuguese colonists in Brazil, as Bandeirantes gradually extended their slaving and prospecting activities throughout much of the basin in the 17th and 18th centuries. Meanwhile the Spanish were barred by their laws from slaving of indigenous people, leaving them without a commercial interest deep in the interior of the basin. These groups had the advantage of remote geography and river access from the mouth of the Amazon River, which was in Portuguese territory, making it impossible for the Spanish authorities to control them. One famous attack upon a Spanish mission in 1628 resulted in the enslavement of 60 000 indigenous people. In fact as time passed they were used as a self funding occupation force by the Portuguese authorities in what was effectively a low level war of territorial conquest. Finally the reality of the situation was recognised with the transfer of sovereignty over the much of the basin and surrounding areas to Portugal in the Treaty of Madrid (1750). This settlement led to the Guarani War of 1756.

The California mission planning was begun in 1769. The Nootka Convention (1791) resolved the dispute between Spain and Great Britain about the British settlement in Oregon to British Columbia. In 1791 the king of Spain gave Alessandro Malaspina an order to search for a Northwest Passage.

The Spanish empire had still not returned to first rate power status, but it had recovered considerably from the dark days at the beginning of the eighteenth century when it was totally at the mercy of other powers' political deals. The relatively peaceful century under the new monarchy had allowed it to rebuild and start the long process of modernizing its institutions and economy. The demographic decline of the seventeenth century had been reversed. It was a middle ranking power with great power pretensions that could not be ignored. But time was to be against it. The growth of trade and wealth in the colonies caused increasing political tensions as frustration grew with the improving but still restrictive trade with Spain. Malaspina's recommendation to turn the empire into a looser confederation to help improve governance and trade so as to quell the growing political tensions between the élites of the empire's periphery and centre was suppressed by a monarchy afraid of losing control. All was to be swept away by the tumult that was to overtake Europe at the turn of the century with the French Revolutionary and Napoleonic Wars.

## Twilight of the Global Empire (1806–1898)



A Spanish army captures British Pensacola in 1781. In 1783 the Treaty of Paris returns all of Florida to Spain for the return of the Bahamas.



The first major territory Spain was to lose in the nineteenth century was the vast and wild Louisiana Territory, which stretched north to Canada and was ceded by France in 1763. The French, under Napoleon, took back possession as part of the Treaty of San Ildefonso in 1800 and sold it to the United States ( Louisiana Purchase, 1803).

The destruction of the main Spanish fleet, under French command, at the Battle of Trafalgar (1805) undermined Spain's ability to defend and hold on to its empire. The later intrusion of Napoleonic forces into Spain in 1808 (see Peninsular War) cut off effective connection with the empire. But it was internal tensions that ultimately ended the empire in America.

Napoleon's sale in 1803 of the Louisiana Territory to the United States was to cause border disputes between the United States and Spain that, with rebellions in West Florida (1810) and in the remainder of Louisiana at the mouth of the Mississippi, led to their eventual cession to the United States, along with the sale of all of Florida, in the Adams–Onís Treaty (1819).

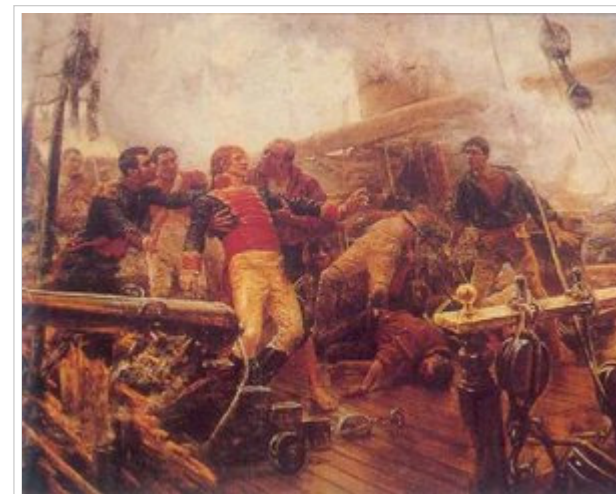


*The Second of May, 1808: The Charge of the Mamelukes*, by Francisco de Goya (1814).

In 1808 the Spanish king was tricked and Spain was taken over by Napoleon without firing a shot, but the brutal French provoked a popular uprising from the Spanish people and the grinding guerrilla warfare, which Napoleon dubbed his "ulcer", the Peninsular War, (famously depicted by the painter Goya) ensued, followed by a power vacuum lasting up to a decade and turmoil for several decades, civil wars on succession disputes, a republic, and finally a liberal democracy. Spain lost all the colonial possessions in the first third of the century, except for Cuba, Puerto Rico and, isolated on the far side of the globe, the Philippines, Guam and nearby Pacific islands, as well as Spanish Sahara, parts of Morocco, and Spanish Guinea.

The wars of independence in Spanish America were triggered by another failed British attempt to seize Spanish American territory, this time in the Viceroyalty of the Río de la Plata in 1806. The viceroy retreated hastily to the hills when defeated by a small British force. However when the *Criollos* militias and colonial army thrashed the now reinforced British force in 1807 and, with the example of the North American revolutionaries very much in their minds, they quickly set about the business of winning their own independence and inspiring independence movements elsewhere in America. A long period of wars began which led to the independence of Paraguay (1811) and Uruguay (1815 but subsequently ruled by Brazil until 1828). José de San Martín campaigned for

freedom in Argentina (1816), Chile (1818) and Peru (1821). Further north Simon Bolivar led forces that won independence for the area that is currently Venezuela, Colombia (included Panama until 1903), Ecuador, and Bolivia by 1825. In 1810 a free thinking priest, Miguel Hidalgo y Costilla, declared Mexican independence, which was won by 1821. Central America declared its independence in 1821 and was joined to Mexico for a brief time (1822–23). Santo



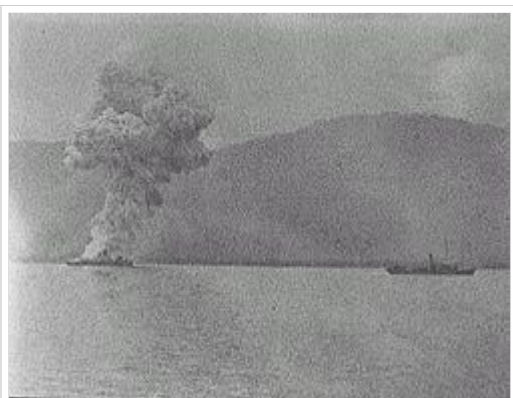
*Churruca's Death*, oil on canvas about the Battle of Trafalgar by Eugenio Álvarez Dumont, Prado Museum





Domingo likewise declared independence in 1821 and began negotiating for inclusion in Bolivar's Republic of Gran Colombia, but was quickly occupied by Haiti, which ruled it until an 1844 revolution. Thus only Cuba and Puerto Rico remained in Spanish hands in the New World.

In devastated Spain the post-Napoleonic era created a political vacuum, broke apart any traditional consensus on sovereignty, fragmented the country politically and regionally and unleashed wars and disputes between progressives, liberals and conservatives. The instability inhibited Spain's development, which had started fitfully gathering pace in the previous century. A brief period of improvement occurred in the 1870s when the capable Alfonso XII of Spain and his thoughtful ministers succeeded in restoring some vigour to Spanish politics and prestige, but this was cut short by Alfonso's early death.



*Vizcaya* explodes in the Battle of Santiago de Cuba

An increasing level of nationalist, anti-colonial uprisings in various colonies culminated with the Spanish–American War of 1898, fought primarily over Cuba. Military defeat was followed by the independence of Cuba and the cession, for US\$20 million, of Puerto Rico, the Philippines, and Guam to the United States. On June 2, 1899, the last Spanish garrison in the Philippines, located in Baler, Aurora, was pulled out, effectively ending nearly 400 years of Spanish hegemony in this archipelago. Her American and Asian presence ended, Spain then sold her Pacific Ocean possessions to Germany in 1899, retaining only her African territories.

## Territories in Africa (1898–1975)

In 1481 the papal *Bull Æterni regis* had granted all land south of the Canary Islands to Portugal. Only this archipelago and the cities of Sidi Ifni ( 1476– 1524), known then as " Santa Cruz de Mar Pequeña", Melilla (conquered by Pedro de Estopiñán in 1497), Villa Cisneros (founded in 1502 in current Western Sahara), Mazalquivir ( 1505), Peñón de Vélez de la Gomera ( 1508), Oran ( 1509–1790), Algiers ( 1510– 29), Bugia ( 1510– 54), Tripoli ( 1511– 51), Tunis ( 1535– 69) and Ceuta (ceded by Portugal in 1668) remained as Spanish territory in Africa.



*The Battle of Ayacucho*, Peru May of 1824



In 1778, Fernando Poo (now Bioko) Island, adjacent islets, and commercial rights to the mainland between the Niger and Ogooué Rivers were ceded to Spain by the Portuguese in exchange for territory in South America (Treaty of El Pardo (1778)). In the 19th century, some Spanish explorers and missionaries would cross this zone, among them Manuel de Iradier.

In 1848, Spanish troops conquered the Islas Chafarinas.

In 1860, after the Tetuan War, Morocco ceded Sidi Ifni to Spain as a part of the Treaty of Tangiers. The following decades of Franco-Spanish collaboration resulted in the establishment and extension of Spanish protectorates south of the city, and Spanish influence obtained international recognition in the Berlin Conference of 1884: Spain administered Sidi Ifni and Western Sahara jointly. Spain claimed a protectorate over the coast of Guinea from Cape Bojador to Cap Blanc, too. Río Muni became a protectorate in 1885 and a colony in 1900. Conflicting claims to the Guinea mainland were settled in 1900 by the Treaty of Paris.



Map of Equatorial Guinea

Following a brief war in 1893 Spain expanded her influence south from Melilla.



In 1911, Morocco was divided between the French and Spanish. The Rif Berbers rebelled led by Abdelkrim, a former officer for the Spanish administration. The *Battle of Annual* (1921) was a sudden, grave, and almost fatal, military defeat suffered by the Spanish army against Moroccan insurgents. A leading Spanish politician emphatically declared: "*We are at the most acute period of Spanish decadence*". The statement reflected the mood of the country. The rebellion exposed the utter corruption and incompetence of the military and destabilised the Spanish government, leading to dictatorship. A campaign in conjunction with the French suppressed the Rif rebels by 1925 but at a terrible cost to both sides. In 1923, Tangier was declared an international city under French–Spanish–British (and later Italian) joint administration. The African army, led by a veteran of the Moroccan campaign, Francisco Franco, started the Spanish Civil War (1936–39). Between 1926 and 1959, Bioko and Río Muni were united as the colony of Spanish Guinea. During the Second World War the Vichy French presence in Tangier was overcome by that of Francoist Spain.

Spain lacked the wealth and the interest to develop an extensive economic infrastructure in her African colonies during the first half of the 20th century. However, through a paternalistic system, particularly on Bioko Island, Spain developed large cocoa plantations for which thousands of Nigerian workers were imported as laborers. The Spanish also helped Equatorial Guinea achieve one of the continent's highest literacy rates and developed a good network of health care facilities.

In 1956, when French Morocco became independent, Spain surrendered Spanish Morocco to the new nation, but retained control of Sidi Ifni, Tarfaya region and Spanish Sahara. Moroccan Sultan (later King) Mohammed V was interested in these territories and invaded Spanish Sahara in 1957 (The **Ifni War**, or, in Spain, the **Forgotten War**, *la Guerra Olvidada*). In 1958, Spain ceded Tarfaya to Mohammed V and joined the previously separate districts of Saguia el-Hamra (in the north) and Río de Oro (in the south) to form the province of Spanish Sahara.

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In 1959, the Spanish territory on the Gulf of Guinea was established with status similar to the provinces of metropolitan Spain. As the Spanish Equatorial Region, it was ruled by a governor general exercising military and civilian powers. The first local elections were held in 1959, and the first Equatoguinean representatives were seated in the Spanish parliament. Under the Basic Law of December 1963, limited autonomy was authorized under a joint legislative body for the territory's two provinces. The name of the country was changed to Equatorial Guinea.

In March 1968, under pressure from Equatoguinean nationalists and the United Nations, Spain announced that it would grant independence to Equatorial Guinea. At independence in 1968, Equatorial Guinea had one of the highest per capita incomes in Africa. In 1969, under international pressure, Spain returned Sidi Ifni to Morocco. Spanish control of Spanish Sahara endured until the 1975 Green March prompted a withdrawal. The future of this former Spanish colony remains uncertain.

The Canary Islands and the cities in the African mainland are considered an equal part of Spain and the European Union, but have a different tax system without Value Added Tax.

Morocco still says they claim Ceuta, Melilla and *plazas de soberanía* even though they are internationally recognized as administrative divisions of Spain (despite Plazas de Soberania which is a territory of Spain). Isla Perejil (Arabic: **Leila** ("night")) was occupied on July 11, 2002 by Moroccan Gendarmerie and troops, who were evicted peacefully by Spanish naval forces.

## Legacy

The Spanish language and the Roman Catholic church were brought to America and to the Spanish East Indies (Federated States of Micronesia, Guam, Marianas, Palau and the Philippines) by Spanish colonization which began in the 15th century. It also played a crucial part in sustaining the Catholic Church as the leading Christian denomination in Europe when it was under extreme pressure.

The long colonial period in Latin America resulted in a mixing of peoples. Most Latin Americans have mixed American Indian and European ancestry, while a substantial proportion also have African ancestry. (The only exception is Argentina and Uruguay which experienced heavy European immigration in the post colonial period.)



In concert with the Portuguese empire, the Spanish empire laid the foundations of a truly global trade by opening up the great trans-oceanic trade routes. The Spanish dollar became the world's first global currency.

One of the features of this trade was the exchange of many domesticated plants and animals between the Old World and the New World. Some that were introduced to America included wheat, barley, onions, apples, watermelons, cattle, sheep, pigs, horses, and donkeys. The Old World received from America such things as maize, potatoes, sweet potatoes, capsicum, chili peppers, tomatoes, peanuts, tobacco and turkeys. The result of these exchanges was to significantly improve the agricultural potential of America, Europe and Asia as well as increase the power available for heavy work and transportation in the



Americas.

There were also cultural influences, this can be seen in everything from architecture, food, music, art and law, from Chile to the United States. The complex origins and contacts of different peoples resulted in cultural influences coming together in the widely varied and unique forms so evident today in the former colonial areas.

To a very considerable extent modern International law has its roots in issues first encountered with the experience of Spanish colonial expansion. Even modern notions of human rights were first defended in the often bitter debates and political controversies caused by the encounter with formerly unknown peoples in the Americas. Modern disdain for imperialism also has some of its roots in Spanish critiques of imperialism - theoretically, in terms of its legitimacy, and due to experience, in the harm that it caused.

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# Tang Dynasty

2008/9 Schools Wikipedia Selection. Related subjects: General history



# 唐 Tang

←  **618 – 907**  →



China under the Tang Dynasty (teal) circa 700 AD

<b>Capital</b>	Chang'an (618–904) Luoyang (904–907)
<b>Language(s)</b>	Chinese
<b>Religion</b>	Buddhism, Taoism, Confucianism, Chinese folk religion
<b>Government</b>	Monarchy
<b>Emperor</b> - 618–626	Emperor Gaozu, 1st

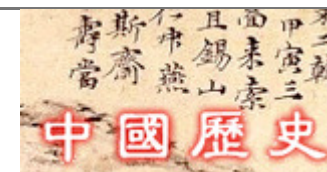


The **Tang Dynasty** (Chinese: 唐朝; pinyin: Táng Cháo; Middle Chinese: dhang) ( June 18, 618– June 4, 907) was an imperial dynasty of China preceded by the Sui Dynasty and followed by the Five Dynasties and Ten Kingdoms Period. It was founded by the Li (李) family, who seized power during the decline and collapse of the Sui Empire. The dynasty was interrupted briefly by the Second Zhou Dynasty ( October 16, 690– March 3, 705) when Empress Wu Zetian seized the throne, becoming the first and only Chinese empress regnant, ruling in her own right.

The Tang Dynasty, with its capital at Chang'an (present-day Xi'an), the most populous city in the world at the time, is regarded by historians as a high point in Chinese civilization—equal to or surpassing that of the earlier Han Dynasty—as well as a golden age of cosmopolitan culture. Its territory, acquired through the military campaigns of its early rulers, was greater than that of the Han period, and rivaled that of the later Yuan Dynasty and Qing Dynasty. The enormous Grand Canal of China, built during the previous Sui Dynasty, facilitated the rise of new urban settlements along its route as well as increased trade between mainland Chinese markets. The canal is to this day the longest in the world. In two censuses of the 7th and 8th centuries, the Tang records stated that the population (by number of registered households) was about 50 million people. However, even when the central government was breaking down and unable to exact an accurate census of the population in the 9th century, it is estimated that the population in that century had grown to the size of about 80 million people. With its large population base, the Tang was able to raise professional and conscripted armies of hundreds of thousands of troops to contend with powers such as Tibet in dominating Inner Asia and the lucrative trade routes along the Silk Road. Various kingdoms and states paid tribute to the Tang court, while the Tang also conquered or subdued several regions which it indirectly controlled through a protectorate system. Besides political hegemony, the Tang also exerted a powerful cultural influence over neighboring states such as those in Korea and Japan.

In Chinese history, the Tang Dynasty was largely a period of progress and stability, except during the An Shi Rebellion and the decline of central authority in the latter half of the dynasty. Like the previous Sui Dynasty, the Tang Dynasty maintained a civil service system by drafting officials through standardized examinations and recommendations to office. This civil order was undermined by the rise of regional military governors known as jiedushi during the 9th century. Chinese culture flourished and further matured during the Tang era; it is considered the greatest age for Chinese poetry. Two of China's most famous historical poets, Du Fu and Li Bai, belonged to this age, as well as the poets Meng Haoran, Du Mu, and Bai Juyi. Many famous visual artists lived during this era, such as the renowned painters Han Gan, Zhang Xuan, and Zhou Fang. There was a rich variety of historical literature compiled by scholars, as well as encyclopedias and books on geography. There were many notable innovations during the Tang, including the development of woodblock printing, the

**中文** This article contains Chinese text.  
Without proper rendering support, you may see question marks, boxes, or other symbols instead of Chinese characters.



### History of China

#### ANCIENT

#### 3 Sovereigns and 5 Emperors

**Xia Dynasty** 2100–1600 BC

**Shang Dynasty** 1600–1046 BC

**Zhou Dynasty** 1122–256 BC

**Western Zhou**

**Eastern Zhou**

Spring and Autumn Period

Warring States Period

#### IMPERIAL

**Qin Dynasty** 221 BC–206 BC

**Han Dynasty** 206 BC–220 AD

**Western Han**

**Xin Dynasty**

**Eastern Han**

**Three Kingdoms** 220–280

**Wei, Shu & Wu**

**Jin Dynasty** 265–420

**Western Jin**

**Eastern Jin**

**16 Kingdoms**

304–439

**Southern & Northern Dynasties** 420–589

**Sui Dynasty** 581–618

**Tang Dynasty** 618–907

( **Second Zhou** 690–705 )

**5 Dynasties &  
10 Kingdoms**

907–960

**Liao Dynasty**

907–1125



escapement mechanism in horology, the government compilations of *materia medicas*, improvements in cartography and the application of hydraulics to power air conditioning fans. The religious and philosophical ideology of Buddhism became a major aspect of Chinese culture, with native Chinese sects becoming the most prominent. However, Buddhism would eventually be persecuted by the state and would decline in influence. Although the dynasty and central government were in decline by the 9th century, art and culture continued to flourish. The weakened central government largely withdrew from managing the economy, but the country's mercantile affairs stayed intact and commercial trade continued to thrive regardless.

## History

### Establishment

The Li family belonged to the northwest military aristocracy prevalent during the reign of the Sui emperors. The mothers of both Emperor Yang of Sui (r. 604–617) and the founding emperor of Tang were sisters, making these two emperors of different dynasties first cousins. Li Yuan (later to become Emperor Gaozu of Tang, r. 618–626) was the Duke of Tang and former governor of Taiyuan when other government officials were fighting off bandit leaders in the collapse of the Sui Empire, caused in part by a failed Korean campaign. With prestige and military experience, he later rose in rebellion along with his son Li Shimin (later Emperor Taizong, r. 626–649) and his equally militant daughter Princess Pingyang (d. 623) who raised her own troops and commanded them. In 617, Li Yuan occupied Chang'an and acted as regent over a puppet child emperor of the Sui, relegating Emperor Yang to the position of *Taishang Huang*, or retired emperor. With the news of Emperor Yang's murder by his general Yuwen Huaji (d. 619), on June 18, 618, Li Yuan declared himself the emperor of a new dynasty, the Tang.

Li Yuan ruled until 626 before being forcefully deposed by his son Li Shimin, Prince of Qin. Li Shimin had commanded troops since the age of 18, had prowess with a bow, sword, lance, and was known for his effective cavalry charges. Fighting a numerically superior army, he defeated Dou Jiande (573–621) at Luoyang in the Battle of Hulao on May 28, 621. In a violent elimination of royal family due to fear of assassination, Li Shimin ambushed and killed two of his brothers, Li Yuanji (b. 603) and Crown Prince Li Jiancheng (b. 589) in the Incident at Xuanwu Gate on July 2, 626. Shortly after, his father abdicated in favour of him and he ascended the throne as Emperor Taizong. Although killing two brothers and deposing his father contradicted the Confucian value of filial piety, Taizong showed to be a capable leader who listened to the advice of the wisest members of his council. In 628, Emperor Taizong held a Buddhist memorial service for the casualties of war, and in 629 had Buddhist monasteries erected at the sites of major battles so that monks could pray for the fallen on both sides of the fight. This was during the campaign against Eastern Tujue, a Göktürk khanate that was destroyed after the capture of Jiali Khan Ashini Duobi by the famed Tang military officer Li Jing (571–649), who later became a Chancellor of the Tang Dynasty. With this victory, the Turks accepted Taizong as their Khagan, or Great Khan, in addition to his rule as the Son of Heaven.

<b>Song Dynasty</b> 960–1279	
<b>Northern Song</b>	<b>W. Xia Dyn.</b>
<b>Southern Song</b>	<b>Jin Dyn.</b>
<b>Yuan Dynasty</b> 1271–1368	
<b>Ming Dynasty</b> 1368–1644	
<b>Qing Dynasty</b> 1644–1911	
<b>MODERN</b>	
<b>Republic of China</b> 1912–1949	
<b>People's Republic of China</b> ( Mainland China) 1949–present	<b>Republic of China</b> (on Taiwan) 1945-present
1949-1976	
1976-1989	
1989-2002	
2002-present	
<ul style="list-style-type: none"> <li>Dynasties in Chinese History</li> <li>Economic history of China</li> <li>Historiography of China</li> <li>History of Chinese Art</li> <li>History of Education in China</li> <li>History of Science and Technology in China</li> <li>Legal history of China</li> <li>Linguistic history of China</li> <li>Military history of China</li> <li>Naval History of China</li> <li>Timeline of Chinese History</li> </ul>	





## Administration and politics

### Initial reforms



Taizong set out to solve internal problems within the government which had constantly plagued past dynasties. Building upon the Sui legal code, he issued a new legal code that subsequent Chinese dynasties would model theirs upon, as well as neighboring polities in Vietnam, Korea, and Japan. The earliest law code to survive though was the one established in the year 653, which was divided into 500 articles specifying different crimes and penalties ranging from ten blows with a light stick, one hundred blows with a heavy rod, exile, penal servitude, or execution. The legal code clearly distinguished different levels of severity in meted punishments when different members of the social and political hierarchy committed the same crime. For example, the severity of punishment was different when a servant or nephew killed a master or an uncle than when a master or uncle killed a servant or nephew. The Tang Code was largely retained by later codes such as the early Ming Dynasty (1368–1644) code of 1397, yet there were several revisions in later times, such as improved property rights for women during the Song Dynasty (960–1279).

The Tang had three departments (省, *shěng*), which were obliged to draft, review, and implement policies respectively. There were also six ministries (部, *bù*) under the administrations that implemented policy, each of which was assigned different tasks. These divisional state bureaus included the personnel administration, finance, rites, military, justice, and public works—an administrative model which would last until the fall of the Qing Dynasty (1644–1912). Although the founders of the Tang related to the glory of the earlier Han Dynasty (202 BC–220 AD), the basis for much of their administrative organization was very similar to the previous Southern and Northern Dynasties. The Northern Zhou (557–581) divisional militia (fubing) was continued by the Tang government, along with farmer-soldiers serving in rotation from the capital or frontier in order to receive appropriated farmland. The equal-field system of the Northern Wei Dynasty (386–534) was also kept, although there were a few modifications.

Although the central and local governments kept an enormous number of records about land property in order to assess taxes, it became common practice in the Tang for literate and affluent people to create their own private documents and signed contracts. These had their own signature and that of a witness and scribe in order to prove in court (if necessary) that their claim to property was legitimate. The prototype of this actually existed since the ancient Han Dynasty, while contractual language became even more common and embedded into Chinese literary culture in later dynasties.

The centre of the political power of the Tang was the capital city of Chang'an (modern Xi'an), where the emperor maintained his large palace quarters, and entertained political emissaries with music, sports, acrobatic stunts, poetry, paintings, and dramatic theatre performances. The capital was also filled with incredible amounts of riches and resources to spare. When the Chinese prefectural government officials traveled to the capital in the year 643 to give the annual report of the affairs in their districts, Emperor Taizong discovered that many had no proper quarters to rest in, and were renting rooms with merchants. Therefore, Emperor Taizong ordered the government agencies in charge of municipal construction to build every visiting official his own private mansion in the capital.

### Imperial examinations

<http://cd3wd.com> [wikipedia-for-schools](http://wikipedia-for-schools) <http://gutenberg.org> page no: 450 of 541



Portrait painting of Emperor Yang of Sui, commissioned in 643 by Taizong, painted by Yan Liben (600–673)



Statues of two foreign dignitaries dressed in Hanfu, made of *sancai* glazed earthenware, late 7th to early 8th century



Following the Sui Dynasty's example, the Tang abandoned the nine-rank system in favour of a large civil service system. Students of Confucian studies were potential candidates for the imperial examinations, the graduates of which could be appointed as state bureaucrats in the local, provincial, and central government. There were two types of exams that were given, *mingjing* ('illuminating the classics examination') and *jinshi* ('presented scholar examination'). The *mingjing* was based upon the Confucian classics, and tested the student's knowledge of a broad variety of texts. The *jinshi* tested a student's literary abilities in writing essay-style responses to questions on matters of governance and politics, as well as their skills in composing poetry. Candidates were also judged on their skills of deportment, appearance, speech, and level of skill in calligraphy, all of which were subjective criteria that allowed the already wealthy members of society to be chosen over ones of more modest means who were unable to be educated in rhetoric or fanciful writing skills. Indeed there was a disproportionate number of civil officials coming from aristocratic as opposed to non-aristocratic families. The exams were open to all male subjects whose fathers were not of the artisan or merchant classes, although having wealth or noble status was not a prerequisite in receiving a recommendation. In order to promote widespread Confucian education, the Tang government established state-run schools and issued standard versions of the Five Classics with selected commentaries.



Tang era gilt-silver ear cup with flower motif

This competitive procedure was designed to draw the best talent into government. But perhaps an even greater consideration for the Tang rulers, aware that imperial dependence on powerful aristocratic families and warlords would have destabilizing consequences, was to create a body of career officials having no autonomous territorial or functional power base. The Tang law code ensured equal division of inherited property amongst legitimate heirs, allowing a bit of social mobility and preventing the families of powerful court officials in becoming landed nobility through primogeniture. As it turned out, these scholar-officials acquired status in their local communities and in family ties, while they also shared values that connected them to the imperial court. From Tang times until the end of the Qing Dynasty in 1912, scholar-officials functioned often as intermediaries between the grassroots level and the government. Yet the potential of a widespread examination system was not fully realized until the Song Dynasty, where the merit-driven scholar official largely shed his aristocratic habits and defined his social status through the examination system. As historian Patricia Ebrey states of the Song period scholar-officials:

The examination system, used only on a small scale in Sui and Tang times, played a central role in the fashioning of this new elite. The early Song emperors, concerned above all to avoid domination of the government by military men, greatly expanded the civil service examination system and the government school system.

Nevertheless, the Sui and Tang dynasties institutionalized and set the foundations for the civil service system and this new elite class of exam-drafted scholar-officials.

## Religion and politics



From the onset, religion played a role in Tang politics. In his bid for power, Li Yuan had attracted a following by claiming descent from the Daoist sage Laozi (fl. 6th century BC). People bidding for office would have monks from Buddhist temples pray for them in public in return for cash donations or gifts if the person was to be selected. Before the persecution of Buddhism in the 9th century, Buddhism and Daoism were accepted side by side, and Emperor Xuanzong of Tang (r. 712–756) invited monks and clerics of both religions to his court. At the same time Xuanzong exalted the ancient Laozi by granting him grand titles, wrote commentary on the Daoist *Laozi*, set up a school to prepare candidates for examinations on Daoist scriptures, and called upon the Indian monk Vajrabodhi (671–741) to perform Tantric rites to avert a drought in the year 726. In 742 Emperor Xuanzong personally held the incense burner during the ceremony of the Ceylonese monk Amoghavajra (705–774) reciting "mystical incantations to secure the victory of Tang forces." In addition, if religion played a role in politics, then politics played a role in religion as well. In the year 714, Emperor Xuanzong forbade shops and vendors in the city of Chang'an to sell copied Buddhist sutras, instead giving the Buddhist clergy of the monasteries the sole right to distribute sutras to the laity. In the previous year of 713, Emperor Xuanzong had liquidated the highly lucrative Inexhaustible Treasury, which was run by a prominent Buddhist monastery in Chang'an. This monastery collected vast amounts of money, silk, and treasures through multitudes of synonymous people's repentances, leaving the donations on the monastery's premise. Although the monastery was generous in donations, Emperor Xuanzong issued a decree abolishing their treasury on grounds that their banking practices were fraudulent, collected their riches, and distributed the wealth to various other Buddhist monasteries, Daoist abbeys, and to repair statues, halls, and bridges in the city.



Emperor Xuanzong of Tang

### Taxes and the census

The Tang Dynasty government attempted to create an accurate census of the size of their empire's population, mostly for effective taxation and matters of military conscription for each region. The early Tang government established both the grain tax and cloth tax at a relatively low rate for each household under the empire. This was meant to encourage households to enroll for taxation and not avoid the authorities, thus providing the government with the most accurate estimate possible. In the census of 609, the population was tallied by efforts of the government at a size of 9 million households, or about 50 million people. Again, the Tang census of the year 742 approximated the size China's population to about 50 million people. Patricia Ebrey writes that even if a rather significant number of people had avoided the registration process of the tax census, the population size during the Tang had not grown significantly since the earlier Han Dynasty (the census of the year 2 recording a population of 59 million people in China). S.A.M. Adshead disagrees, estimating that there was about 75 million people by 750. In the Tang census of the year 754, there were 1,859 cities, 321 prefectures, and 1,538 counties throughout the empire. Although there were many large and prominent cities during the Tang, the rural and agrarian areas comprised the majority of China's population at some 80 to 90 percent. There was also a dramatic migratory shift of the population from northern to southern China, as the North held 75% of the overall population at the dynasty's inception, but by its end was reduced to 50%.



*A Man Herding Horses*, by Han Gan (706–783), a court artist under Xuanzong

Chinese population size would not dramatically increase until the Song Dynasty period, where the population doubled to 100 million people due to extensive



rice cultivation in central and southern China, coupled with rural farmers holding more abundant yields of food that they could easily provide the growing market.

## Military and foreign policy

### Protectorates and tributaries

The 7th century and first half of the 8th century is generally considered the zenith era of the Tang Dynasty. Emperor Tang Xuanzong brought the Middle Kingdom to its golden age while the Silk Road thrived, with sway over Indochina in the south, and to the west Tang China was master of the Pamirs (modern-day Tajikistan) and protector of Kashmir bordering Persia. Some of the kingdoms paying tribute to the Tang Dynasty included Kashmir, Nepal, Khotan, Kucha, Kashgar, Japan, Korea, Champa, and kingdoms located in Amu Darya and Syr Darya valley. Turkic nomads addressed the Emperor of Tang China as *Tian Kehan*. After the widespread Göktürk revolt of Shabolüe Khan (d. 658) was put down at Issyk Kul in 657 by Su Dingfang (591–667), Emperor Gaozong established several protectorates governed by a Protectorate General or Grand Protectorate General, which extended the Chinese sphere of influence as far as Herat in Western Afghanistan. Protectorate Generals were given a great deal of autonomy to handle local crises without waiting for central admission. After Xuanzong's reign, military governors (*jiedushi*) were given enormous power, including the ability to maintain their own armies, collect taxes, and pass their titles on hereditarily. It was commonly recognized as the beginning of the fall of Tang's central government.



A bas-relief of a soldier and horse with elaborate saddle and stirrups, from the tomb of Emperor Taizong, c. 650

### Soldiers and conscription

By the year 737, Emperor Xuanzong discarded the policy of conscripting soldiers that were replaced every three years, replacing them with long-service soldiers who were more battle-hardened and efficient. It was more economically feasible as well, since training new recruits and sending them out to the frontier every three years drained the treasury. Plus, by the late 7th century, the *fubing* troops began abandoning military service and the homes allotted to them in the equal-field system, because the supposed standard 100 *mu* of land for each family was in fact decreasing in size in places where population expanded and the rich and wealthy bought up most of the land. Hard-pressed peasants and vagrants were then induced into military service with benefits of exemption from both taxation and corvée labor service, as well as provisions for farmland and dwellings for dependents who accompanied soldiers on the frontier. By the year 742 the total number of enlisted troops in the Tang armies had risen to about 500,000 men.

### Turk and Western Regions



A Tang period gilt-silver jar with a pattern of dancing horses, shaped in the style of northern nomad's leather bag. The horse is seen dancing with a cup of wine in its mouth, just how the horses of Emperor Xuanzong were trained to do.

The Sui and Tang had one of the most successful military campaigns against the steppe nomads during its history. In terms of foreign policy to the north and west, the Chinese now had to deal with Turkic nomads, who were becoming the most dominant ethnic group in Central Asia. To handle and avoid any threats posed by the Turks, the Sui government repaired fortifications and received their trade and tribute missions. They sent royal princesses off to marry Turkic clan leaders, a total four of them in 597, 599, 614, and 617. The Sui stirred trouble and conflict amongst ethnic groups against the Turks. As early as the Sui Dynasty the Turks had become a major militarized force employed by the Chinese. When the Khitans began raiding northeast China in 605, a Chinese general led 20,000 Turks against them, distributing Khitan livestock and women to the Turks as a reward. The Tang, unlike the Sui, did not send royal princesses to their leaders; instead they were married to Turk mercenaries or generals in Chinese service, and such marriages only occurred in two rare occasions between 635 and 636. Throughout the Tang Dynasty until the end of 755, there were approximately ten Turkic generals serving under the Tang. While most of the Tang army was made of fubing Chinese conscripts, the majority of the army led by Turkic generals was of non-Chinese origin, campaigning largely in the western frontier where the presence of fubing troops was low.

Civil war in China was almost totally diminished by 626, along with the defeat in 628 of the Ordos Chinese warlord Liang Shidu; after these internal conflicts, the Tang began an offensive against the Turks. In the year 630, Tang armies captured areas of the Ordos Desert, modern-day Inner Mongolia province, and southern Mongolia from the Turks. After this military victory, Emperor Taizong won the title of Great Khan amongst the various Turks in the region who pledged their allegiance to him and the Chinese empire (with several thousand Turks traveling into China to live at Chang'an). On June 11, 631, Emperor Taizong also sent envoys to the Xueyantuo bearing gold and silk in order to persuade the release of enslaved Chinese prisoners who were captured during the transition from Sui to Tang from the northern frontier; this embassy succeeded in freeing 80,000 Chinese men and women who were then returned to China. While the Turks were settled in the Ordos region (former territory of the Xiongnu), the Tang government took on the military policy of dominating the central steppe. Like the earlier Han Dynasty, the Tang Dynasty (along with Turkic allies) conquered and subdued Central Asia during the 640s and 650s. During Emperor Taizong's reign alone, large campaigns were launched against not only the Göktürks, but also separate campaigns against the Tuyuhun, the Tufan, the Xiyu states, and the Xueyantuo.



The Tang Empire fought with the Tibetan Empire for control of areas in Inner and Central Asia, which was at times settled with marriage alliances such as the marrying of Princess Wencheng (d. 680) to Songtsän Gampo (d. 649). There was a long string of conflicts with Tibet over territories in the Tarim Basin between 670–692 and in 763 the Tibetans even captured the capital of China, Chang'an, for fifteen days amidst the An Shi Rebellion. In fact, it was during this rebellion that the Tang withdrew its western garrisons stationed in what is now Gansu and Qinghai, which the Tibetans then occupied along with the territory of what is now Xinjiang. Hostilities between the Tang and Tibet continued until they signed a formal peace treaty in 821. The terms of this treaty, including the fixed borders between the two countries, are recorded in a bilingual inscription on a stone pillar outside the Jokhang temple in Lhasa.

During the Islamic conquest of Persia (633–656), the son of the last ruler of the Sassanid Empire, Prince Pirooz, fled to Tang China. According to the *Book of Tang*, Pirooz was made the head of a Governorate of Persia in what is now Zaranj, Afghanistan. During this conquest of Persia, the Islamic Caliph Uthman Ibn Affan (r. 644–656) sent an embassy to the Tang court at Chang'an. By the 740s, the Arabs of Khurasan had established a presence in the Ferghana basin and in Sogdiana. At the Battle of Talas in 751, Qarluq mercenaries under the Chinese defected, which forced Tang commander Gao Xianzhi (d. 756) to retreat. Although the battle itself was not of the greatest significance militarily, this was a pivotal moment in history; it marks the spread of Chinese papermaking into regions west of China, ultimately reaching Europe by the 12th century. Although they had fought at Talas, on June 11, 758, an Abbasid embassy arrived at Chang'an simultaneously with the Uyghur Turks in order to pay tribute. From even further west, a tribute embassy came to the court of Taizong in 643 from the Patriarch of Antioch.

## Korea and Japan

In terms of foreign policy to the east, the Chinese had more unsuccessful military campaigns as compared with elsewhere. Like the emperors of the Sui Dynasty before him, Taizong established a military campaign in 644 against the Korean kingdom of Goguryeo in the Goguryeo-Tang Wars. Since the ancient Han and Jin dynasties once had a commandery in ancient northern Korea, the Tang Chinese desired to conquer the region. Allying with the Korean Silla Kingdom, the Chinese fought against Baekje and their Yamato Japanese allies in the Battle of Baekgang in August of 663, a decisive Tang-Silla victory. The Tang Dynasty navy had several different ship types at its disposal to engage in naval warfare, these ships described by Li Quan in his *Taipai Yinjing* (Canon of the White and Gloomy Planet of War) of 759. The Battle of Baekgang was actually a restoration movement by remnant forces of Baekje, since their kingdom was toppled in 660 by a joint Tang-Silla invasion, led by notable Korean general Kim Yushin (595–673) and Chinese general Su Dingfang. In another joint invasion with Silla, the Tang army severely weakened the Goguryeo Kingdom in the north by taking out its outer forts in the year 645. With joint attacks by Silla and Tang armies under commander Li Shiji (594–669), the Kingdom of Goguryeo was destroyed by 668. Although they were formerly enemies, the Tang accepted officials and generals of Goguryeo into their administration and military, such as the brothers Yeon Namsaeng (634–679) and Yeon Namsan (639–701). From 668 to 676, the Tang Empire would control northern Korea. However, in 671 Silla began fighting the Tang forces there. At the same time the Tang faced threats on its western border when a large



A tomb guard (*wushi yong*),  
terracotta sculpture, Tang Dynasty,  
early 8th century



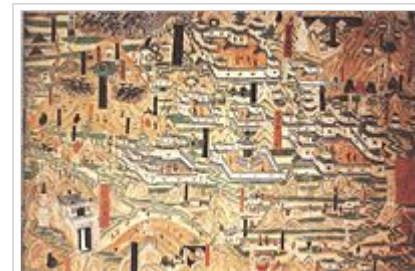
A clay haniwa model of a ship,  
from Japan's Kofun period  
(250–538)



Chinese army was defeated by the Tibetans on the Dafei River in 670. By 676, the Tang army was driven out of Korea by Unified Silla. Following a revolt of the Eastern Turks in 679, the Tang abandoned its Korean campaigns.

Although the Tang had fought the Japanese, they still held cordial relations with Japan. There were numerous Imperial embassies to China from Japan, diplomatic missions that were not halted until 894 by Emperor Uda (r. 887–897), upon persuasion by Sugawara no Michizane (845–903). The Japanese Emperor Temmu (r. 672–686) even established his conscripted army on that of the Chinese model, his state ceremonies on the Chinese model, and constructed his palace at Fujiwara on the Chinese model of architecture. Many Chinese Buddhist monks came to Japan to help further the spread of Buddhism as well. Two 7th century monks in particular, Zhi Yu and Zhi You, visited the court of Emperor Tenji (r. 661–672), whereupon they presented a gift of a South Pointing Chariot that they had crafted. This 3rd century mechanically-driven directional- compass vehicle (employing a differential gear) was again reproduced in several models for Tenji in 666, as recorded in the *Nihon Shoki* of 720. Japanese monks also visited China; such was the case with Ennin (794–864), who wrote of his travel experiences including travels along China's Grand Canal. The Japanese monk Enchin (814–891) stayed in China from 839 to 847 and again from 853 to 858, landing near Fuzhou, Fujian and setting sail for Japan from Taizhou, Zhejiang during his second trip to China.

## Trade and spread of culture



A 10th century mural painting in the Mogao Caves at Dunhuang showing monastic architecture from Mount Wutai, Tang Dynasty; Japanese architecture of this period was influenced by Tang Chinese architecture





Through use of the land trade along the Silk Road and maritime trade by sail at sea, the Tang were able to gain many new technologies, cultural practices, rare luxury, and contemporary items. From the Middle East, India, Persia, and Central Asia the Tang were able to acquire new ideas in fashion, new types of ceramics, and improved silver-smithing. The Chinese also gradually adopted the foreign concept of stools and chairs as seating, whereas the Chinese beforehand always sat on mats placed on the floor. To the Middle East, the Islamic world coveted and purchased in bulk Chinese goods such as silks, lacquerwares, and porcelain wares. Songs, dances, and musical instruments from foreign regions became popular in China during the Tang Dynasty. These musical instruments included oboes, flutes, and small lacquered drums from Kucha in the Tarim Basin, and percussion instruments from India such as cymbals. At the court there were nine musical ensembles (expanded from seven in the Sui Dynasty) representing music from throughout Asia.

There was great contact and interest in India as a hub for Buddhist knowledge, with famous travelers such as Xuanzang (d. 664) visiting the South Asian subcontinent. After a 17-year long trip, Xuanzang managed to bring back tons of valuable Sanskrit texts to be translated into Chinese. There was also a Turkic-Chinese dictionary available for serious scholars and students, while Turkic folksongs gave inspiration to some Chinese poetry. In the interior of China, trade was facilitated by the Grand Canal and the Tang government's rationalization of the greater canal system that reduced costs of transporting grain and other commodities. The state also managed roughly 32,100 km (20,000 miles) of postal service routes by horse or boat.

### Silk Road

The Silk Road was the most important pre-modern Eurasian trade route. During this period of the Pax Sinica, the Silk Road reached its golden age, whereby Persian and Sogdian merchants benefited from the commerce between East and West. At the same time, the Chinese empire welcomed foreign cultures, making the Tang capital arguably the most cosmopolitan area in the world.



A 5-stringed pipa  
(*wuxian*) from the  
Tang Dynasty



A Tang Dynasty tri-colour glazed figurine of a horse

Although the Silk Road from China to the West was initially formulated during the reign of Emperor Wu of Han (141–87 BC), it was reopened by the Tang in 639 when Hou Junji (d. 643) conquered the West, and remained open for almost four decades. It was closed after the Tibetans captured it in 678, but in 699, during Empress Wu's period, the Silk Road reopened when the Tang reconquered the Four Garrisons of Anxi originally installed in 640, once again connecting China directly to the West for land-based trade. The Tang captured the vital route through the Gilgit Valley from Tibet in 722, lost it to the Tibetans in 737, and regained it under the command of the Goguryeo-Korean General Gao Xianzhi. After the An Shi Rebellion ended in 763, the Tang Empire had once again lost control over many of its outer western lands, as the Tibetan Empire largely cut off China's direct access to the Silk Road. An internal rebellion in 848 ousted the Tibetan rulers, while Tang China regained its western territories from Tibet in 851, which contained crucial grazing areas and pastures for raising horses that the Tang Dynasty desperately needed.

Despite the many western travelers coming into China to live and trade, many travelers, mainly religious monks, recorded the strict border laws that the Chinese enforced. As the monk Xuanzang and many other monk travelers attested to, there were many Chinese government checkpoints along the Silk Road that examined travel permits into the Tang Empire. Furthermore, banditry was a problem along the checkpoints and oasis towns, as Xuanzang also recorded that his group of travelers were assaulted by bandits on multiple

occasions.

### Seaports and maritime trade



Chinese envoys had been sailing through the Indian Ocean to India since the 2nd century BC, yet it was during the Tang Dynasty that a strong Chinese maritime presence could be found in the Persian Gulf and Red Sea, into Persia, Mesopotamia (sailing up the Euphrates River in modern-day Iraq), Arabia, Egypt, Aksum (Ethiopia), and Somalia in East Africa. From the same Quraysh tribe of Muhammad, Sa'd ibn Abi-Waqqas sailed from Ethiopia to China during the reign of Emperor Gaozu. He later traveled back to China with a copy of the Quran, establishing China's first mosque, the Mosque of Remembrance, during the reign of Emperor Gaozong. To this day he is still buried in a Muslim cemetery at Guangzhou.

During the Tang Dynasty, thousands of foreigners came and lived in Guangzhou for trade and commercial ties with China, including Persians, Arabs, Hindu Indians, Malays, Sinhalese, Khmers, Chams, Jews and Nestorian Christians of the Near East, and many others. In 748, the Buddhist monk Jian Zhen described Guangzhou as a bustling mercantile centre where many large and impressive foreign ships came to dock. He wrote that "many big ships came from Borneo, Persia, Qunglun (Indonesia/ Java)...with...spices, pearls, and jade piled up mountain high", as written in the *Yue Jue Shu* (Lost Records of the State of Yue). After Arab and Persian pirates burned and looted Guangzhou in 758, the Tang government reacted by shutting the port down for roughly five decades, as foreign vessels docked at Hanoi instead. However, when the port reopened it continued to thrive. In 851 the Arab merchant Suleiman al-Tajir observed the manufacturing of Chinese porcelain in Guangzhou and admired its transparent quality. He also provided description on the mosque at Guangzhou, its granaries, its local government administration, some of its written records, the treatment of travellers, along with the use of ceramics, rice-wine, and tea. However, in another bloody episode at Guangzhou in 879, the Chinese rebel Huang Chao sacked the city, and purportedly slaughtered thousands of native Chinese, along with foreign Jews, Christians, and Muslims in the process. Chao's rebellion was eventually suppressed in 884.



Figurine of a foreign merchant of the Tang Dynasty, 7th century



A gilt Buddhist reliquary with decorations of armored guards, from Korean Silla, 7th century

Korean Silla, Manchurian Balhae and Japanese vessels were all involved in the Yellow Sea trade, in which Silla dominated the trade and Japanese vessels ventured into from Hizen. After Silla and Japan reopened renewed hostilities in the late 7th century, most Japanese maritime merchants chose to set sail from Nagasaki towards the mouth of the Huai River, the Yangzi River, and even as far south as the Hangzhou Bay in order to avoid Korean ships in the Yellow Sea. In order to sail back to Japan in 838, the Japanese embassy to China procured nine ships and sixty Korean sailors from the Korean wards of Chuzhou and Lianshui cities along the Huai River. It is also known that Chinese trade ships traveling to Japan set sail from the various ports along the coasts Zhejiang and Fujian provinces.

The Tang government and Chinese merchants became interested in by-passing the Arab merchants who dominated the trade of the Indian Ocean, to gain access to thriving trade in the vast oceanic region. Beginning in 785, the Chinese began to call regularly at Sufala on the East African coast in order to cut out Arab middlemen, with various contemporary Chinese sources giving detailed descriptions of trade in Africa. The official and geographer Jia Dan (730–805) wrote of two common sea trade routes in his day: one from the coast of the Bohai Sea towards Korea and another from Guangzhou

through Malacca towards the Nicobar Islands, Sri Lanka and India, the eastern and northern shores of the Arabian Sea to the Euphrates River. In 863 the Chinese author Duan Chengshi (d. 863) provided detailed description about the slave trade, ivory trade, and ambergris trade in a country called Bobali, which historians point to the possibility of being Berbera in Somalia. In Fustat (old Cairo), Egypt, the fame of Chinese ceramics there led to an enormous demand for



Chinese goods, hence Chinese often traveled there, also in later periods such as Fatimid Egypt. From this time period, the Arab merchant Shulama once wrote of his admiration for Chinese seafaring junks, but noted that the draft was too deep for them to enter the Euphrates River, which forced them to land small boats for passengers and cargo. Shulama also noted in his writing that Chinese ships were often very large, large enough to carry aboard 600 to 700 passengers each.

## Empress Wu and Emperor Xuanzong

### Usurpation of Wu Zetian

Although she entered Emperor Gaozong's court as the lowly consort Wu Zhao, Wu Zetian would rise to the highest seat of power in 690, establishing the short-lived latter Zhou Dynasty. Empress Wu's rise to power was achieved through cruel and calculating tactics. For example, she allegedly killed her own baby girl and blamed it on Gaozong's empress so that the empress would be demoted. Emperor Gaozong suffered a stroke in 655, and Wu began to make many of his court decisions for him, discussing affairs of state with his councilors that would take orders from her while she sat behind a screen. When Empress Wu's eldest son and crown prince began to assert his authority and announce his support for issues that were opposed to Empress Wu's ideas, he suddenly died in 675. Many suspected he was poisoned by Empress Wu. Although the next heir apparent kept a lower profile, in 680 he was accused by Wu of plotting a rebellion and was banished (and later forced to commit suicide). After only six weeks on the throne in 683, Emperor Zhongzong was deposed by Empress Wu after his attempt to appoint his wife's father as chancellor. Because she dominated the court of Emperor Ruizong (r. 684–690), a group of Tang princes and their allies staged a major rebellion against Empress Wu in 684; yet her armies suppressed their dissent within two months. Becoming China's first female emperor in 690 upon her son's forced abdication, she ruled until shortly before her death in 705, deposed by her own retainers while her designated heir became Emperor Zhongzong again.

In order to legitimize her rule in a religious sense, she circulated a document known as the *Great Cloud Sutra*, which predicted that a reincarnation of the Maitreya Buddha would be a female monarch who would dispel illness, worry, and disaster from the world. She even introduced numerous revised written characters to the written language, which were reversed back to the originals only after her death. Arguably the most important part of her legacy was diminishing the power of the northwest aristocracy, allowing people from other clans and regions of China to become more representative in Chinese politics and government.

### Rise of Xuanzong



Ladies from a mural of Li Xianhui's tomb in the Qianling Mausoleum, where Wu Zetian was also buried in 706



There were many prominent women at court during and after Wu's reign, including Shangguan Wan'er (664–710), a female poet, writer, and trusted official in charge of Wu's private office. In 706 the wife of Emperor Zhongzong of Tang, Empress Wei (d. 710), convinced her husband to staff government offices with his sister and her daughters, and in 709 requested that he grant women the right to bequeath hereditary privileges to their sons (which before was a male right only). Empress Wei eventually poisoned Zhongzong, whereupon she placed his fifteen year old son upon the throne in 710. Two weeks later, Li Longji (the later Emperor Xuanzong) entered the palace with a few followers and slew Empress Wei and her faction. He then installed his father Emperor Ruizong (r. 710–712) on the throne. Just as Emperor Zhongzong was dominated by Empress Wei, so too was Ruizong dominated by Princess Taiping. This was finally ended when Princess Taiping's coup failed in 712 (she later hanged herself in 713) and Emperor Ruizong abdicated to Emperor Xuanzong.

During the 44 year reign of Emperor Xuanzong, the Tang Dynasty was brought to its height, a golden age, a period of low economic inflation, as well as a toning down of the excessively lavish lifestyle of the imperial court. Seen as a progressive and benevolent ruler, Xuanzong even abolished the death penalty in the year 747, and all executions had to be approved beforehand by the emperor himself (which was relatively few, considering that there were only 24 executions in the year 730 alone). Xuanzong bowed to the consensus of his ministers on policy decisions and made efforts to fairly staff government ministries with different political factions. His staunch Confucian chancellor Zhang Jiuling (673–740) worked to reduce deflation and increase the money supply by upholding the use of private coinage, although his aristocratic and technocratic successor Li Linfu (d. 753) favored government monopoly over the issuance of coinage. After 737 most of Xuanzong's confidence rested in his long-standing chancellor Li Linfu, who championed a more aggressive foreign policy employing non-Chinese generals that would cement the conditions for a massive rebellion against Xuanzong.

## Decline

### Rebellion and catastrophe



The Giant Wild Goose Pagoda, first built in 652, later repaired by Empress Wu Zetian in 704, Chang'an (modern-day Xi'an)



The Leshan Giant Buddha, 71 m (233 ft) in height; construction began in 713 and was completed ninety years later in 803.



The Tang Empire was at its height of power up until the middle of the 8th century, when the An Shi Rebellion (December 16, 755– February 17, 763) destroyed the prosperity of the empire. An Lushan was a half- Sogdian, half-Turk Tang commander since 744, had experience fighting the Khitans of Manchuria with a victory in 744, yet most of his campaigns against the Khitans were unsuccessful. He was given great responsibility in Hebei, which allowed him to rebel with an army of more than one hundred thousand troops. After capturing Luoyang, he named himself emperor of a new, but short-lived, Yan Dynasty. Despite early victories scored by Tang General Guo Ziyi (697–781), the newly recruited troops of the army at the capital were no match for An Lushan's die-hard frontier veterans, so the court fled Chang'an. While the heir apparent raised troops in Shanxi and Xuanzong fled to Sichuan province, they called upon the help of the Uyghur Turks in 756. The Uyghur khan Moyanchur was greatly excited at this prospect, and even married his own daughter to the Chinese diplomatic envoy once he arrived, yet the Uyghur khan would in turn receive a Chinese princess as his bride. Although the Uyghurs helped recapture the Tang capital from the rebels, they continued to stay and refused to leave until the Tang paid them an enormous sum of tribute in silk. Even Abbasid Arabs assisted the Tang in putting down An Lushan's rebellion. The Tibetans took hold of the opportunity and raided many areas under Chinese control, and even after the Tibetan Empire had fallen apart in 842 (and the Uyghurs soon after) the Tang were in no position to reconquer Central Asia after 763. So significant was this loss that half a century later *jinshi* examination candidates were required to write an essay on the causes of the Tang's decline. Although An Lushan was killed by one of his eunuchs in 757, this time of troubles and widespread insurrection continued until rebel Shi Siming was killed by his own son in 763.



Tang provinces by 742; An Lushan harassed the Khitans (their territory indicated on the map) in order to stir conflict, which provided him with more support from Chang'an, hence strengthening his position. He eventually rose in rebellion in 755.

One of the legacies that the Tang government left since 710 was the gradual rise of regional military governors, the *jiedushi*, who slowly came to challenge the power of the central government. After the An Shi Rebellion, the autonomous power and authority accumulated by the *jiedushi* in Hebei went beyond the central government's control. After a series of rebellions between 781 and 784 in today's Hebei, Shandong, Hubei and Henan provinces, the government had to officially acknowledge the *jiedushi*'s hereditary ruling without accreditation. The Tang government relied on these governors and their armies for protection and to suppress locals that would take up arms against the government. In return, the central government would acknowledge the rights of these governors to maintain their army, collect taxes and even to pass on their title to heirs. As time passed on these military governors slowly phased out the prominence of civil officials drafted by exams, and became more autonomous from central authority. The rule of these powerful military governors lasted until 960, when a new civil order under the Song Dynasty was established. Also, the abandonment of the equal-field system meant that people could buy and sell land freely. Many poor fell into debt because of this, forced to sell their land to the wealthy, which led to the exponential growth of large estates. With the breakdown of the land allocation system after 755, the central Chinese state barely interfered in agricultural management and acted merely as tax collector for roughly a millennium, save a few instances such as the Song's failed land nationalization during the 13th century war with the Mongols.



*Eighty Seven Celestials*, draft painting of a fresco by Wu Daozi (c. 685–758)

With the central government collapsing in authority over the various regions of the empire, it was recorded in 845 that bandits and river pirates in parties of 100 or more began plundering settlements along the Yangtze River with little resistance. In 858, enormous floods along the Grand Canal inundated vast tracts of land and terrain of the North China Plain, which drowned tens of thousands of people in the process. The Chinese belief in the Mandate of Heaven granted to the ailing Tang was also challenged when natural calamities occurred, forcing many to believe the Heavens were displeased and that the Tang had lost

their right to rule. Then in 873 a disastrous harvest shook the foundations of the empire, in some areas only half of all agricultural produce being gathered, and tens of thousands faced famine and starvation. In the earlier period of the Tang, the central government was able to meet crisis in the harvest, as it was recorded from 714–719 that the Tang government took assertive action in responding to natural disasters by extending the price-regulation granary system throughout the country. The central government was able then to build a large surplus stock of foods to meet danger of rising famine and increased agricultural productivity through effective land reclamation, yet the Tang government in the 9th century was nearly helpless in dealing with any calamity.

### Rebuilding and recovery

Although these natural calamities and rebellions stained the reputation and hampered the effectiveness of the central government, the early 9th century is nonetheless viewed as a period of recovery for the Tang Dynasty. The government's withdrawal from its role in managing the economy had the unintended effect of stimulating trade, as more markets with less bureaucratic restrictions were opened up. By 780, the old grain tax and labor service of the 7th century was replaced by a semiannual tax paid in cash, signifying the shift to a money economy bolstered by the merchant class. Cities in the Jiangnan region to the south, such as Yangzhou, Suzhou, and Hangzhou prospered the most economically during the late Tang period. Although weakened after the An Shi Rebellion, in 799 the Tang government's salt monopoly accounted for over half of the government's revenues, while the salt commission became one of the most powerful state agencies, run by capable ministers chosen as specialists in finance. S.A.M. Adshead writes that this salt tax represents "the first time that an indirect tax, rather than tribute, levies on land or people, or profit from state enterprises such as mines, had been the primary resource of a major state." Even after the power of the central government was in decline since the mid 8th century, it was still able to function and give out imperial orders on a massive scale. The *Tangshu* (Book of Tang) compiled in the year 945 recorded that in 828 the Tang government issued a decree that standardized irrigational square-pallet chain pumps in the country:

In the second year of the Taihe reign period [828 AD], in the second month...a standard model of the chain pump was issued from the palace, and the people of Jingzhao Fu (d footnote: the capital) were ordered by the emperor to make a considerable number of machines, for distribution to the people along the Zheng Bai Canal, for irrigation purposes.



Xumi Pagoda, built in 636

The last great ambitious ruler of the Tang Dynasty was Emperor Xianzong of Tang (r. 805–820), his reign period aided by the fiscal reforms of the 780s,





including the government monopoly on the salt industry. He also had an effective well trained imperial army stationed at the capital led by his court eunuchs; this was the Army of Divine Strategy, numbering 240,000 in strength as recorded in 798. Between the years 806 and 819, Emperor Xianzong conducted seven major military campaigns to quell the rebellious provinces that had claimed autonomy from central authority, managing to subdue all but two of them. Under his reign there was a brief end to the hereditary jiedushi, as Xianzong appointed his own military officers and staffed the regional bureaucracies once again with civil officials. However, Xianzong's successors proved less capable and more interested in the leisure of hunting, feasting, and playing outdoor sports, allowing eunuchs to amass more power as drafted scholar-officials caused strife in the bureaucracy with factional parties. The eunuchs' power became unchallenged after Emperor Wenzong of Tang's (r. 826–840) failed plot to have them overthrown; instead the allies of Emperor Wenzong were publicly executed in the West Market of Chang'an, by the eunuch's command.

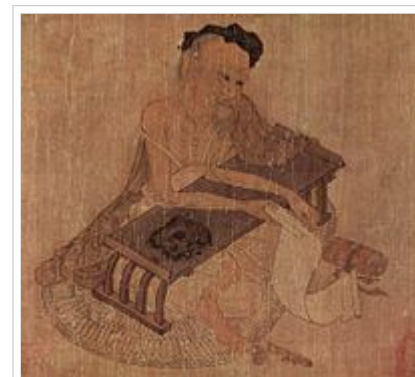
## Collapse

In addition to natural calamities and jiedushi amassing autonomous control, the Huang Chao Rebellion (874–884) resulted in the sacking of both Chang'an and Luoyang, and took an entire decade to suppress. Although the rebellion was defeated by the Tang, it never recovered from that crucial blow, weakening it for the future military powers to take over. There were also large groups of bandits, in the size of small armies, that ravaged the countryside in the last years of the Tang, who smuggled illicit salt, ambushed merchants and convoys, and even besieged several walled cities.

A certain Zhu Wen (originally a salt smuggler) who had served under the rebel Huang had later surrendered to Tang forces, his military merit in betraying and defeating Huang's forces meaning rapid military promotions for him. In 907, after almost 300 years in power, the dynasty was ended when this military governor, Zhu Wen (known soon after as Taizu of Later Liang), deposed the last emperor of Tang, Emperor Ai of Tang, and took the throne for himself. He established his Later Liang Dynasty, which thereby inaugurated the Five Dynasties and Ten Kingdoms Period. A year later, the deposed Emperor Ai was poisoned to death by Zhu Wen.

Although cast in a negative light by many for usurping power from the Tang, Zhu Wen turned out to be a skilled administrator. Emperor Taizu of Later Liang was also responsible for the building of a large seawall, new walls and roads for the burgeoning city of Hangzhou, which would later become the capital of the Southern Song Dynasty.

## Society and culture



Painting of the scholar Fu Sheng, by the Tang poet, musician, and painter Wang Wei (701–761)



Both the Sui and Tang Dynasties had turned away from the more feudal culture of the preceding Northern Dynasties, in favour of staunch civil Confucianism. The governmental system was supported by a large class of Confucian intellectuals selected through either civil service examinations or recommendations. In the Tang period, Daoism and Buddhism reigned as core ideologies as well, and played a large role in people's daily lives. The Tang Chinese enjoyed feasting, drinking, holidays, sports, and all sorts of entertainment, while Chinese literature blossomed and was more widely accessible with new printing methods.

## Leisure in the Tang

Much more than earlier periods, the Tang era was an era renowned for its time reserved for leisure activity, especially for those in the upper classes. Many outdoor sports and activities were enjoyed during the Tang, including archery, hunting, horse polo, cuju football, cockfighting, and even tug of war. Government officials were granted vacations during their tenure in office. Officials were granted 30 days off every three years to visit their parents if they lived 1000 miles/1609 km away, or 15 days off if the parents lived more than 167 miles/268 km away (travel time not included). Officials were granted nine days of vacation time for weddings of a son or daughter, and either five, three, or one days/day off for the nuptials of close relatives (travel time not included). Officials also received a total of three days off for their son's capping initiation rite into manhood, and one day off for the ceremony of initiation rite of a close relative's son. Traditional Chinese holidays such as Chinese New Year, Lantern Festival, Cold Food Festival, and others were universal holidays. In the capital city of Chang'an there was always lively celebration, especially for the Lantern Festival since the city's nighttime curfew was lifted by the government for three days straight. Between the years 628 and 758, the imperial throne bestowed a total of sixty-nine grand carnivals nationwide, granted by the emperor in the case of special circumstances like important military victories, abundant harvests after a long drought or famine, the granting of amnesties, the installment of a new crown prince, etc. For special celebration in the Tang era, lavish and gargantuan-sized feasts were sometimes prepared, as the imperial court had staffed agencies to prepare the meals. This included a prepared feast for 1,100 elders of Chang'an in 664, a feast for 3,500 officers of the Divine Strategy Army in 768, and a feast for 1,200 women of the palace and members of the imperial family in the year 826. Drinking wine and alcoholic beverages was heavily ingrained into Chinese culture, as people drank for nearly every social event. A court official in the 8th century allegedly had a serpentine-shaped structure called the 'Ale Grotto' built with 50,000 bricks on the groundfloor that each featured a drinking bowl for his friends to drink from.

## Chang'an, the Tang capital



A Tang-era painting of a Bodhisattva holding an incense burner, from Dunhuang



Although Chang'an was the site for the capital of the earlier Han and Jin dynasties, after subsequent destruction in warfare, it was the Sui Dynasty model that comprised the Tang era capital. The roughly-square dimensions of the city had six miles (10 km) of outer walls running east to west, and more than five miles (8 km) of outer walls running north to south. From the large Mingde Gates located mid-centre of the main southern wall, a wide city avenue stretched from there all the way north to the central administrative city, behind which was the Chentian Gate of the royal palace, or Imperial City. Intersecting this were fourteen main streets running east to west, while eleven main streets ran north to south. These main intersecting roads formed 108 rectangular wards with walls and four gates each, and each ward filled with multiple city blocks. The city was made famous for this checkerboard pattern of main roads with walled and gated districts, its layout even mentioned in one of Du Fu's poems. During the Heian period, the city of Heian kyō (present-day Kyoto) of Japan like many cities was arranged in the checkerboard street grid pattern of the Tang capital and in accordance with traditional geomancy following the model of Chang'an. Of these 108 wards in Chang'an, two of them (each the size of two regular city wards) were designated as government-supervised markets, and other space reserved for temples, gardens, ponds, etc. Throughout the entire city, there were 111 Buddhist monasteries, 41 Daoist abbeys, 38 family shrines, 2 official temples, 7 churches of foreign religions, 10 city wards with provincial transmission offices, 12 major inns, and 6 graveyards. Some city wards were literally filled with open public playing fields or the backyards of lavish mansions for playing horse polo and cuju football.



Chinese ladies playing cuju football, which was played in fields of city wards and in immediate areas outside of Chang'an



The bronze Jingyun Bell cast in the year 711, measuring 247 cm high and weighing 6,500 kg, now located in the Xi'an Bell Tower

The Tang capital was the largest city in the world at its time, the population of the city wards and its outlying suburbs reaching 2 million inhabitants. The Tang capital was very cosmopolitan, with ethnicities of Persia, Central Asia, Japan, Korea, Vietnam, Tibet, India, and many other places living within. Naturally, with this plethora of different ethnicities living in Chang'an, there were also many different practiced religions, such as Buddhism, Nestorian Christianity, Manichaeism, Zoroastrianism, Judaism, and Islam being practiced within. With widely open access to China that the Silk Road to the west facilitated, many foreign settlers were able to move east to China, while the city of Chang'an itself had about 25,000 foreigners living within. Exotic green-eyed, blond-haired Tocharian ladies serving wine in agate and amber cups, singing, and dancing at taverns attracted customers. If a foreigner in China pursued a Chinese woman for marriage, he was required to stay in China and was unable to take his bride back to his homeland, as stated in a law passed in 628 to protect women from temporary marriages with foreign envoys.

Chang'an was the centre of the central government, the home of the imperial family, and was filled with splendor and wealth. However, incidentally it was not the economic hub during the Tang Dynasty. The city of Yangzhou along the Grand Canal and close to the Yangtze River was the greatest economic centre during the Tang era. Yangzhou was the headquarters for the Tang's government monopoly on salt, and the greatest industrial centre of China; it acted as a midpoint in shipping of foreign goods that would be organized and distributed to the major cities of the north. Much like the seaport of Guangzhou in the south, Yangzhou boasted thousands of foreign traders from all across Asia.

There was also the secondary capital city of Luoyang, which was the favored capital of the two by Empress Wu. In the year 691 she had more than 100,000 families (more than 500,000 people) from around the region of Chang'an move to populate Luoyang instead.

With a population of about a million, Luoyang became the second largest capital in the empire, and with its close proximity to the Luo River it benefited from southern agricultural fertility and trade traffic of the Grand Canal. However, the Tang court eventually demoted its capital status and did not visit Luoyang after the year 743, when Chang'an's problem of acquiring adequate supplies and stores for the year was solved. As early as 736, granaries were built at critical points along the route from Yangzhou to Chang'an, which eliminated shipment delays, spoilage, and pilfering. An artificial lake used as a transshipment pool was dredged east of Chang'an in 743, where curious northerners could finally see the array of boats found in southern China, delivering tax and tribute items to the imperial court.

## Literature

The Tang period was a golden age of Chinese literature and art. There are over 48,900 poems penned by some 2,200 Tang authors that have survived until modern times. Perfecting one's skills in the composition of poetry became a required study for those wishing to pass imperial examinations, while poetry was also heavily competitive; poetry contests amongst esteemed guests at banquets and courtiers of elite social gatherings was common in the Tang period. Poetry

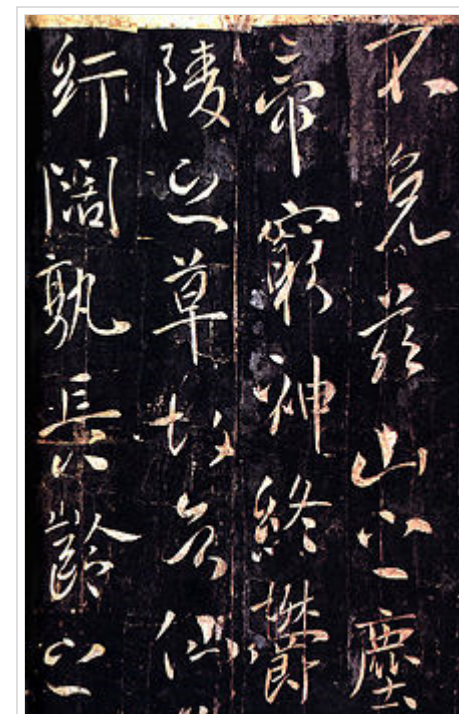


*Spring Outing of the Tang Court*, by Zhang Xuan (713–755)



styles that were popular in the Tang included gushi and jintishi, with the renowned Tang poet Li Bai (701–762) famous for the former style, and Tang poets like Wang Wei (701–761) and Cui Hao (704–754) famous for their use of the latter. Jintishi poetry, or regulated verse, is in the form of eight-line stanzas or seven characters per line with a fixed pattern of tones that required the second and third couplets to be antithetical (although the antithesis is often lost in translation to other languages). Tang poems in particular remain the most popular out of every historical era of China. This great emulation of Tang era poetry began in the Song Dynasty period, as it was Yan Yu (active 1194–1245) who asserted that he was the first to designate the poetry of the High Tang (c. 713–766) era as the orthodox material with "canonical status within the classical poetic tradition." At the pinnacle of all the Tang poets, Yan Yu had reserved the position of highest esteem for that of Du Fu (712–770), a man who would not be viewed as such in his own era of poetic competitors, and branded by his peers as an anti-traditional rebel. Below is an example of Du Fu's poetry, *To My Retired Friend Wei* (Chinese: 贈衛八處士). Like many other poems in the Tang it featured the theme of a long parting between friends, which was often due to officials being frequently transferred to the provinces:

人生不相見, *It is almost as hard for friends to meet*  
 動如參與商。 *As for the morning and evening stars.*  
 今夕復何夕, *Tonight then is a rare event,*  
 共此燈燭光。 *Joining, in the candlelight,*  
 少壯能幾時, *Two men who were young not long ago*  
 鬢髮各已蒼。 *But now are turning grey at the temples.*  
 訪舊半為鬼, *To find that half our friends are dead*  
 驚呼熱中腸。 *Shocks us, burns our hearts with grief.*  
 焉知二十載, *We little guessed it would be twenty years*  
 重上君子堂。 *Before I could visit you again.*  
 昔別君未婚, *When I went away, you were still unmarried;*  
 兒女忽成行。 *But now these boys and girls in a row*  
 怡然敬父執, *Are very kind to their father's old friend.*  
 問我來何方。 *They ask me where I have been on my journey;*



Written calligraphy of Emperor Taizong on a Tang stele



問答乃未已, *And then, when we have talked awhile,*  
 兒女羅酒漿。 *They bring and show me wines and dishes,*  
 夜雨翦春韭, *Spring chives cut in the night-rain*  
 新炊間黃粱。 *And brown rice cooked freshly a special way.*  
 主稱會面難, *My host proclaims it a festival,*  
 一舉累十觴。 *He urges me to drink ten cups --*  
 十觴亦不醉, *But what ten cups could make me as drunk*  
 感子故意長。 *As I always am with your love in my heart?*  
 明日隔山嶽, *Tomorrow the mountains will separate us;*  
 世事兩茫茫。 *After tomorrow - who can say?*

—Du Fu,

There were other important literary forms besides poetry during the Tang period. There was Duan Chengshi's (d. 863) *Miscellaneous Morsels from Youyang*, an entertaining collection of foreign legends and hearsay, reports on natural phenomena, short anecdotes, mythical and mundane tales, as well as notes on various subjects. The exact literary category or classification that Duan's large informal narrative would fit into is still debated amongst scholars and historians.

Short story fiction and tales were also popular during the Tang, one of the more famous ones being *Yingying's Biography* by Yuan Zhen (779–831), which was widely circulated in his own time and by the Yuan Dynasty (1279–1368) became the basis for plays in Chinese opera. Timothy C. Wong places this story within the wider context of Tang love tales, which often share the plot designs of quick passion, inescapable societal pressure leading to the abandonment of romance, followed by a period of melancholy. Wong states that this scheme lacks the undying vows and total self-commitment to love found in Western romances such as *Romeo and Juliet*, but that underlying traditional Chinese values of inseparableness of self from one's environment (including human society) served to create the necessary fictional device of romantic tension.

There were large encyclopedias published in the Tang. The *Yiwen Leiju* encyclopedia was compiled in 624 by the chief editor Ouyang Xun (557–641) as well as Linghu Defen (582–666) and Chen Shuda (d. 635). The encyclopedia *Treatise on Astrology of the Kaiyuan Era* was fully compiled in 729 by Gautama Siddha (fl. 8th century), an ethnic Indian astronomer, astrologer, and scholar born in the capital Chang'an.



Chinese geographers such as Jia Dan wrote accurate descriptions of places far abroad. In his work written between 785 and 805, he described the sea route going into the mouth of the Persian Gulf, and that the medieval Iranians (whom he called the people of Luo-He-Yi) had erected 'ornamental pillars' in the sea that acted as lighthouse beacons for ships that might go astray. Confirming Jia's reports about lighthouses in the Persian Gulf, Arabic writers a century after Jia wrote of the same structures, writers such as al-Mas'udi and al-Muqaddasi. The Tang Dynasty Chinese diplomat Wang Xuance traveled to Magadha (modern northeastern India) during the 7th century. Afterwards he wrote the book *Zhang Tianzhu Guotu* (Illustrated Accounts of Central India), which included a wealth of geographical information.

Many histories of previous dynasties were compiled between 636 and 659 by court officials during and shortly after the reign of Emperor Taizong of Tang. These included the *Book of Liang*, *Book of Chen*, *Book of Northern Qi*, *Book of Zhou*, *Book of Sui*, *Book of Jin*, *History of Northern Dynasties* and the *History of Southern Dynasties*. Although not included in the official *Twenty-Four Histories*, the *Tongdian* and *Tang Huiyao* were nonetheless valuable written historical works of the Tang period. The *Shitong* written by Liu Zhiji in 710 was a meta-history, as it covered the history of Chinese historiography in past centuries until his time. The *Great Tang Records on the Western Regions*, compiled by Bianji, recounted the journey of Xuanzang, the Tang era's most renowned Buddhist monk.

The Classical Prose Movement was spurred large in part by the writings of Tang authors Liu Zongyuan (773–819) and Han Yu (768–824). This new prose style broke away from the poetry tradition of the 'piantiwen' style begun in the ancient Han Dynasty. Although writers of the Classical Prose Movement imitated 'piantiwen', they criticized it for its often vague content and lack of colloquial language, focusing more on clarity and precision to make their writing more direct. This *guwen* (archaic prose) style can be traced back to Han Yu, and would become largely associated with orthodox Neo-Confucianism.

## Religion and philosophy



Small Wild Goose Pagoda, built by 709, was adjacent to the Dajianfu Temple in Chang'an, where Buddhist monks from India and elsewhere gathered to translate Sanskrit texts into Chinese



Since ancient times, the Chinese believed in a folk religion that incorporated many deities. The Chinese believed that the afterlife was a reality parallel to the living world, complete with its own bureaucracy and afterlife currency needed by dead ancestors. This is reflected in many short stories written in the Tang about people accidentally winding up in the realm of the dead, only to come back and report their experiences.

Buddhism, originating in India around the time of Confucius, continued to flourish during the Tang period and was adopted by the imperial family, becoming thoroughly sinicized and a permanent part of Chinese traditional culture. In an age before Neo-Confucianism and figures such as Zhu Xi (1130–1200), Buddhism had begun to flourish in China during the Southern and Northern Dynasties, and became the dominant ideology during the prosperous Tang. Buddhist monasteries played an integral role in Chinese society, offering lodging for travelers in remote areas, schools for children throughout the country, and a place for urban literati to stage social events and gatherings such as going-away parties. Buddhist monasteries were also engaged in the economy, since their land property and serfs gave them enough revenues to set up mills, oil presses, and other enterprises. Although the monasteries retained 'serfs', these monastery dependents could actually own property and employ others to help them in their work, including their own slaves.

The prominent status of Buddhism in Chinese culture began to decline as the dynasty and central government declined as well during the late 8th century to 9th century. Buddhist convents and temples that were exempt from state taxes beforehand were targeted by the state for taxation. In 845 Emperor Wuzong of Tang finally shut down 4,600 Buddhist monasteries along with 40,000 temples and shrines, forcing 260,000 Buddhist monks and nuns to return to secular life; this episode would later be dubbed one of the Four Buddhist Persecutions in China. Although the ban would be lifted just a few years after, Buddhism never regained its once dominant status in Chinese culture. This situation also came about through new revival of interest in native Chinese philosophies, such as Confucianism and Daoism. Han Yu (786–824)—who Arthur F. Wright stated was a "brilliant polemicist and ardent xenophobe"—was one of the first men of the Tang to denounce Buddhism. Although his contemporaries found him crude and obnoxious, he would foreshadow the later persecution of Buddhism in the Tang, as well as the revival of Confucian theory with the rise of Neo-Confucianism of the Song Dynasty. Nonetheless, Chán Buddhism gained popularity amongst the educated elite. There were also many famous Chan monks from the Tang era, such as Mazu Daoyi, Baizhang, and Huangbo Xiyun. The sect of Pure Land Buddhism initiated by the Chinese monk Huiyuan (334–416) was also just as popular as Chan Buddhism during the Tang.



A Tang Dynasty sculpture of a Bodhisattva





Rivaling Buddhism was Daoism, a native Chinese philosophical and religious belief system that found its roots in the book of the *Daodejing* (attributed to Laozi in the 6th century BC) and the *Zhuangzi*. The ruling Li family of the Tang Dynasty actually claimed descent from the ancient Laozi. On numerous occasions where Tang princes would become crown prince or Tang princesses taking vows as Daoist priestesses, their lavish former mansions would be converted into Daoist abbeys and places of worship. Many Daoists were associated with alchemy in their pursuits to find an elixir of immortality and a means to create gold from concocted mixtures of many other elements. Although they never achieved their goals in either of these futile pursuits, they did contribute to the discovery of new metal alloys, porcelain products, and new dyes. The historian Joseph Needham labeled the work of the Daoist alchemists as "proto-science rather than pseudo-science."

The Tang Dynasty also officially recognized various foreign religions. The Assyrian Church of the East, otherwise known as the Nestorian Christian Church, was given recognition by the Tang court. In 781, the Nestorian Stele was created in order to honour the achievements of their community in China. A Christian monastery was established in Shaanxi province where the Daqin Pagoda still stands, and inside the pagoda there is Christian-themed artwork. Although the religion largely died out after the Tang, it was revived in China following the Mongol invasions of the 13th century.



A timber hall built in 857, located at the Buddhist Foguang Temple of Mount Wutai, Shanxi

## Innovations



The Diamond Sutra, printed in 868, is the world's first widely printed book (using woodblock printing).

Woodblock printing made the written word available to vastly greater audiences. The text of the Diamond Sutra is an early example of Chinese woodblock printing, complete with illustrations embedded with the text. Among the earliest documents to be printed were Buddhist texts as well as calendars, the latter essential for calculating and marking which days were auspicious and which days were not. With so many books coming into circulation for the general public, literacy rates could improve, along with the lower classes being able to obtain cheaper sources of study. Therefore, there was more lower class people seen entering the Imperial Examinations and passing them by the later Song Dynasty. Although the later Bi Sheng's movable type printing in the 11th century was innovative for his period, woodblock printing that became widespread in the Tang would remain the dominant printing type in China until the more advanced printing press from Europe became widely accepted and used in East Asia.

Technology during the Tang period was built also upon the precedents of the past. The mechanical gear systems of Zhang Heng (78–139) and Ma Jun (fl. 3rd century) gave the Tang engineer, astronomer, and monk Yi Xing (683–727) a great source of influence when he invented the world's first clockwork escapement mechanism in 725. This was used alongside a clepsydra clock and waterwheel to power a rotating armillary sphere in representation of astronomical observation. Yi Xing's device also had a mechanically-timed bell that was struck automatically every hour, and a drum that was struck automatically every quarter hour; essentially, a striking clock. Yi's astronomical clock and water-powered armillary sphere became well known throughout the country, since students attempting to pass the imperial examinations by 730 had to write an essay on the device as an exam requirement. However, the most common type of public and palace timekeeping device was the inflow clepsydra, improved in about 610 by the Sui Dynasty engineers Geng



Xun and Yuwen Kai when they provided a steelyard balance that allowed seasonal adjustment in the pressure head of the compensating tank and could then control the rate of flow for different lengths of day and night.



A square bronze mirror with a phoenix motif of gold and silver inlaid with lacquer, 8th century



Wooden statues of tomb guardians from the Tang Dynasty; mechanical-driven wooden statues served as cup-bearers, wine-pourers, and others in this age



There were many other technically impressive inventions during the Tang era. This included a 0.91 m (3 ft) tall mechanical wine server of the early 8th century that was in the shape of an artificial mountain, carved out of iron and rested on a lacquered-wooden tortoise frame. This intricate device used a hydraulic pump that siphoned wine out of metal dragon-headed faucets, as well as tilting bowls that were timed to dip wine down, by force of gravity when filled, into an artificial lake that had intricate iron leaves popping up as trays for placing party treats. Furthermore, as the historian Charles Benn describes it:

Midway up the southern side of the mountain was a dragon...the beast opened its mouth and spit brew into a goblet seated on a large [iron] lotus leaf beneath. When the cup was 80 percent full, the dragon ceased spewing ale, and a guest immediately seized the goblet. If he was slow in draining the cup and returning it to the leaf, the door of a pavilion at the top of the mountain opened and a mechanical wine server, dressed in a cap and gown, emerged with a wooden bat in his hand. As soon as the guest returned the goblet, the dragon refilled it, the wine server withdrew, and the doors of the pavilion closed...A pump siphoned the ale that flowed into the ale pool through a hidden hole and returned the brew to the reservoir [holding more than 16 quarts/15 liters of wine] inside the mountain.

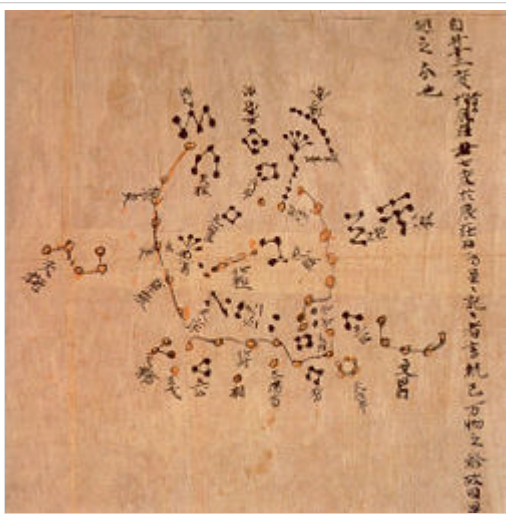


A rounded ceramic plate with "three colors" ( sancai) glaze design, 8th century

Although the use of a teasing mechanical puppet in this wine-serving device was certainly ingenious, the use of mechanical puppets in China date back to the Qin Dynasty (221–207 BC) while Ma Jun in the 3rd century had an entire mechanical puppet theatre operated by the rotation of a waterwheel. There was also an automatic wine-server known in the ancient Greco-Roman world, a design of Heron of Alexandria that employed an urn with an inner valve and a lever device similar to the one described above. There are many stories of automaton used in the Tang, including general Yang Wulian's wooden statue of a monk who stretched his hands out to collect contributions; when the amount of coins reached a certain weight, the mechanical figure moved his arms to deposit them in a sachel. This weight-and-lever mechanism was exactly like Heron's penny slot machine. Another device included one by Wang Ju, whose "wooden otter" could allegedly catch fish; Needham suspects a spring trap of some kind was employed here.

The Chinese of the Tang period employed complex chemical formulas for an array of different purposes, often found through experiments of Daoist alchemy. These included a waterproof and dust-repelling cream or varnish for clothes and weapons, fireproof cement for glass and porcelain wares, a waterproof cream applied to silk clothes of underwater divers, a cream designated for polishing bronze mirrors, and many other useful formulas. The vitrified, translucent ceramic known as porcelain was invented in China during the Tang, although many types of glazed ceramics preceded it.

The Chinese of the Tang era were also very interested in the benefits of officially classifying all of the medicines used in pharmacology. In 657, Emperor Gaozong of Tang (r. 649–683) commissioned the literary project of publishing an official *materia medica*, complete with text and aid of illustrated drawing for 833 different medicinal substances taken from different stones, minerals, metals, plants, herbs, animals, vegetables, fruits, and cereal crops. In addition to compiling pharmacopeias, the Tang fostered learning in medicine by upholding imperial medical colleges, state examinations for doctors, and publishing forensic manuals for physicians.



The Dunhuang map, a star map from the Tang Dynasty showing the North Polar region. The approximate date of this map's creation is 700. Constellations of the three schools were distinguished with different colors: white, black and yellow for stars of Wu Xian, Gan De and Shi Shen respectively. The whole set of star maps contained 1,300 stars.

In the realm of technical Chinese architecture, there were also government standard building codes, outlined in the early Tang book of the *Yingshan Ling* (National Building Law). Fragments of this book have survived in the *Tang Lü* (The Tang Code), while the Song Dynasty architectural manual of the *Yingzao Fashi* (State Building Standards) by Li Jie (1065–1101) in 1103 is the oldest existing technical treatise on Chinese architecture that has survived in full. During the reign of Emperor Xuanzong of Tang (712–756) there were 34,850 registered craftsmen serving the state, managed by the Agency of Palace Buildings (Jingzuo Jian).

In the realm of cartography, there were further advancements since the map-makers of the Han Dynasty. When the Tang chancellor Pei Ju (547–627) was working for the Sui Dynasty as a Commercial Commissioner in 605, he created a well-known gridded map with a graduated scale in the tradition of Pei Xiu (224–271). The Tang chancellor Xu Jingzong (592–672) was also known for his map of China drawn in the year 658. In the year 785 the Emperor Dezong had the geographer and cartographer Jia Dan (730–805) complete a map of China and her former colonies in Central Asia. Upon its completion in 801, the map was 9.1 m (30 ft) in length and 10 m (33 ft) in height, mapped out on a grid scale of one inch equaling one hundred *li* (Chinese unit of measuring distance). A Chinese map of 1137 is similar in complexity to the one made by Jia Dan, carved on a stone stele with a grid scale of 100 *li*. However, the only type of map that has survived from the Tang period are star charts. Despite this, the earliest extant terrain maps of China come from the ancient State of Qin; maps from the 4th century BC that were excavated in 1986.

The 2nd century inventor Ding Huan (fl. 180 AD) of the Han Dynasty invented a rotary fan for air conditioning, with seven wheels 3 m (10 ft) in diameter and manually powered. In 747, Emperor Xuanzong had the Cool Hall (*Liang Tian*) built in the imperial palace, which the *Tang Yulin* describes as having water-powered fan wheels for air conditioning as well as rising jet streams of water from fountains. During the subsequent Song Dynasty, written sources mentioned the air conditioning rotary fan as even more widely used.

## Tang women



Women's social rights and social status during the Tang era were incredibly liberal-minded for the medieval period. However, this was largely reserved for urbane women of elite status, as men and women in the rural countryside labored hard in their different set of tasks; with wives and daughters responsible for more domestic tasks of weaving textiles and rearing of silk worms, while men tended to farming in the fields. There were many women in the Tang era who gained access to religious authority by taking vows as Daoist priestesses. The head mistresses of the bordellos in the North Hamlet (also known as the Gay Quarters) of the capital Chang'an acquired large amounts of wealth and power. Their high-class courtesans, who very much resembled Japanese geishas, were well respected. These courtesans were known as great singers and poets, supervised banquets and feasts, knew the rules to all the drinking games, and were trained to have the utmost respectable table manners. Although they were renowned for their polite behavior, the courtesans were known to dominate the conversation amongst elite men, and were not afraid to openly castigate or criticize prominent male guests who talked too much or too loudly, boasted too much of their accomplishments, or had in some way ruined dinner for everyone by rude behaviour (on one occasion a courtesan even beat up a drunken man who had insulted her). When singing to entertain guests, courtesans not only composed the lyrics to their own songs, but they popularized a new form of lyrical verse by singing lines written by various renowned and famous men in Chinese history.



A Tang woman playing polo on a horse, 8th century



*Beauties Wearing Flowers*, by painter Zhou Fang, 8th century

Women who were full-figured (even plump) were considered attractive by men, as men also enjoyed the presence of assertive, active women. In example of the latter, the foreign horse-riding sport of polo from Persia became a wildly popular trend amongst the Chinese elite, as women often played the sport (as glazed earthenware figurines from the time period portray). The preferred hairstyle for women was to bunch their hair up like "an elaborate edifice above the forehead," while affluent ladies wore extravagant head ornaments, combs, pearl necklaces, face powders, and perfumes. A law was passed in 671 which attempted to force women to wear hats with veils again in order to promote decency, but these laws were ignored as some women started wearing caps and even no hats at all, as well as men's riding clothes and boots, and tight-sleeved bodices.

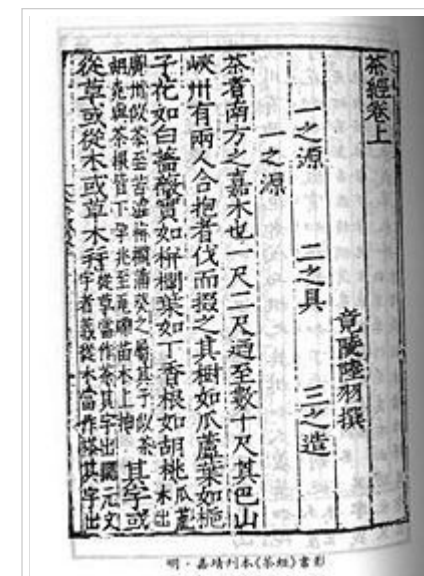
There were some prominent court women after the era of Empress Wu, such as Yang Guifei (719–756), who had Emperor Xuanzong appoint some of her friends and cronies in important ministerial and martial positions.

### Tea, food, and necessities



During the earlier Southern and Northern Dynasties (420–589), and perhaps even earlier, the drink of tea had become popular in southern China. Tea comes from the leaf buds of *Camelia sinensis*, native to southwestern China. Tea was viewed then as a beverage of tasteful pleasure and looked upon with pharmacological purpose as well. During the Tang Dynasty, tea was synonymous with everything sophisticated in society. The Tang poet Lu Tong (790–835) devoted most of his poetry to his love of tea. The 8th century author Lu Yu (known as the Sage of Tea) even wrote a treatise on the art of drinking tea, called the *Classic of Tea* (Chájīng). Tea was also enjoyed by Uyghur Turks; when riding into town, the first places they visited were the tea shops. Although wrapping paper had been used in China since the 2nd century BC, during the Tang Dynasty the Chinese were using wrapping paper as folded and sewn square bags to hold and preserve the flavor of tea leaves. Indeed, paper found many other uses besides writing and wrapping during the Tang era. Earlier, the first recorded use of toilet paper was made in 589 by the scholar-official Yan Zhitui (531–591), and in 851 an Arab Muslim traveler commented on how the Tang era Chinese were not careful about cleanliness because they did not wash with water when going to the bathroom; instead, he said, the Chinese simply used paper to wipe with.

In ancient times, the Chinese had outlined the five most basic foodstuffs known as the five grains: sesamum, legumes, wheat, panicked millet, and glutinous millet. The Ming Dynasty encyclopedist Song Yingxing (1587–1666) noted that rice was not counted amongst the five grains from the time of the legendary and deified Chinese sage Shennong (the existence of whom Yingxing wrote was "an uncertain matter") into the 2nd millenniums BC, because the properly wet and humid climate in southern China for growing rice was not yet fully settled or cultivated by the Chinese.



A page of Lu Yu's *Classic of Tea*



A terracotta sculpture of a lady, 7th-8th century; during the Tang era, female hosts gathered feasts, tea parties, and played drinking games with their guests.

During the Tang, the many common foodstuffs and cooking ingredients in addition to those already listed were barley, garlic, salt, turnips, soybeans, pears, apricots, peaches, apples, pomegranates, jujubes, rhubarb, hazelnuts, pine nuts, chestnuts, walnuts, yams, taro, etc. The various meats that were consumed included pork, chicken, lamb (especially preferred in the north), sea otter, bear (which was hard to catch, but there were recipes for steamed, boiled, and marinated bear), and even bactrian camels. In the south along the coast meat from seafood was by default the most common, as the Chinese enjoyed eating cooked jellyfish with cinnamon, Sichuan pepper, cardamom, and ginger, as well as oysters with wine, fried squid with ginger and vinegar, horseshoe crabs and red crabs, shrimp, and pufferfish, which the Chinese called 'river piglet'. Some foods were also off-limits, as the Tang court encouraged people not to eat beef (since the bull was a valuable draft animal), and from 831 to 833 Emperor Wenzong of Tang even banned the slaughter of cattle on the grounds of his religious convictions to Buddhism. From the trade overseas and over land, the Chinese acquired golden peaches from Samarkand, date palms, pistachios, and figs from Persia, pine seeds and ginseng roots from Korea, and mangoes from Southeast Asia. In China, there was a great demand for sugar; during the reign of Harsha (r. 606–647) over North India, Indian envoys to Tang China brought two makers of sugar who successfully taught the Chinese how to cultivate sugarcane. Cotton also came from India as a finished product from Bengal, although it was during the Tang that the Chinese began to grow and process cotton, and by the Yuan Dynasty it became the prime textile fabric in China.

Methods of food preservation were important and practiced throughout China. The common people used simple methods of preservation, such as digging deep ditches and trenches, brining, and salting their foods. The emperor had large ice pits located in the parks in and around Chang'an for preserving food, while the wealthy and elite had their own smaller ice pits. Each year the emperor had laborers carve 1000 blocks of ice from frozen creeks in mountain valleys, each block with the dimension of 0.91 m (3 ft) by 0.91 m by 1.06 m (3½ ft). There were many frozen delicacies enjoyed during the summer, especially chilled melon.

## Historiography

The first classic work about the Tang is the *Book of Tang* by Liu Xu (887–946) et al of the Later Jin, who redacted it during the last years of his life. This was edited into another history (labelled the *New Book of Tang*) in order to distinguish it, which was a work by the Song historians Ouyang Xiu (1007–1072), Song Qi (998–1061), et al of the Song Dynasty (between the years 1044 and 1060). Both of them were based upon earlier annals, yet those are now lost. Both of them also rank among the *Twenty-Four Histories* of China. One of the surviving sources of the *Book of Tang*, primarily covering up to 756, is the *Tongdian*, which Du You presented to the emperor in 801. The Tang period was again placed into the enormous universal history text of the *Zizhi Tongjian*, edited, compiled, and completed in 1084 by a team of scholars under the Song Dynasty Chancellor Sima Guang (1019–1086). This historical text, written with 3 million Chinese characters in 294 volumes, covered the history of China from the beginning of the Warring States (403 BC) until the beginning of the Song Dynasty (960).

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# The Holocaust

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**The Holocaust** (from the Greek **ὁλόκαυστον** (*holókauston*): *holos*, "completely" and *kaustos*, "burnt"), also known as **Ha-Shoah** (Hebrew: **השואה**), **Churban** (Yiddish: **חורבן**), is the term generally used to describe the genocide of approximately six million European Jews during World War II, as part of a program of deliberate extermination planned and executed by the National Socialist German Workers' Party (Nazi) regime in Germany led by Adolf Hitler.

Other groups were persecuted and killed by the regime, including the Roma; Soviets, particularly prisoners of war; Communists; ethnic Poles; other Slavic people; the disabled; gay men; and political and religious dissidents. Many scholars do not include these groups in the definition of the Holocaust, defining it as the genocide of the Jews, or what the Nazis called the "Final Solution of the Jewish Question." Taking into account all the victims of Nazi persecution, the death toll rises considerably: estimates generally place the total number of victims at nine to 11 million.

The persecution and genocide were accomplished in stages. Legislation to remove the Jews from civil society was enacted years before the outbreak of World War II. Concentration camps were established in which inmates were used as slave labour until they died of exhaustion or disease. Where the Third Reich conquered new territory in eastern Europe, specialized units called Einsatzgruppen murdered Jews and political opponents in mass shootings. Jews and Roma were crammed into ghettos before being transported hundreds of miles by freight train to extermination camps where, if they survived the journey, the majority of them were killed in gas chambers. Every arm of Germany's bureaucracy was involved in the logistics of the mass murder, turning the country into what one Holocaust scholar has called "a genocidal state."

## Etymology and use of the term

The term *holocaust* originally derived from the Greek word *holókauston*, meaning a "completely (*holos*) burnt (*kaustos*)" sacrificial offering to a god. Its Latin form (*holocaustum*) was first used with specific reference to a massacre of Jews by the chroniclers Roger of Howden and Richard of Devizes in the 1190s. Since the late 19th century, it has been used primarily to refer to disasters or catastrophes.

The biblical word *Shoah* (שואה) (also spelled *Sho'ah* and *Shoa*), meaning "calamity," became the standard Hebrew term for the Holocaust as early as the 1940s. *Shoah* is preferred by many Jews for a number of reasons, including the theologically offensive nature of the original meaning of "holocaust."

## Definition

The word "holocaust" has been used since the 18th century to refer to the violent deaths of a large number of people. For example, Winston Churchill and other contemporaneous writers used it before World War II to describe the Armenian Genocide of World War I. Since the 1950s its use has been increasingly restricted, and it is now mainly used to describe the Nazi Holocaust, spelled with a capital H.

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"Holocaust" was adopted as a translation of "Shoah" — a Hebrew word connoting catastrophe, calamity, disaster and destruction — which was used in 1940 in Jerusalem in a booklet called *Sho'at Yehudei Polin*, and translated as *The Holocaust of the Jews of Poland*. "Shoah" had earlier been used in the context of the Nazis as a translation of "catastrophe"; for example, in 1934, Chaim Weizmann told the Zionist Action Committee that Hitler's rise to power was an *"unvorhergesehene Katastrophe, etwa ein neuer Weltkrieg"* ("an unforeseen catastrophe, perhaps even a new world war"); the Hebrew press translated "Katastrophe" as "Shoah." In the spring of 1942, the Jerusalem historian Ben-Zion Dinur (Dinaburg) used "Shoah" in a book published by the United Aid Committee for the Jews in Poland to describe the extermination of Europe's Jews, calling it a "catastrophe" that symbolized the unique situation of the Jewish people. The word "Shoah" was chosen in Israel to describe the Holocaust, the term institutionalized by the Knesset on April 12, 1951, when it established *Yom Ha-Shoah Ve Mered Ha-Getaot*, the national day of remembrance. By the 1950s, its translation, "Holocaust," popularized by Yad Vashem, had come routinely to refer to the genocide of the European Jews.

The usual German term for the extermination of the Jews during the Nazi period was the euphemistic phrase *Endlösung der Judenfrage* (the "Final Solution of the Jewish Question"). In both English and German, "Final Solution" is widely used as an alternative to "Holocaust". For a time after World War II, German historians also used the term *Völkermord* ("genocide"), or in full, *der Völkermord an den Juden* ("the genocide of the Jewish people"), while the prevalent term in Germany today is either *Holocaust* or increasingly *Shoah*.

The word "holocaust" is also used in a wider sense to describe other actions of the Nazi regime. These include the killing of around half a million Roma and Sinti, the deaths of several million Soviet prisoners of war, along with slave laborers, gay men, Jehovah's Witnesses, the disabled, and political opponents. The use of the word in this wider sense is objected to by many Jewish organizations, particularly those established to commemorate the Jewish Holocaust. Jewish organizations say that the word in its current sense was originally coined to describe the extermination of the Jews, and that the Jewish Holocaust was a crime on such a scale, and of such specificity, as the culmination of the long history of European antisemitism, that it should not be subsumed into a general category with the other crimes of the Nazis.

Even more hotly disputed is the extension of the word to describe events that have no connection with World War II. The terms "Rwandan Holocaust" and "Cambodian Holocaust" are used to refer to the Rwanda genocide of 1994 and the mass killings by the Khmer Rouge regime in Cambodia respectively, and "African Holocaust" is used to describe the slave trade and the colonization of Africa, also known as the *Maafa*.

## Distinctive features

### Compliance of Germany's institutions



Michael Berenbaum writes that Germany became a "genocidal state." Every arm of the country's sophisticated bureaucracy was involved in the killing process. Parish churches and the Interior Ministry supplied birth records showing who was Jewish; the Post Office delivered the deportation and denaturalization orders; the Finance Ministry confiscated Jewish property; German firms fired Jewish workers and disenfranchised Jewish stockholders; the universities refused to admit Jews, denied degrees to those already studying, and fired Jewish academics; government transport offices arranged the trains for deportation to the camps; German pharmaceutical companies tested drugs on camp prisoners; companies bid for the contracts to build the ovens; detailed lists of victims were drawn up using the Dehomag company's punch card machines, producing meticulous records of the killings. As prisoners entered the death camps, they were made to surrender all personal property, which was carefully catalogued and tagged before being sent to Germany to be reused or recycled. Berenbaum writes that the Final Solution of the Jewish question was "in the eyes of the perpetrators ... Germany's greatest achievement."

Saul Friedländer writes that: "Not one social group, not one religious community, not one scholarly institution or professional association in Germany and throughout Europe declared its solidarity with the Jews." He writes that some Christian churches declared that *converted* Jews should be regarded as part of the flock, but even then only up to a point.

Friedländer argues that this makes the Holocaust distinctive because anti-Jewish policies were able to unfold without the interference of countervailing forces of the kind normally found in advanced societies, such as industry, small businesses, churches, and other vested interests and lobby groups.

## The dominance of ideology and the scale of the genocide

In other genocides, pragmatic considerations such as control of territory and resources were central to the genocide policy. Yehuda Bauer argues that:

[T]he basic motivation [of the Holocaust] was purely ideological, rooted in an illusionary world of Nazi imagination, where an international Jewish conspiracy to control the world was opposed to a parallel Aryan quest. No genocide to date had been based so completely on myths, on hallucinations, on abstract, nonpragmatic ideology—which was then executed by very rational, pragmatic means."

The slaughter was systematically conducted in virtually all areas of Nazi-occupied territory in what are now 35 separate European countries. It was at its worst

<http://cd3wd.com> [wikipedia-for-schools](http://wikipedia-for-schools) <http://gutenberg.org> page no: 483 of 541



Ghettos were established in Europe in which Jews were confined before being shipped to extermination camps.



The Nazis methodically tracked the progress of the Holocaust in thousands of reports and documents. Pictured is the Höfle Telegram sent to Adolf Eichmann in January, 1943, that reported that 1,274,166 Jews had been killed in the four Aktion Reinhard camps during 1942.



in Central and Eastern Europe, which had more than seven million Jews in 1939. About five million Jews were killed there, including three million in occupied Poland, and over one million in the Soviet Union. Hundreds of thousands also died in the Netherlands, France, Belgium, Yugoslavia, and Greece. The Wannsee Protocol makes clear that the Nazis also intended to carry out their "final solution of the Jewish question" in England and Ireland.

Anyone with three or four Jewish grandparents was to be exterminated without exception. In other genocides, people were able to escape death by converting to another religion or in some other way assimilating. This option was not available to the Jews of occupied Europe. All persons of recent Jewish ancestry were to be exterminated in lands controlled by Germany.

## Medical experiments

Another distinctive feature was the extensive use of human subjects in medical experiments. German physicians carried out such experiments at Auschwitz, Dachau, Buchenwald, Ravensbrück, Sachsenhausen and Natzweiler concentration camps.

The most notorious of these physicians was Dr. Josef Mengele, who worked in Auschwitz. His experiments included placing subjects in pressure chambers, testing drugs on them, freezing them, attempting to change eye colour by injecting chemicals into children's eyes, and various amputations and other brutal surgeries. The full extent of his work will never be known because the truckload of records he sent to Dr. Otmar von Verschuer at the Kaiser Wilhelm Institute were destroyed by von Verschuer. Subjects who survived Mengele's experiments were almost always killed and dissected after the experiments.

He seemed particularly keen on working with Romani children. He would bring them sweets and toys, and would personally take them to the gas chamber. They would call him "Onkel Mengele." Vera Alexander was a Jewish inmate at Auschwitz who looked after 50 sets of Romani twins:

“ I remember one set of twins in particular: Guido and Ina, aged about four. One day, Mengele took them away. When they returned, they were in a terrible state: they had been sewn together, back to back, like Siamese twins. Their wounds were infected and oozing pus. They screamed day and night. Then their parents—I remember the mother's name was Stella—managed to get some morphine and they killed the children in order to end their suffering. ”

## Victims and death toll

### Jews

- Further information: *The Destruction of the European Jews*, *The War Against the Jews*



Country or territory	Estimated Pre-War Jewish population	Estimated Jewish population annihilated	Percent killed
Poland	3,300,000	3,000,000	90
Baltic countries	253,000	228,000	90
Germany & Austria	240,000	210,000	90
Bohemia & Moravia	90,000	80,000	89
Slovakia	90,000	75,000	83
Greece	70,000	54,000	77
The Netherlands	140,000	105,000	75
Hungary	650,000	450,000	70
Belorussian SSR	375,000	245,000	65
Ukrainian SSR	1,500,000	900,000	60
Belgium	65,000	40,000	60
Yugoslavia	43,000	26,000	60
Romania	600,000	300,000	50
Norway	1,800	900	50
France	350,000	90,000	26
Bulgaria	64,000	14,000	22
Italy	40,000	8,000	20
Luxembourg	5,000	1,000	20
Russian SFSR	975,000	107,000	11
Denmark	8,000	?	?
Finland	2,000	?	?
<b>Total</b>	<b>8,861,800</b>	<b>5,933,900</b>	<b>67</b>

Figures from Lucy Dawidowicz showing the annihilation of the Jewish population of Europe.

Since 1945, the most commonly cited figure for the total number of Jews killed has been six million. The Yad Vashem Holocaust Martyrs' and Heroes' Remembrance Authority in Jerusalem, writes that there is no precise figure for the number of Jews killed. The figure most commonly used is the six million cited by Adolf Eichmann, a senior SS official. Early calculations range from 5.1 million from Raul Hilberg, to 5.95 million from Jacob Leschinsky. Yisrael Gutman and Robert Rozett in the Encyclopedia of the Holocaust estimate 5.59–5.86 million. A study led by Wolfgang Benz of the Technical University of Berlin suggests 5.29–6.2 million. Yad Vashem writes that the main sources for these statistics are comparisons of prewar and postwar censuses and population estimates, and Nazi documentation on deportations and murders. Yad Vashem reports that it has the names of four million of the victims.

Hilberg estimate of 5.1 million, in the third edition of *The Destruction of the European Jews*, includes over 800,000 who died from "ghettoization and general privation"; 1,400,000 killed in open-air shootings; and up to 2,900,000 who perished in camps. Hilberg estimates the death toll of Jews in Poland as up to 3,000,000. Hilberg's numbers are generally considered to be a conservative estimate, as they typically include only those deaths for which records are available, avoiding statistical adjustment.

British historian Martin Gilbert used a similar approach in his *Atlas of the Holocaust*, but arrived at a number of 5.75 million Jewish victims, since he estimated higher numbers of Jews killed in Russia and other locations. Lucy S. Dawidowicz used pre-war census figures to estimate that 5.934 million Jews died (see her figures (left) here).

There were about 8 to 10 million Jews in the territories controlled directly or indirectly by the Nazis (the uncertainty arises from the lack of knowledge about how many Jews there were in the Soviet Union). The six million killed in the Holocaust thus represent 60 to 75 percent of these Jews. Of Poland's 3.3 million Jews, over 90 percent were killed. The same proportion were killed in Latvia and Lithuania, but most of Estonia's Jews were evacuated in time. Of the 750,000 Jews in Germany and Austria in 1933, only about a quarter survived. Although many German Jews emigrated before 1939, the majority of these fled to Czechoslovakia, France or the Netherlands, from where they were later deported to their deaths. In Czechoslovakia, Greece, the Netherlands, and Yugoslavia, over 70 percent were killed. More than 50 percent were killed in Belgium, Hungary, and Romania. It is likely that a similar proportion were killed in Belarus and Ukraine, but these figures are less certain. Countries with notably lower proportions of deaths include Bulgaria, Denmark, France, Italy, and Norway.

The number of people killed at the major extermination camps is estimated as: Auschwitz-Birkenau: 1.4 million; Treblinka: 870,000; Belzec: 600,000; Majdanek: 360,000; Chelmno: 320,000; Sobibór: 250,000; and Maly Trostinets: 65,000. This gives a total of over 3.8 million; of these, 80–90% were estimated to be Jews. These seven camps alone thus accounted for half the total number of Jews killed in the entire Nazi Holocaust. Virtually the entire Jewish population of Poland died in these camps.

In addition to those who died in the above extermination camps, at least half a million Jews died in other camps, including the major concentration camps in Germany. These were not extermination camps, but had large numbers of Jewish prisoners at various times, particularly in the last year of the war as the Nazis withdrew from Poland. About a million people died in these camps, and although the proportion of Jews is not known with certainty, it was estimated to be at least 50 percent. Another 800,000 to one million Jews

Year	Killed
1933–1940	under 100,000
1941	1,100,000
1942	2,700,000
1943	500,000
1944	600,000
1945	100,000



were killed by the *Einsatzgruppen* in the occupied Soviet territories (an approximate figure, since the *Einsatzgruppen* killings were frequently undocumented). Many more died through execution or of disease and malnutrition in the ghettos of Poland before they could be deported.

## Slavs

### Soviet POWs

Non-Jewish victims	Killed	Source
Soviet POWs	2–3 million	
Ethnic Poles	1.8-2 million	
Roma	220,000–500,000	
Disabled	200,000–250,000	
Freemasons	80,000–200,000	
Gay men	5,000–15,000	
Jehovah's Witnesses	2,500–5,000	

According to Michael Berenbaum, between two and three million Soviet prisoners-of-war—57 percent of all Soviet POWs—died of starvation, mistreatment, or executions between June 1941 and May 1945, most of them during their first year of captivity. According to other estimates by Daniel Goldhagen, an estimated 2.8 million Soviet POWs died in eight months in 1941–42, with a total of 3.5 million by mid-1944. The USHMM has estimated that 3.3 million of the 5.7 million Soviet POWs died in German custody—compared to 8,300 of 231,000 British and American prisoners. The death rates decreased as the POWs were needed to work as slaves to help the German war effort; by 1943, half a million of them had been deployed as slave labor.

### Ethnic Poles

One of Hitler's ambitions at the start of the war was to exterminate, expel, or enslave most or all Slavs. "All Poles," Heinrich Himmler swore, "will disappear from the world." The Polish state under German occupation was to be cleared of ethnic Poles and settled by German colonists. Of the Poles, by 1952 only about 3-4 million of them were supposed to be left residing in the former Poland, and then only to serve as slaves for German settlers. They were to be forbidden to marry, the existing ban on any medical help to Poles in Germany would be extended, and eventually Poles would cease to exist. On August 22, 1939, about one week before the onset of the war, Hitler "prepared, for the moment only in the East, my 'Death's Head' formations with orders to kill without pity or mercy all men, women, and children of Polish descent or language. Only in this way can we obtain the living space we need."

Between 1.8 and 2.1 million non-Jewish Polish citizens perished in German hands during the course of the war, including ethnic Poles and other ethnic minorities of Ukrainians and Belarusians, the vast majority of them civilians. At least 200,000 of these victims died in concentration camps. Many others died as a result of general massacres such as in the Warsaw Uprising where between 120,000 and 200,000 civilians were killed. In German occupied Poland there was a general shortage of food, fuel for heating and medical supplies, and there was a high death rate among the Polish population as a result. Overall, about 5.1 million of the victims of Nazism were Polish citizens, both Jewish and non-Jewish, and over the course of the war Poland lost over 16% of its pre-war population; 3.1 million (90%) of the 3.4 million Polish Jews died in German Hands—compared to 2.0 million (6%) of 31.7 million non Jewish Polish citizens. Over 90% of the death toll came through non-military losses, as most of the civilians were targeted by various deliberate actions by Germans and Soviets.



Execution of Poles by *Einsatzkommando*  
— Leszno, October 1939



A common German practice in occupied Poland was to round up random civilians on the streets of Polish cities. The term "*łapanka*" carried a sardonic connotation from the word's earlier use for the children's game known in English as "tag." Between 1942 and 1944 there were around 400 victims of this practice daily in Warsaw alone, with numbers on some days reaching several thousand. For example, on September 19, 1942, close to 3000 men and women caught in the round-ups all over Warsaw the previous two days were sent by train to Germany. Additionally, between 20,000 and 200,000 Polish children were forcibly separated from their parents and, after undergoing scrutiny to ensure that they were of "Nordic" racial stock, were sent to Germany to be raised by German families.

### South and East Slavs

In the Balkans, up to 500,000 Serbs were killed in Yugoslavia. Hitler's high plenipotentiary in South East Europe, Hermann Neubacher, later wrote: "When leading Ustaše state that one million Orthodox Serbs (including babies, children, women and old men) were slaughtered, this in my opinion is a boasting exaggeration. On the basis of reports I received, I estimated that threequarters of a million defenceless people were slaughtered." German forces, under express orders from Hitler, fought with a special vengeance against the Serbs, who were considered *Untermensch*. The Ustaše collaborators conducted a systematic extermination of large numbers of people for political, religious or racial reasons. The most numerous victims were Serbs. The USHMM reports between 56,000 and 97,000 persons were killed at the Jasenovac concentration camp. However, Yad Vashem reports 600,000 deaths at Jasenovac.

In Belarus, the Germans imposed a brutal racist regime, burning down some 9,000 Belarusian villages, deporting some 380,000 people for slave labour, and killing hundreds of thousands of civilians. More than 600 villages, like Khatyn, were burned along with their entire population and at least 5,295 Belarusian settlements were destroyed by the Nazis and some or all of their inhabitants killed. Altogether, 2,230,000 (24 % of the population) people were killed in Belarus during the three years of German occupation, including 370,000 military dead and 245,000 Jews killed by the *Einsatzgruppen*.

In Ukraine, the total human losses during the war and German occupation are estimated at between 5.5 to 7.0 million (13-17% of the population), including 1.366 million military dead, and around 600,000 to 900,000 Jews killed by the *Einsatzgruppen*.

### Roma



The Kragujevac massacre



Because the Roma and Sinti are traditionally a secretive people with a culture based on oral history, less is known about their fate than about that of any other group. Yehuda Bauer writes that the lack of information can be attributed to the Roma's distrust and suspicion, and to their humiliation, because some of the basic taboos of Romani culture regarding hygiene and sexual contact were violated at Auschwitz. Bauer writes that "[m]ost [Roma] could not relate their stories involving these tortures; as a result, most kept silent and thus increased the effects of the massive trauma they had undergone."

Donald Niewyk and Frances Nicosia write that the death toll was at least 130,000 of the nearly one million Roma and Sinti in Nazi-controlled Europe. Michael Berenbaum writes that serious scholarly estimates lie between 90,000 and 220,000. A detailed study by the late Sybil Milton, formerly senior historian at the U.S. Holocaust Memorial Museum, calculated a death toll of at least 220,000, and possibly closer to 500,000. Ian Hancock, Director of the Program of Romani Studies and the Romani Archives and Documentation Centre at the University of Texas at Austin, has argued in favour of a higher figure of between 500,000 and 1,500,000. Hancock writes that, proportionately, the death toll equaled "and almost certainly exceed[ed], that of Jewish victims."

“ *... they wish to toss into the Ghetto everything that is characteristically dirty, shabby, bizarre, of which one ought to be frightened and which anyway had to be destroyed.* ”

— Emmanuel Ringelblum on the Roma.

Before being sent to the camps, the victims were herded into ghettos, including several hundred into the Warsaw Ghetto. Further east, teams of Einsatzgruppen tracked down Roma encampments and murdered the inhabitants on the spot, leaving no records of the victims. They were also targeted by the puppet regimes that cooperated with the Nazis, e.g. the Ustaše regime in Croatia, where a large number of Roma were killed in the Jasenovac

concentration camp.

In May 1942, the Roma were placed under the same labor and social laws as the Jews. On December 16, 1942, Heinrich Himmler, Commander of the SS and regarded as the "architect" of the Nazi genocide, issued a decree that "Gypsy *Mischlinge* (mixed breeds), Roma Gypsies, and members of the clans of Balkan origins who are not of German blood" should be sent to Auschwitz, unless they had served in the Wehrmacht. On January 29, 1943, another decree ordered the deportation of all German Gypsies to Auschwitz.

This was adjusted on November 15, 1943, when Himmler ordered that, in the occupied Soviet areas, "sedentary Gypsies and part-Gypsies (*Mischlinge*) are to be treated as citizens of the country. Nomadic Gypsies and part-Gypsies are to be placed on the same level as Jews and placed in concentration camps." Bauer argues that this adjustment reflected Nazi ideology that the Roma, originally an Aryan population, had been "spoiled" by non-Romani blood.

## Disabled and mentally ill



Roma arrivals in the Belzec extermination camp, 1940.



Map of persecution of the Roma.





*Aktion T4* was a program established in 1939 to maintain the genetic purity of the German population by killing or sterilizing German and Austrian citizens who were disabled or suffering from mental illness.

Between 1939 and 1941, 80,000 to 100,000 mentally ill adults in institutions were killed; 5,000 children in institutions; and 1,000 Jews in institutions. Outside the mental health institutions, the figures are estimated as 20,000 (according to Dr. Georg Renno, the deputy director of Schloss Hartheim, one of the euthanasia centers) or 400,000 (according to Frank Zeireis, the commandant of Mauthausen concentration camp). Another 300,000 were forcibly sterilized.

The program was named after Tiergartenstraße 4, the address of a villa in the Berlin borough of Tiergarten, the headquarters of the *Gemeinnützige Stiftung für Heil und Anstaltspflege* (General Foundation for Welfare and Institutional Care), led by Philipp Bouhler, head of Hitler's private chancellery (*Kanzlei des Führer der NSDAP*) and Karl Brandt, Hitler's personal physician.

Brandt was tried in December 1946 at Nuremberg, along with 22 others, in a case known as United States of America vs. Karl Brandt et al., also known as the Doctors' Trial. He was hanged at Landsberg Prison on June 2, 1948.

## Gay men

Between 5,000 and 15,000 gay men of German nationality are estimated to have been sent to concentration camps. James D. Steakley writes that what mattered in Germany was criminal intent or character, rather than criminal acts, and the *gesundes Volksempfinden* ("healthy sensibility of the people") became the leading normative legal principle. In 1936, Heinrich Himmler, Chief of the SS, created the "Reich Central Office for the Combating of Homosexuality and Abortion." Homosexuality was declared contrary to "wholesome popular sentiment," and gay men were regarded as "defilers of German blood." The Gestapo raided gay bars, tracked individuals using the address books of those they arrested, used the subscription lists of gay magazines to find others, and encouraged people to report suspected homosexual behavior and to scrutinize the behaviour of their neighbours.

Tens of thousands were convicted between 1933 and 1944 and sent to camps for "rehabilitation," where they were identified by yellow armbands and later pink triangles worn on the left side of the jacket and the right trouser leg, which singled them out for sexual abuse. Hundreds were castrated by court order. They were humiliated, tortured, used in hormone experiments conducted by SS doctors, and killed. The allegation of homosexuality was also used as a convenient way of dealing with Catholic priests. Steakley writes that the full extent of gay suffering was slow to emerge after the war. Many victims kept their stories to themselves because homosexuality remained criminalized in postwar Germany. Nevertheless, only a small percentage (around 2%) of German homosexuals were persecuted by Nazis.

“ ***Our starting point is not the individual: We do not subscribe to the view that one should feed the hungry, give drink to the thirsty, or clothe the naked ... Our objectives are different: We must have a healthy people in order to prevail in the world.*** ”

— Joseph Goebbels, 1938.



The Homomonument in Amsterdam, a memorial to the gay victims of Nazi Germany.



## Freemasons and Jehovah's Witnesses

In *Mein Kampf*, Hitler wrote that Freemasonry had "succumbed" to the Jews: "The general pacifistic paralysis of the national instinct of self-preservation begun by Freemasonry is then transmitted to the masses of society by the Jewish press." Freemasons were sent to concentration camps as political prisoners, and forced to wear an inverted *red triangle*. It is estimated that between 80,000 and 200,000 were killed. However, the United States Holocaust Memorial Museum believes "because many of the Freemasons who were arrested were also Jews and/or members of the political opposition, it is not known how many individuals were placed in Nazi concentration camps and/or were targeted only because they were Freemasons."

Refusing to pledge allegiance to the Nazi party or to serve in the military, roughly 12,000 Jehovah's Witnesses were forced to wear a purple triangle and placed in camps, where they were given the option of renouncing their faith and submitting to the state's authority. Between 2,500 and 5,000 were killed. Historian Detlef Garbe, director at the Neuengamme (Hamburg) Memorial, writes that "no other religious movement resisted the pressure to conform to National Socialism with comparable unanimity and steadfastness."

### Political activists

German communists, socialists and trade unionists were among the earliest domestic opponents of Nazism and were also among the first victims to be sent to concentration camps. They concerned Hitler due to their ties with the Soviet Union and because the Nazi Party was intractably opposed to communism claiming that it was a Jewish ideology which the Nazis termed Judeo-Bolshevism. Rumors of pending communist violence were started by the Nazis as justification for the Enabling Act of 1933, the law which gave Hitler his original dictatorial powers. Herman Göring later testified at the Nuremberg Trials that it was the Nazis' willingness to repress German communists that prompted Hindenburg and the old elite to cooperate with the Nazis. The first concentration camp was built at Dachau, in March 1933, to imprison German communists, socialists, trade unionists and others opposed to the Nazis. Communists, social democrats and other political prisoners were forced to wear a red triangle.

Hitler and the Nazis also hated German leftists because of their resistance to Nazi racism. Many leaders of German leftist groups were Jews; Jews were especially prominent among the leaders of the Spartacist Uprising in 1919. Hitler already referred to Marxism and "Bolshevism" as a means of "the international Jew" to undermine "racial purity" and survival of the Nordics or Aryans (sometimes of all white Europeans), as well to stir up socioeconomic class tension and labor unions against the government or state-owned businesses. Within the concentration camps such as Buchenwald, German communists were privileged in comparison to Jews because of their "racial purity."

Whenever the Nazis occupied a new territory, members of communist, socialist, or anarchist groups were normally to be the first persons detained or executed. Evidence of this is found in Hitler's infamous Commissar Order in which he ordered the summary execution of all political commissars captured among Soviet soldiers, as well as the execution of all Communist Party members in German held territory. Einsatzgruppen carried out these executions in the east.



A memorial for *Loge Liberté chérie*, founded in November 1943 in Hut 6 of Emslandlager VII (KZ Esterwegen), the only Masonic lodge founded in a Nazi concentration camp.



Nacht und Nebel (German for "Night and Fog") was a directive (German: *Erlass*) of Adolf Hitler on December 7, 1941 signed and implemented by Chief of Staff of the Armed Forces Wilhelm Keitel, resulting in kidnapping and disappearance of many political activists throughout Nazi Germany's occupied territories.

## Development and execution

### Origins

The Nazi Party under Adolf Hitler came to power in Germany on January 30, 1933, and the persecution and exodus of Germany's 525,000 Jews began almost immediately. In his autobiography *Mein Kampf* (1925), Hitler had been open about his hatred of Jews, and gave ample warning of his intention to drive them from Germany's political, intellectual, and cultural life. He did not write that he would attempt to exterminate them, but he is reported to have been more explicit in private. As early as 1922, he allegedly told Major Joseph Hell, at the time a journalist:

“ Once I really am in power, my first and foremost task will be the annihilation of the Jews. As soon as I have the power to do so, I will have gallows built in rows—at the Marienplatz in Munich, for example—as many as traffic allows. Then the Jews will be hanged indiscriminately, and they will remain hanging until they stink; they will hang there as long as the principles of hygiene permit. As soon as they have been untied, the next batch will be strung up, and so on down the line, until the last Jew in Munich has been exterminated. Other cities will follow suit, precisely in this fashion, until all Germany has been completely cleansed of Jews. ”

Jewish intellectuals were the first to leave. The philosopher Walter Benjamin left for Paris on March 18, 1933. Novelist Leon Feuchtwanger went to Switzerland. The conductor Bruno Walter fled after being told that the hall of the Berlin Philharmonic would be burned down if he conducted a concert there: the *Frankfurter Zeitung* explained on April 6 that Walter and fellow conductor Otto Klemperer had been forced to flee because the government was unable to protect them against the "mood" of the German public, which had been provoked by "Jewish artistic liquidators." Albert Einstein was visiting the U.S. on January 30, 1933. He returned to Ostende in Belgium, never to set foot in Germany again, and calling events there a "psychic illness of the masses"; he was expelled from the Kaiser Wilhelm Society and the Prussian Academy of Sciences, and his citizenship was rescinded. Saul Friedländer writes that when Max Liebermann, possibly Germany's best-known artist and honorary president of the Prussian Academy of Arts, resigned his position, not one of his colleagues expressed a word of sympathy, and he died ostracized two years later. When the police arrived in 1943 with a stretcher to deport his 85-year-old bedridden widow, she committed suicide with an overdose of barbiturates rather than be taken.

Throughout the 1930s, the legal, economic, and social rights of Jews were steadily restricted. Friedländer writes that, for the Nazis, Germany drew its strength for its "purity of blood" and its "rootedness in the sacred German earth." In 1933, a series of laws were passed to exclude Jews from key areas: the Civil Service Law; the physicians' law; and the farm law, forbidding Jews from owning farms or taking part in agriculture. Jewish lawyers were disbarred, and in Dresden, Jewish lawyers and judges were dragged out of their offices and courtrooms, and beaten up. Jews were excluded from schools and universities, and from belonging to the Journalists' Association, or from being newspaper editors. The *Deutsche Allgemeine Zeitung* of April 27, 1933 wrote:



A self-respecting nation cannot, on a scale accepted up to now, leave its higher activities in the hands of people of racially foreign origin ... Allowing the presence of too high a percentage of people of foreign origin in relation to their percentage in the general population could be interpreted as an acceptance of the superiority of other races, something decidedly to be rejected.

In 1935, Hitler introduced the Nuremberg Laws, which stripped German Jews of their citizenship and deprived them of all civil rights. In his speech introducing the laws, Hitler said that if the "Jewish problem" cannot be solved by these laws, it "must then be handed over by law to the National-Socialist Party for a final solution (*Endlösung*)." The expression "*Endlösung*" became the standard Nazi euphemism for the extermination of the Jews. In January 1939, he said in a public speech: "If international-finance Jewry inside and outside Europe should succeed once more in plunging the nations into yet another world war, the consequences will not be the Bolshevization of the earth and thereby the victory of Jewry, but the annihilation (*vernichtung*) of the Jewish race in Europe."

The question of the treatment of the Jews became an urgent one for the Nazis after September 1939, when they occupied the western half of Poland, home to about two million Jews. Heinrich Himmler's right-hand man, Reinhard Heydrich, recommended concentrating all the Polish Jews in ghettos in major cities, where they would be put to work for the German war industry. The ghettos would be in cities located on railway junctions, so that, in Heydrich's words, "future measures can be accomplished more easily." During his interrogation in 1961, Adolf Eichmann testified that the expression "future measures" was understood to mean "physical extermination."

### **Increasing persecution and pogroms (1938–1942)**

Many scholars date the start of the Holocaust to the anti-Jewish riots of *Kristallnacht*, the Night of Broken Glass, on November 9, 1938, in which Jews were attacked and Jewish property was vandalized across Germany. Approximately 100 Jews were killed, and another 30,000 sent to concentration camps, while over 7,000 Jewish shops and 1,668 synagogues (almost every synagogue in Germany) were damaged or destroyed. Similar events took place in Austria, particularly Vienna.

A number of deadly pogroms by local populations occurred during the Second World War, some with Nazi encouragement, and some spontaneously. This included the Iași pogrom in Romania on June 30, 1941, in which as many 14,000 Jews were killed by Romanian residents and police, and the Jedwabne pogrom, in which between 380 and 1,600 Jews were killed by local Poles in July 1941.

### **Madagascar plan**

While Jews were murdered on mass scale since 1939, in 1940 some Nazis considered eliminating Jews by the unrealistic Madagascar Plan which, however futile, in retrospect did constitute an important psychological step on the path to the Holocaust. The planning was carried out by Eichmann's office; Heydrich called it a "territorial final solution". The plan was to ship all European Jews to the African island of Madagascar. In view of the difficulties of supporting more



population in the General Gouvenment in July 1940 Hitler, still hoping for success with the Madagascar plan, stopped the deportation of Jews there. This was however very temporary as the military situation offered no possibility to conquer Britain. The plan may have been foreseen as a remote and slower genocide through the unfavorable conditions on the island. Although the Final Solution was already in place and Jews were being exterminated, the formal declaration of the Plan's end was made abandoned on February 10, 1942, when the German Foreign Office was given an official explanation that due to the war with the Soviet Union Jews are going to be "sent to the east"

## Early measures in German occupied Poland

“ *I ask nothing of the Jews except that they should disappear.* ”

— Hans Frank, Nazi governor of Poland.

Germany invaded Poland on September 1, 1939, leading Britain, Australia, New Zealand, Canada, South Africa, and France to declare war. Hans Frank, a German lawyer, was appointed Governor-General in October.

In September, Himmler appointed Reinhard

Heydrich head of the Reich Security Head Office (*Reichssicherheitshauptamt* or RSHA), a body overseeing the work of the SS, the Security Police (SD), and the Gestapo in occupied Poland and charged with carrying out the policy towards the Jews described in Heydrich's report. (This body should not be confused with the Rasse und Siedlungshauptamt or Race and Resettlement Main Office, RuSHA, which was involved in carrying out the deportation of Jews.) First organised murders of Jews by German forces occurred during Operation Tannenberg and through Selbstschutz units. Later the Jews were herded into ghettos, mostly in the General Government area of central Poland, where they were put to work under the Reich Labor Office headed by Fritz Saukel. Here many thousands were killed in various ways, and many more died of disease, starvation, and exhaustion, but there was still no program of systematic killing. There is no doubt, however, that the Nazis saw forced labor as a form of extermination. The expression *Vernichtung durch Arbeit* ("destruction through work") was frequently used.

When the Germans occupied Norway, the Netherlands, Luxembourg, Belgium, and France in 1940, and Yugoslavia and Greece in 1941, anti-Semitic measures were also introduced into these countries, although the pace and severity varied greatly from country to country according to local political circumstances. Jews were removed from economic and cultural life and were subject to various restrictive laws, but physical deportation did not occur in most places before 1942. The Vichy regime in occupied France actively collaborated in persecuting French Jews. Germany's allies Italy, Finland, Hungary, Romania, and Bulgaria were pressured to introduce anti-Jewish measures, but for the most part they did not comply until compelled to do so. The German puppet regime in Croatia, on the other hand, began actively persecuting Jews on its own initiative.

During 1940 and 1941, the murder of large numbers of Jews in German occupied Poland continued, and the deportation of Jews from Germany, Austria and the " Protectorate of Bohemia and Moravia" (today's Czech Republic) to General Gouvenment was undertaken. Eichmann was assigned the task of removing all





Jews from these territories, although the deportation of Jews from Germany, particularly Berlin, was not officially completed until 1943. (Many Berlin Jews were able to survive in hiding—it is an irony of the Holocaust that Berlin was one of the few places where this was possible.) By December 1939, 3.5 million Jews were crowded into the General Government area.

The Governor-General, Hans Frank, noted that this many people could not be simply shot. "We shall have to take steps, however, designed in some way to eliminate them." It was this dilemma which led the SS to experiment with large-scale killings using poison gas. This method had already been used during Hitler's campaign of euthanasia in Germany (known as "T4"). SS *Obersturmführer* Christian Wirth seems to have been the inventor of the gas chamber.

Although it was clear by 1941 that the SS hierarchy led by Himmler and Heydrich was determined to embark on a policy of killing all the Jews under German control, there were important centers of opposition to this policy within the Nazi regime. The grounds for the opposition were mainly economic, not humanitarian. Hermann Göring, who had overall control of the German war industry, and the German army's Economics Department, representing the armaments industry, argued that the enormous Jewish labor force assembled in the General Government area (more than a million able-bodied workers) was an asset too valuable to waste while Germany was preparing to invade the Soviet Union.

During this period there were a few conflicts between the Army and the SS over policy in Poland. Ultimately, neither Göring nor the army leadership was willing or able to challenge Himmler's authority, particularly since Himmler made it clear he had Hitler's support.

### Concentration and labor camps (1933–1945)

- *Further information: Extermination through labour, List of Nazi German concentration camps, Nazi concentration camps, Nazi concentration camp badges.*
- *The major concentration and extermination camps: Auschwitz, Belzec, Bergen-Belsen, Chelmno, Dachau, Flossenbürg, Grini, Jasenovac, Klooga, Majdanek, Maly Trostinets, Mauthausen-Gusen, Ravensbrück, Treblinka.*
- *Camp badges: Black triangle, Pink triangle, Purple triangle, Yellow badge.*

Leading up to the 1933 elections, the Nazis began intensifying acts of violence to wreak havoc among the opposition. With the cooperation of local authorities, they set up camps as concentration centers within Germany. One of the first was Dachau, which opened in March 1933. These early camps were meant to hold, torture, or kill only political prisoners, such as Communists and Social Democrats.

These early prisons—usually basements and storehouses—were eventually consolidated into full-blown, centrally run camps outside the cities. By 1942, six large extermination camps had been established in Nazi-occupied Poland. After 1939, the camps increasingly became places where Jews and POWs were either killed or forced to live as slave laborers, undernourished and tortured. It is estimated that the Germans established 15,000 camps in the occupied countries, many of them in Poland.

New camps were focused on areas with large Jewish, Polish intelligentsia, communist, or Roma and Sinti populations, including inside Germany. The



April 12, 1945: Lager Nordhausen, where 20,000 inmates are believed to have died.



transportation of prisoners was often carried out under horrifying conditions using rail freight cars, in which many died before reaching their destination.

Extermination through labour, a means whereby camp inmates would literally be worked to death—or frequently worked until they could no longer perform work tasks, followed by their selection for extermination—was invoked as a further systematic extermination policy. Furthermore, while not designed as a method for systematic extermination, many camp prisoners died because of harsh overall conditions or from executions carried out on a whim after being allowed to live for days or months.

Upon admission, some camps tattooed prisoners with a prisoner ID. Those fit for work were dispatched for 12 to 14 hour shifts. Before and after, there were roll calls that could sometimes last for hours, with prisoners regularly dying of exposure.

## Ghettos (1940–1945)

After the invasion of Poland, the Nazis established ghettos throughout 1941 and 1942 to which Jews and some Roma were confined, until they were eventually shipped to death camps and killed. The Warsaw Ghetto was the largest, with 380,000 people, and the Łódź Ghetto the second largest, holding 160,000. They were, in effect, immensely crowded prisons, described by Michael Berenbaum as instruments of "slow, passive murder." Though the Warsaw Ghetto contained 400,000 people—30% of the population of Warsaw—it occupied only 2.4% of the city's area, averaging 9.2 people per room.

From 1940 through 1942, starvation and disease, especially typhoid, killed hundreds of thousands. Over 43,000 residents of the Warsaw ghetto died there in 1941, more than one in ten; in Theresienstadt, more than half the residents died in 1942.

Each ghetto was run by a *Judenrat* (Jewish council) of German-appointed Jewish community leaders, who were responsible for the day-to-day running of the ghetto, including the provision of food, water, heat, medicine, and shelter, and who were also expected to make arrangements for deportations to extermination camps. Heinrich Himmler ordered the start of the deportations on July 19, 1942, and three days later, on July 22, the deportations from the Warsaw Ghetto began; over the next 52 days, until September 12, 300,000 people from Warsaw alone were transported in freight trains to the Treblinka extermination camp. Many other ghettos were completely depopulated.

Berenbaum writes that the defining moment that tested the courage and character of each *Judenrat* came when they were asked to provide a list of names of the next group to be deported. The *Judenrat* members went through the tried and tested methods of delay, bribery, stonewalling, pleading, and argumentation, until finally a decision had to be made. Some argued that their responsibility was to save the Jews who *could* be saved, and that therefore others had to be sacrificed; others argued, following Maimonides, that not a single individual should be handed over who had not committed a capital crime. *Judenrat* leaders such as Dr. Joseph Parnas in Lviv, who refused to compile a list, were shot. On October 14, 1942, the entire *Judenrat* of Byarozza committed suicide rather than cooperate with the deportations.

“ *The Germans came, the police, and they started banging houses: Raus, raus, raus, Juden raus.!.. [O]ne baby started to cry ... The other baby started crying. So the mother urinated in her hand and gave the baby a drink to keep quiet ... [When the police had gone], I told the mothers to come out. And one baby was dead ... from fear, the mother [had] choked her own baby.* ”

—Abraham Malik, describing his experience in the Kovno ghetto.

The first ghetto uprising occurred in September 1942 in the small town of Łachwa in southeast Poland. Though there were armed resistance attempts in the

<http://cd3wd.com> [wikipedia-for-schools](http://wikipedia-for-schools) <http://gutenberg.org> page no: 495 of 541



larger ghettos in 1943, such as the Warsaw Ghetto Uprising and the Białystok Ghetto Uprising, in every case they failed against the Nazi military, and the remaining Jews were either killed or deported to the camps, which the Germans euphemistically called "resettlement in the East."

## Death squads (1941–1943)

The German invasion of the Soviet Union in June 1941 opened a new phase. The Holocaust intensified after the Nazis occupied Lithuania, where close to 80% of Lithuanian Jews were exterminated before the end of the year. The Soviet territories occupied by early 1942, including all of Belarus, Estonia, Latvia, Lithuania, Moldova, and Ukraine, and most Russian territory west of the line Leningrad-Moscow-Rostov, contained about four million Jews, including hundreds of thousands who had fled Poland in 1939. Despite the chaos of the Soviet retreat, some effort was made to evacuate Jews, and about a million succeeded in escaping further east. The remaining three million were left at the mercy of the Nazis.

In these territories, there were fewer restraints on the mass killing of Jews than there were in countries like France or the Netherlands, where there was a long tradition of tolerance and the rule of law, or even Poland where, despite a strong tradition of antisemitism, there was considerable resistance to Nazi persecution of Polish Jews. In the Baltic states, Belarus, and Ukraine, native antisemitism was reinforced by hatred of Communist rule, which many people associated with the Jews. Thousands of people in these countries actively collaborated with the Nazis. Ukrainians and Latvians joined SS auxiliary forces in large numbers and did much of the dirty work in Nazi extermination camps. Raul Hilberg writes that these were ordinary citizens, not hoodlums or thugs; the great majority were university-educated professionals. They used their skills to become efficient killers, according to Michael Berenbaum.

Despite the subservience of the Army high command to Hitler, Himmler did not trust the Army to approve of, let alone carry out, the large-scale killings of Jews in the occupied Soviet territories. This task was assigned to SS formations called *Einsatzgruppen* ("task groups"), under the overall command of Heydrich. These had been used on a limited scale in Poland in 1939, but were now organized on a much larger scale. *Einsatzgruppe A* (commanded by SS-*Brigadeführer* Dr. Franz Stahlecker) was assigned to the Baltic area, *Einsatzgruppe B* (SS-*Brigadeführer* Artur Nebe) to Belarus, *Einsatzgruppe C* (SS-*Gruppenführer* Dr. Otto Rasch) to north and central Ukraine, and *Einsatzgruppe D* (SS-*Gruppenführer* Dr. Otto Ohlendorf) to Moldova, south Ukraine, the Crimea, and, during 1942, the north Caucasus. Of the four *Einsatzgruppen*, three were commanded by holders of doctorate degrees, of whom one (Rasch) held a double doctorate.

According to Ohlendorf at his trial, "the *Einsatzgruppen* had the mission to protect the rear of the troops by killing the Jews, gypsies, Communist functionaries, active Communists, and all persons who would endanger the security." In practice, their victims were nearly all defenseless Jewish civilians (not a single *Einsatzgruppe* member was killed in action during these operations). By December 1941, the four *Einsatzgruppen* listed above had killed, respectively, 125,000, 45,000, 75,000, and 55,000 people—a total of 300,000 people—mainly by shooting or with hand grenades at mass killing sites outside the major towns.

The United States Holocaust Memorial Museum tells the story of one survivor of the *Einsatzgruppen* in Piryatin, Ukraine, when they killed 1,600 Jews on April 6, 1942, the second day of Passover:





I saw them do the killing. At 5:00 p.m. they gave the command, "Fill in the pits." Screams and groans were coming from the pits. Suddenly I saw my neighbour Ruderman rise from under the soil ... His eyes were bloody and he was screaming: "Finish me off!" ... A murdered woman lay at my feet. A boy of five years crawled out from under her body and began to scream desperately. "Mommy!" That was all I saw, since I fell unconscious.

The most notorious massacre of Jews in the Soviet Union was at a ravine called Babi Yar outside Kiev, where 33,771 Jews were killed in a single operation on September 29–30, 1941. The killing of all the Jews in Kiev was decided on by the military governor (Major-General Friedrich Eberhardt), the Police Commander for Army Group South (SS-*Obergruppenführer* Friedrich Jeckeln) and the *Einsatzgruppe C* Commander Otto Rasch. It was carried out by a mixture of SS, SD and Security Police, assisted by Ukrainian police.

On Monday the Jews of Kiev gathered by the cemetery, expecting to be loaded onto trains. The crowd was large enough that most of the men, women, and children could not have known what was happening until it was too late: by the time they heard the machine-gun fire, there was no chance to escape. All were driven down a corridor of soldiers, in groups of ten, and then shot. A truck driver described the scene:

“ ***Kikes of the city of Kiev and vicinity!***  
***On Monday, September 29, you are to appear by 08:00 a.m. with your possessions, money, documents, valuables, and warm clothing at Dorogzhitskaya Street, next to the Jewish cemetery. Failure to appear is punishable by death.*** ”

—Order posted in Kiev in Russian and Ukrainian, on or around September 26, 1941.

[O]ne after the other, they had to remove their luggage, then their coats, shoes, and overgarments and also underwear ... Once undressed, they were led into the ravine which was about 150 meters long and 30 meters wide and a good 15 meters deep ... When they reached the bottom of the ravine they were seized by members of the *Schutzpolizei* and made to lie down on top of Jews who had already been shot ... The corpses were literally in layers. A police marksman came along and shot each Jew in the neck with a submachine gun ... I saw these marksmen stand on layers of corpses and shoot one after the other ... The marksman would walk across the bodies of the executed Jews to the next Jew, who had meanwhile lain down, and shoot him.



From left to right; Heinrich Himmler, Reinhard Heydrich, and Karl Wolff (second from the right) at the Obersalzberg, May 1939. Wolff wrote in his diary that Himmler had vomited after witnessing the mass shooting of 100 Jews.

In August 1941 Himmler travelled to Minsk where he personally witnessed 100 Jews being shot in a ditch outside the town, an event described by SS-*Obergruppenführer* Karl Wolff in his diary. "Himmler's face was green. He took out his handkerchief and wiped his cheek where a piece of brain had squirted up on to it. Then he vomited." After recovering his composure, he lectured the SS men on the need to follow the "highest moral law of the Party" in carrying out their tasks.

In December 1941, a few cases of typhus broke out in the Bogdanovka concentration camp in Transnistria, where over 50,000 Jews were held. A decision was made by the German adviser to the Romanian administration of the district and the Romanian District Commissioner to murder all the inmates. The *Aktion* began on December 21, and was carried out by Romanian soldiers and gendarmes, Ukrainian police and civilians from Golta, and local ethnic Germans under the commander of the Ukrainian regular police, Kazachievici. Thousands of disabled and ill inmates were forced into two locked stables, which were doused with kerosene and set ablaze, burning alive all those inside. Other inmates were led in groups to a ravine in a nearby forest and shot in the neck. The remaining Jews dug pits with their bare hands in the bitter cold, and packed them with frozen corpses. Thousands of Jews froze to death. A break was made for Christmas, but the killing resumed on December 28. By December 31, over 40,000 Jews had been killed.

By the end of 1941, however, the *Einsatzgruppen* had killed only 15 percent of the Jews in the occupied Soviet territories, and it was apparent that these methods could not be used to kill all the Jews of Europe. Even before the invasion of the Soviet Union, experiments with killing Jews in the back of vans using gas from the van's exhaust had been carried out, and when this proved too slow, more lethal gasses were tried. For large-scale killing by gas, however, fixed sites would be needed, and it was decided—probably by Heydrich and Eichmann—that the Jews should be brought to camps specifically built for the purpose.

In his Nuremberg testimony on April 15, 1946, Rudolf Höß, the commandant of Auschwitz, testified that Heinrich Himmler personally ordered him to prepare Auschwitz to carry out the 'final solution':

In the summer of 1941 I was summoned to Berlin to Reichsfuehrer SS Himmler to receive personal orders. He told me something to the effect—I do not remember the exact words—that the Fuehrer had given the order for a final solution of the Jewish question. We, the SS, must carry out that order. If it is not carried out now then the Jews will later on destroy the German people. He had chosen Auschwitz on account of its easy access by rail and also because the extensive site offered space for measures ensuring isolation.

Laurence Rees writes that Höß may have misremembered the year this was said to him. Himmler did indeed visit Höß in the summer of 1941, but there is no evidence that the Final Solution had been planned at this stage. Rees writes that the meeting predates the killings of Jewish men by the *Einsatzgruppen* in the East and the expansion of the killings in July 1941. It also predates the Wannsee Conference. Rees speculates that the conversation with Himmler was most



likely in the summer of 1942. The first gassings, using an industrial gas derived from prussic acid and known by the brand name Zyklon-B, were carried out at Auschwitz in September 1941.

## Wannsee Conference and the Final Solution (1942–1945)

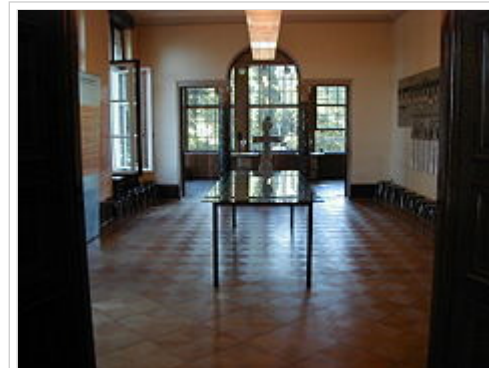
- *Further information: Operation Reinhard, Wannsee Conference.*
- *Those present at the conference: Josef Bühler, Adolf Eichmann, Roland Freisler, Reinhard Heydrich, Otto Hofmann, Gerhard Klopfer, Friedrich Wilhelm Kritzinger, Rudolf Lange, Georg Leibbrandt, Martin Luther, Heinrich Müller, Erich Neumann, Karl Eberhard Schöngarth, Wilhelm Stuckart*

By the end of 1941, Himmler and Heydrich were becoming increasingly impatient with the progress of the Final Solution. Their main opponent was Göring, who had succeeded in exempting Jewish industrial workers from the orders to deport all Jews to the General Government and who had allied himself with the Army commanders who were opposing the extermination of the Jews out of mixture of economic calculation, distaste for the SS and (in some cases) humanitarian sentiment. Although Göring's power had declined since the defeat of his Luftwaffe in the Battle of Britain, he still had privileged access to Hitler and had great obstructive power.

Heydrich therefore convened a conference—the Wannsee Conference—on January 20, 1942 at a villa, *Am Großen Wannsee* No. 56-58, in the suburbs of Berlin to finalize a plan for the extermination of the Jews. The plan became known (after Reinhard Heydrich) as *Aktion Reinhard* (Operation Reinhard). Present were Heydrich, Eichmann, Heinrich Müller (head of the Gestapo), and representatives of the Ministry for the Occupied Eastern Territories, the Ministry for the Interior, the Four Year Plan Office, the Ministry of Justice, the General Government in Poland (where over two million Jews still lived), the Foreign Office, the Race and Resettlement Office, and the Nazi Party, and the office responsible for distributing Jewish property. Also present was SS-*Sturmbannführer* Rudolf Lange, the SD commander in Riga, who had recently carried out the liquidation of the Riga ghetto. He seems to have been there to advise the officials on the practicalities of killing people on an industrial scale.

Michael Berenbaum writes that the 15 men seated at the table were considered the best and the brightest; more than half of them held doctorates from German universities. Butlers served brandy as they talked.

The men were presented with a plan for killing all the Jews in Europe, including 330,000 Jews in England and 4,000



The dining room of the Wannsee villa, where the Wannsee conference took place. The 15 men seated at the table on January 20, 1942 to discuss the "final solution of the Jewish question" were considered the best and the brightest in the Reich.



Facsimiles of the minutes of the Wannsee Conference. This page lists the number of Jews in every European country.



in Ireland, although the minutes taken by Eichmann refer to this only through euphemisms, such as " ... emigration has now been replaced by evacuation to the East. This operation should be regarded only as a provisional option, though in view of the coming final solution of the Jewish question it is already supplying practical experience of vital importance."

The officials were told there were 2.3 million Jews in the General Government, 850,000 in Hungary, 1.1 million in the other occupied countries, and up to 5 million in the Soviet Union (although only 3 million of these were in areas under German occupation) —a total of about 6.5 million. These would all be transported by train to extermination camps (*Vernichtungslager*) in Poland, where those unfit for work would be gassed at once. In some camps, such as Auschwitz, those fit for work would be kept alive for a while, but eventually all would be killed. Göring's representative, Dr. Erich Neumann, gained a limited exemption for some classes of industrial workers.

## Extermination camps

During 1942, in addition to Auschwitz, five other camps were designated as extermination camps (*Vernichtungslager*) for the carrying out of the Reinhard plan. Two of these, at Chelmno (also known as Kulmhof) and Majdanek were already functioning as labor camps: these now had extermination facilities added to them. Three new camps were built for the sole purpose of killing large numbers of Jews as quickly as possible, at Belzec, Sobibór and Treblinka. A seventh camp, at Maly Trostinets in Belarus, was also used for this purpose. Jasenovac was an extermination camp where mostly ethnic Serbs were killed.

Extermination camps are frequently confused with concentration camps such as Dachau and Belsen, which were mostly located in Germany and intended as places of incarceration and forced labor for a variety of enemies of the Nazi regime (such as Communists and gays). They should also be distinguished from slave labor camps, which were set up in all German-occupied countries to exploit the labor of prisoners of various kinds, including prisoners of war. In all Nazi camps there were very high death rates as a result of starvation, disease and exhaustion, but only the extermination camps were designed

specifically for mass killing.

“ *There was a place called the ramp where the trains with the Jews were coming in. They were coming in day and night, and sometimes one per day and sometimes five per day ...*

”

The extermination camps were run by SS officers, but most of the guards were Ukrainian or Baltic auxiliaries. Regular German soldiers were kept well away.



Auschwitz I

Approx. number killed at each extermination camp  
(Source: Yad Vashem)

Camp name	Killed	Ref.
Auschwitz II	1,400,000	
Belzec	600,000	
Chelmno	320,000	
Jasenovac	600,000	
Majdanek	360,000	
Maly Trostinets	65,000	
Sobibór	250,000	
Treblinka	870,000	



The railway line leading to the death camp at Auschwitz II (Birkenau).



***Constantly, people from the heart of Europe were disappearing, and they were arriving to the same place with the same ignorance of the fate of the previous transport. And the people in this mass ... I knew that within a couple of hours ... ninety percent would be gassed.***

— Rudolf Vrba, who worked on the *Judenrampe* in Auschwitz from August 18, 1942 to June 7, 1943.

## Gas chambers

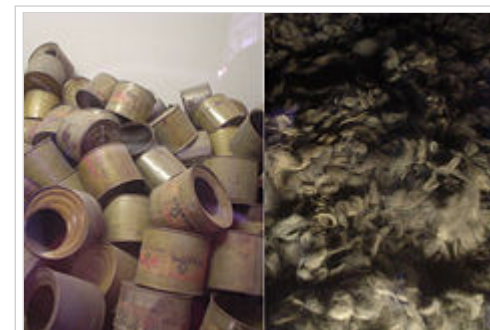
At the extermination camps with gas chambers all the prisoners arrived by train. Sometimes entire trainloads were sent straight to the gas chambers, but usually the camp doctor on duty subjected individuals to selections, where a small percentage were deemed fit to work in the slave labor camps; the majority were taken directly from the platforms to a reception area where all their clothes and other possessions were seized by the Nazis to help fund the war. They were then herded naked into the gas chambers. Usually they were told these were showers or delousing chambers, and there were signs outside saying "baths" and

"sauna." They were sometimes given a small piece of soap and a towel so as to avoid panic, and were told to remember where they had put their belongings for the same reason. When they asked for water because they were thirsty after the long journey in the cattle trains, they were told to hurry up, because coffee was waiting for them in the camp, and it was getting cold.

According to Rudolf Höß, commandant of Auschwitz, bunker 1 held 800 people, and bunker 2 held 1,200. Once the chamber was full, the doors were screwed shut and solid pellets of Zyklon-B were dropped into the chambers through vents in the side walls, releasing a toxic gas. Those inside died within 20 minutes; the speed of death depended on how close the inmate was standing to a gas vent, according to Höß, who estimated that about one third of the victims died immediately. Joann Kremer, an SS doctor who oversaw the gassings, testified that: "Shouting and screaming of the victims could be heard through the opening and it was clear that they fought for their lives." When they were removed, if the chamber had been very congested, as they often were, the victims were found half-squatting, their skin colored pink with red and green spots, some foaming at the mouth or bleeding from the ears.

The gas was then pumped out, the bodies were removed (which would take up to four hours), gold fillings in their teeth were extracted with pliers by dentist prisoners, and women's hair was cut. The floor of the gas chamber was cleaned, and the walls whitewashed. The work was done by the *Sonderkommando* prisoners, Jews who hoped to buy themselves a few extra months of life. In crematoria 1 and 2, the *Sonderkommando* lived in an attic above the crematoria; in crematoria 3 and 4, they lived inside the gas chambers. When the *Sonderkommando* had finished with the bodies, the SS conducted spot checks to make sure all the gold had been removed from the victims' mouths. If a check revealed that gold had been missed, the *Sonderkommando* prisoner responsible was thrown into the furnace alive as punishment.

At first, the bodies were buried in deep pits and covered with lime, but between September and November 1942, on the orders of Himmler, they were dug up



Empty poison gas canisters used to kill inmates and piles of hair shaven from their heads are stored in the museum at Auschwitz II.



What remains of the gas chambers at Auschwitz II (Birkenau); photographed in 2006.



and burned. In the spring of 1943, new gas chambers and crematoria were built to accommodate the numbers.

Another improvement we made over Treblinka was that we built our gas chambers to accommodate 2,000 people at one time, whereas at Treblinka their 10 gas chambers only accommodated 200 people each. The way we selected our victims was as follows: we had two SS doctors on duty at Auschwitz to examine the incoming transports of prisoners. The prisoners would be marched by one of the doctors who would make spot decisions as they walked by. Those who were fit for work were sent into the Camp. Others were sent immediately to the extermination plants. Children of tender years were invariably exterminated, since by reason of their youth they were unable to work. Still another improvement we made over Treblinka was that at Treblinka the victims almost always knew that they were to be exterminated and at Auschwitz we endeavored to fool the victims into thinking that they were to go through a delousing process. Of course, frequently they realized our true intentions and we sometimes had riots and difficulties due to that fact. Very frequently women would hide their children under the clothes but of course when we found them we would send the children in to be exterminated. We were required to carry out these exterminations in secrecy but of course the foul and nauseating stench from the continuous burning of bodies permeated the entire area and all of the people living in the surrounding communities knew that exterminations were going on at Auschwitz.

– Rudolf Höß, Auschwitz camp commandant, Nuremberg testimony.

## Jewish resistance

- *Further information: Jewish resistance during the Holocaust.*
- *For uprisings: Warsaw Ghetto Uprising, Białystok Ghetto Uprising, Marcinkance Ghetto Uprising, Sobibór extermination camp, Żydowski Związek Walki, Żydowska Organizacja Bojowa.*
- *For Jewish partisans, volunteers, and escapees: Yitzhak Arad, Bielski partisans, Masha Bruskina, Eugenio Calò, Jewish Brigade, Jewish partisans, Abba Kovner, Dov Lopatyn, Moše Pijade, Haviva Reik, Special Interrogation Group, Hannah Szenes, Rudolf Vrba, Alfréd Wetzler, Shalom Yoran, Simcha Zorin.*
- *For how stories were preserved in the Warsaw Ghetto: Emanuel Ringelblum, Oyneg Shabbos (group).*



An image from the Warsaw Ghetto Uprising.

Yehuda Bauer and other historians argue that resistance consisted not only of physical opposition, but of any activity that gave the Jews dignity and humanity in humiliating and inhumane conditions.

In every ghetto, in every deportation train, in every labor camp, even in the death camps, the will to resist was strong, and took many forms. Fighting with the few weapons that would be found, individual acts of defiance and protest, the courage of obtaining food and water under the threat of death, the superiority of refusing to allow the Germans their final wish to gloat over panic and despair.

Even passivity was a form of resistance. To die with dignity was a form of resistance. To resist the demoralizing, brutalizing force of evil, to refuse to be reduced to the level of animals, to live through the torment, to outlive the tormentors, these too were acts of resistance. Merely to give a witness of these events in testimony was, in the end, a contribution to victory. Simply to survive was a victory of the human spirit."

– Martin Gilbert. *The Holocaust: The Jewish Tragedy*.

There are many examples of Jewish resistance, most notably the Warsaw Ghetto Uprising of January 1943, when thousands of poorly armed Jewish fighters held the SS at bay for four weeks, and killed several hundred Germans before being crushed by overwhelmingly superior forces. This was followed by the uprising in the Treblinka extermination camp in May 1943, when about 200 inmates escaped from the camp after overpowering the guards. Two weeks later, there was an uprising in the Bialystok ghetto. In September, there was a short-lived uprising in the Vilnius ghetto. In October, 600 Jewish and Russian prisoners attempted an escape at the Sobibór death camp. About 60 survived and joined the Soviet partisans. On October 7, 1944, the Jewish *Sonderkommandos* at Auschwitz staged an uprising. Female prisoners had smuggled in explosives from a weapons factory, and Crematorium IV was partly destroyed by an explosion. The prisoners then attempted a mass escape, but all 250 were killed soon after.

An estimated 20,000 to 30,000 Jewish partisans (see the list at the top of this section) actively fought the Nazis and their collaborators in Eastern Europe. The Jewish Brigade, a unit of 5,000 volunteers from the British Mandate of Palestine fought in the British Army. German-speaking volunteers from the Special Interrogation Group performed commando and sabotage operations against the Nazis behind front lines in the Western Desert Campaign.

In Poland and the occupied Soviet lands, thousands of Jews fled into the swamps and forests and joined the partisans, although the partisan movements did not always welcome them. In Lithuania and Belarus, an area with a heavy concentration of Jews, and also an area which suited partisan operations, Jewish partisan groups saved thousands of Jews from extermination. No such opportunities existed for the Jewish populations of cities such as Amsterdam or Budapest. Joining the partisans was an option only for the young and the fit who were willing to leave their families. Many Jewish families preferred to die together rather than be separated.



For the great majority of Jews resistance could take only the passive forms of delay, evasion, negotiation, bargaining and, where possible, bribery of German officials. The Nazis encouraged this by forcing the Jewish communities to police themselves, through bodies such as the Reich Association of Jews (*Reichsvereinigung der Juden*) in Germany and the Jewish Councils (*Judenrate*) in the urban ghettos in occupied Poland. They held out the promise of concessions in exchange for each surrender, enmeshing the Jewish leadership so deeply in well-intentioned compromise that a decision to stand and fight was never possible. Holocaust survivor Alexander Kimel wrote: "The youth in the Ghettos dreamed about fighting. I believe that although there were many factors that inhibited our responses, the most important factors were isolation and historical conditioning to accepting martyrdom."

The historical conditioning of the Jewish communities of Europe to accept persecution and avert disaster through compromise and negotiation was the most important factor in the failure to resist until the very end. The Warsaw Ghetto uprising took place only when the Jewish population had been reduced from 500,000 to 100,000, and it was obvious that no further compromise was possible. Paul Johnson writes: "The Jews had been persecuted for a millennium and a half and had learned from long experience that resistance cost lives rather than saved them. Their history, their theology, their folklore, their social structure, even their vocabulary trained them to negotiate, to pay, to plead, to protest, not to fight."

The Jewish communities were also systematically deceived about German intentions, and were cut off from most sources of news from the outside world. The Germans told the Jews that they were being deported to work camps — euphemistically calling it "resettlement in the East" — and maintained this illusion through elaborate deceptions all the way to the gas chamber doors to avoid uprisings. As photographs testify, Jews disembarked at the railway stations at Auschwitz and other extermination camps carrying sacks and suitcases, clearly having no idea of the fate that awaited them. Rumours of the reality of the extermination camps filtered back only slowly to the ghettos, and were usually not believed, just as they were not believed when couriers such as Jan Karski, the Polish resistance fighter, conveyed them to the western Allies.

## Climax

Heydrich was assassinated in Prague in June 1942. He was succeeded as head of the RSHA by Ernst Kaltenbrunner. Kaltenbrunner and Eichmann, under Himmler's close supervision, oversaw the climax of the Final Solution. During 1943 and 1944, the extermination camps worked at a furious rate to kill the hundreds of thousands of people shipped to them by rail from almost every country within the German sphere of influence. By the spring of 1944, up to 8,000 people were being gassed every day at Auschwitz.

Despite the high productivity of the war industries based in the Jewish ghettos in the General Government, during 1943 they were liquidated, and their populations shipped to the camps for extermination. The largest of these operations, the deportation of 100,000 people from the Warsaw Ghetto in early 1943, provoked the Warsaw Ghetto Uprising, which was suppressed with great brutality. At the same time, rail shipments arrived regularly from western and southern Europe. Few Jews were shipped from the occupied Soviet territories to the camps: the killing of Jews in this zone was left in the hands of the SS, aided by locally-recruited auxiliaries. In any case, by the end of 1943 the Germans had been driven from most Soviet territory.

Shipments of Jews to the camps had priority on the German railways, and continued even in the face of the increasingly dire military situation after the Battle of Stalingrad at the end of 1942 and the escalating Allied air attacks on German industry and transport. Army leaders and economic managers complained at this diversion of resources and at the killing of irreplaceable skilled Jewish workers. By 1944, moreover, it was evident to most Germans not blinded by Nazi





fanaticism that Germany was losing the war. Many senior officials began to fear the retribution that might await Germany and them personally for the crimes being committed in their name. But the power of Himmler and the SS within the German Reich was too great to resist, and Himmler could always evoke Hitler's authority for his demands.

In October 1943, Himmler gave a speech to senior Nazi Party officials gathered in Posen (Poznan in western Poland). Here he came closer than ever before to stating explicitly that he was intent on exterminating the Jews of Europe:

I may here in this closest of circles allude to a question which you, my party comrades, have all taken for granted, but which has become for me the most difficult question of my life, the Jewish question ... I ask of you that what I say in this circle you really only hear and never speak of ... We come to the question: how is it with the women and children? I have resolved even here on a completely clear solution. I do not consider myself justified in eradicating the men—so to speak killing them or ordering them to be killed—and allowing the avengers in the shape of the children to grow up ... The difficult decision had to be taken, to cause this people to disappear from the earth.

The audience for this speech included Admiral Karl Dönitz and Armaments Minister Albert Speer, both of whom successfully claimed at the Nuremberg trials that they had had no knowledge of the Final Solution. The text of this speech was not known at the time of their trials.

The scale of extermination slackened somewhat at the beginning of 1944 once the ghettos in occupied Poland were emptied, but in March 1944, Hitler ordered the military occupation of Hungary, and Eichmann was dispatched to Budapest to supervise the deportation of Hungary's 800,000 Jews. More than half of them were shipped to Auschwitz in the course of the year. The commandant, Rudolf Höß, said at his trial that he killed 400,000 Hungarian Jews in three months. This operation met strong opposition within the Nazi hierarchy, and there were some suggestions that Hitler should offer the Allies a deal under which the Hungarian Jews would be spared in exchange for a favorable peace settlement. There were unofficial negotiations in Istanbul between Himmler's agents, British agents, and representatives of Jewish organizations, and at one point an attempt by Eichmann to exchange one million Jews for 10,000 trucks—the so-called "blood for goods" proposal—but there was no real possibility of such a deal being struck (see Joel Brand and Rudolf Kastner).

### **Escapes, publication of news of the death camps (April–June 1944)**



Escapes from the camps were few, but not unknown. The few Auschwitz escapes that succeeded were made possible by the Polish underground inside the camp and local people outside. In 1940, the Auschwitz commandant reported that "the local population is fanatically Polish and ... prepared to take any action against the hated SS camp personnel. Every prisoner who managed to escape can count on help the moment he reaches the wall of a first Polish farmstead."

In February 1942, an escaped inmate from the Chelmno extermination camp, Jacob Grojanowski, reached the Warsaw Ghetto, where he gave detailed information about the Chelmno camp to the Oneg Shabbat group. His report, which became known as the Grojanowski Report, was smuggled out of the ghetto through the channels of the Polish underground to the Delegatura, and reached London by June 1942. It is unclear what was done with the report at that point. In the meantime, by the 1st of February, the United States Office of War Information had decided not to release information about the extermination of the Jews because it was felt that it would mislead the public into thinking the war was simply a Jewish problem.

In 1943 the news about gassing Jews was at least broadcasted from London to The Netherlands. It was also published in *illegal* newspapers of Dutch resistance (for example in *Het Parool* of September 27th 1943). However, the news was so unbelievable that many assumed it was merely war propaganda. The publications were halted because they were counter-productive for the Dutch resistance. Nevertheless, many Jews were warned that they would be murdered, but as escape was impossible for most of them, they preferred to believe that the warnings were false.

In April 1943, Witold Pilecki, a member of the Polish underground, escaped from Auschwitz with information that became the basis of a two-part report in August 1943 that was sent to the Office of Strategic Services (OSS) in London. The report included details about the gas chambers, about "selection," and about the sterilization experiments. It stated that there were three crematoria in Birkenau able to burn 10,000 people daily, and that 30,000 people had been gassed in one day. The author wrote: "History knows no parallel of such destruction of human life." Raul Hilberg writes that the report was filed away with a note that there was no indication as to the reliability of the source.

Rudolf Vrba and Alfred Wetzler, Jewish inmates, escaped from Auschwitz in April 1944, eventually reaching Slovakia. The 32-page document they dictated to Jewish officials about the mass murder at Auschwitz became known as the Vrba-Wetzler report. Vrba had a photographic memory and had worked on the *Judenrampe*, where Jews disembarked from the trains to be "selected" either for the gas chamber or slave labor. The level of detail with which he described the transports allowed Slovakian officials to compare his account with their own deportation records, and the corroboration convinced the Allies to take the report seriously.

Two other Auschwitz inmates, Arnost Rosin and Czesław Mordowicz escaped on May 27, 1944, arriving in Slovakia on June 6, the day of the Normandy landing ( D-Day). Hearing about Normandy, they believed the war was over and got drunk to celebrate, using dollars they'd smuggled out of the camp. They were arrested for violating currency laws, and spent eight days in prison, before the *Judenrat* paid their fines. The additional information they offered the *Judenrat* was added to Vrba and Wetzler's report and became known as the Auschwitz Protocols. They reported that, between May 15 and May 27, 1944, 100,000 Hungarian Jews had arrived at Birkenau, and had been killed at an unprecedented rate, with human fat being used to accelerate the burning.



Bratislava, June–July 1944. Rudolf Vrba (right) escaped from Auschwitz on April 7, 1944, bringing the first credible news to the world of the mass murder that was taking place there. Arnost Rosin (left), escaped on May 27, 1944.



The BBC and *The New York Times* published material from the Vrba-Wetzler report on June 15 and June 20, 1944. The subsequent pressure from world leaders persuaded Miklos Horthy to bring the mass deportations of Jews from Hungary to Auschwitz to a halt on July 9, saving up to 200,000 Jews from the extermination camps.

## Death marches (1944–1945)

By mid 1944, the Final Solution had largely run its course. Those Jewish communities within easy reach of the Nazi regime had been largely exterminated, in proportions ranging from more than 90 percent in Poland to about 25 percent in France. In May, Himmler claimed in a speech that "The Jewish question in Germany and the occupied countries has been solved." During 1944, in any case, the task became steadily more difficult. German armies were evicted from the Soviet Union, the Balkans and Italy, and Germany's allies defected or were defeated. In June, the western Allies landed in France. Allied air attacks and the operations of partisans made rail transport increasingly difficult, and the objections of the military to the diversion of rail transport for carrying Jews to Poland more urgent and harder to ignore.

At this time, as the Soviet armed forces approached, the camps in eastern Poland were closed down, any surviving inmates being shipped west to camps closer to Germany, first to Auschwitz and later to Gross Rosen in Silesia. Auschwitz itself was closed as the Soviets advanced through Poland. The last 13 prisoners, all women, were killed in Auschwitz II on November 25, 1944; records show they were "*unmittelbar getötet*" ("killed"), leaving open whether they were gassed or otherwise disposed of.

Despite the desperate military situation, great efforts were made to conceal evidence of what had happened in the camps. The gas chambers were dismantled, the crematoria dynamited, mass graves dug up and the corpses cremated, and Polish farmers were induced to plant crops on the sites to give the impression that they had never existed. In October 1944, Himmler, who is believed to have been negotiating a secret deal with the Allies behind Hitler's back, ordered an end to the Final Solution. But the hatred of the Jews in the ranks of the SS was so strong that Himmler's order was generally ignored. Local commanders continued to kill Jews, and to shuttle them from camp to camp by forced "death marches" until the last weeks of the war.

Already sick after months or years of violence and starvation, prisoners were forced to march for tens of miles in the snow to train stations; then transported for days at a time without food or shelter in freight trains with open carriages; and forced to march again at the other end to the new camp. Those who lagged behind or fell were shot. Around 100,000 Jews died during these marches.

The largest and best-known of the death marches took place in January 1945, when the Soviet army advanced on Poland. Nine days before the Soviets arrived at Auschwitz, the SS marched 60,000 prisoners out of the camp toward Wodzislaw, 56 km (35 miles) away, where they were put on freight trains to other camps. Around 15,000 died on the way. Elie Wiesel and his father, Shlomo, were among the marchers:

An icy wind blew in violent gusts. But we marched without faltering.



Pitch darkness. Every now and then, an explosion in the night. They had orders to fire on any who could not keep up. Their fingers on the triggers, they did not deprive themselves of this pleasure. If one of us had stopped for a second, a sharp shot finished off another filthy son of a bitch. Near me, men were collapsing in the dirty snow. Shots.

## Liberation



Starving prisoners in Mauthausen camp, Ebensee, Austria, liberated by the U.S. 80th Infantry Division on May 5, 1945.

- *Invasion of Germany: Battle of Berlin, Death of Adolf Hitler, Prague Offensive, Victory in Europe Day*

The first major camp, Majdanek, was discovered by the advancing Soviets on July 23, 1944. Auschwitz was liberated, also by the Soviets, on January 27, 1945; Buchenwald by the Americans on April 11; Bergen-Belsen by the British on April 15; Dachau by the Americans on April 29; Ravensbrück by the Soviets on the same day; Mauthausen by the Americans on May 5; and Theresienstadt by the Soviets on May 8. Treblinka, Sobibor, and Belzec were never liberated, but were destroyed by the Nazis in 1943. Colonel William W. Quinn of the U.S. 7th Army said of Dachau: "There our troops found sights, sounds, and stenches horrible beyond belief, cruelties so enormous as to be incomprehensible to the normal mind."

In most of the camps discovered by the Soviets, almost all the prisoners had already been removed, leaving only a few thousand alive—7,000 inmates were found in Auschwitz, including 180 children who had been experimented on by doctors. Some 60,000 prisoners were discovered at Bergen-Belsen by the British 11th Armoured Division, 13,000 corpses lay unburied, and another 10,000 died from typhus or malnutrition over the following weeks. The British forced the remaining SS guards to gather up the corpses and place them in mass graves.

The BBC's Richard Dimbleby famously described the scenes that greeted him and the British Army at Belsen:

“ *We heard a loud voice repeating the same words in English and in German: Hello, hello. You are free. We are British soldiers and have come to liberate you. These words still resound in my ears.* ”

—Hadassah Rosensaft, inmate of Bergen-Belsen.



Here over an acre of ground lay dead and dying people. You could not see which was which ... The living lay with their heads against the corpses and around them moved the awful, ghostly procession of emaciated, aimless people, with nothing to do and with no hope of life, unable to move out of your way, unable to look at the terrible sights around them ... Babies had been born here, tiny wizened things that could not live ... A mother, driven mad, screamed at a British sentry to give her milk for her child, and thrust the tiny mite into his arms ... He opened the bundle and found the baby had been dead for days.

This day at Belsen was the most horrible of my life.

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# Trade route

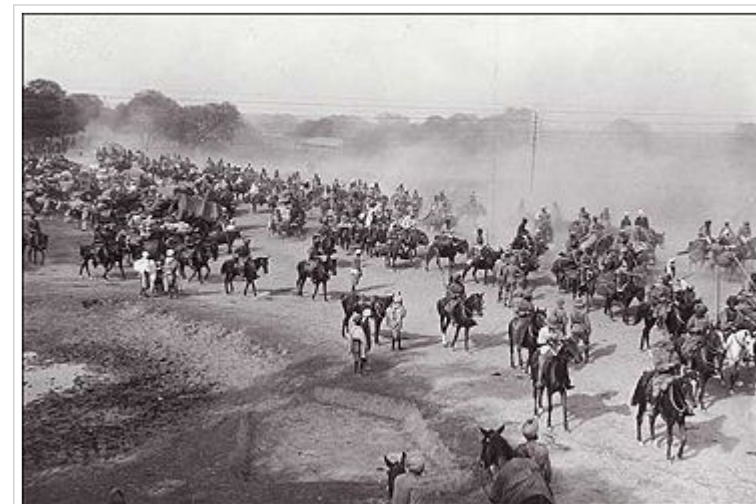
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A **trade route** is a logistical network identified as a series of pathways and stoppages used for the commercial transport of cargo. Allowing goods to reach distant markets, a single trade route contains long distance arteries which may further be connected to several smaller networks of commercial and non commercial transportation.

Historically, the period from 1500 BCE–1 CE saw the Western Asian, Mediterranean, Chinese and Indian societies develop major transportation networks for trade. Europe's early trading routes included the Amber Road, which served as a dependable network for long distance trade. Maritime trade along the Spice route became prominent during the middle ages; nations resorted to military means for control of this influential route. During the Middle Ages organizations such as the Hanseatic League, aimed at protecting interests of the merchants and trade, also became increasingly prominent.

With the advent of modern times, commercial activity shifted from the major trade routes of the Old World to newer routes between modern nation states. This activity was sometimes carried out without traditional protection of trade and under international free trade agreements, which allowed commercial goods to cross borders with relaxed restrictions. Innovative transportation of the modern times includes pipeline transport, and the relatively well known trade using rail routes, automobiles and cargo airlines.

## Development of early routes



For centuries, the Grand Trunk Road has served as the main artery for travel across Northern India. A scene from the Ambala cantonment during the British Raj.



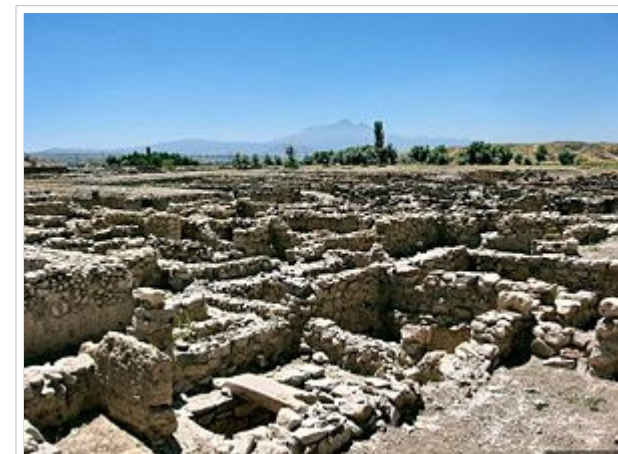
## Early development

The period extending from the middle of the 2nd millennium BCE to the beginning of the Common Era saw the Western Asian, Mediterranean, Chinese and Indian societies develop major transportation networks for trade.

One of the vital instruments which facilitated long distance trade was portage and the domestication of beasts of burden. Organized caravans, visible by the 2nd millennium BCE, could carry goods across a large distance as fodder was mostly available along the way. The domestication of camels allowed Arabian nomads to control the long distance trade in spices and silk from the Far East to the Arabian Peninsula. However, caravans were useful in long-distance trade largely for carrying luxury goods, the transportation of cheaper goods across large distances was not profitable for caravan operators. With productive developments in iron and bronze technologies, newer trade routes - dispensing innovations of civilizations - began to rise slowly.

## Maritime trade

Visible maritime trade between civilizations can be traced back to at least two millennia. Navigation was known in Sumer between the 4th and the 3rd millennium BCE, and was probably known by the Indians and the Chinese people before the Sumerians. The Egyptians had trade routes through the Red sea, importing spices from the " Land of Punt" (East Africa) and from Arabia.



Vestiges of the merchant colony of Kültepe (*Karum* of *Kanesh*) with Mount Erciyes (20 km) distinguishable in the background.



Maritime trade began with safer coastal trade and evolved with the manipulation of the monsoon winds, soon resulting in trade crossing boundaries such as the Arabian Sea and the Bay of Bengal. South Asia had multiple maritime trade routes which connected it to Southeast Asia, thereby making the control of one route resulting in maritime monopoly difficult. Indian connections to various Southeast Asian states buffered it from blockages on other routes. By making use of the maritime trade routes, bulk commodity trade became possible for the Romans in the 2nd century BCE. A Roman trading vessel could span the Mediterranean Sea in a month at one-sixtieth the cost of over-land routes.

## Visible trade routes

The peninsula of Anatolia lay on the commercial land routes to Europe from Asia as well as the sea route from the Mediterranean to the Black Sea. Records from the 19th century BCE attest to the existence of an Assyrian merchant colony at Kanesh in Cappadocia (now in modern Turkey). Trading networks of the Old World included the Grand Trunk Road of India and the Incense Road of Arabia. A transportation network consisting of hard-surfaced highways, using concrete made from volcanic ash and lime, was built by the Romans as early as 312 BCE, during the times of the Censor Appius Claudius Caecus. Parts of the Mediterranean world, Roman Britain, Tigris-Euphrates river system and North Africa fell under the reach of this network at some point of their history.

According to Robert Allen Denmark (2000):

"The spread of urban trading networks, and their extension along the Persian Gulf and eastern Mediterranean, created a complex molecular structure of regional foci so that as well as the zonation of core and periphery (originally created around Mesopotamia) there was a series of interacting civilizations: Mesopotamia, Egypt, the Indus Valley; then also Syria, central Anatolia (Hittites) and the Aegean (Minoans and Mycenaeans). Beyond this was a margin which included not only temperate areas such as Europe, but the dry steppe corridor of central Asia. This was truly a world system, even though it occupied only a restricted portion of the western Old World. Whilst each civilization emphasized its ideological autonomy, all were identifiably part of a common world of interacting components."

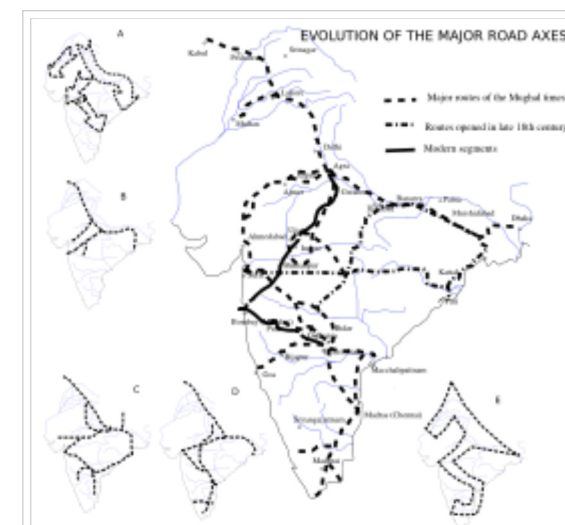
These routes - spreading religion, trade and technology - have historically been vital to the growth of urban civilization. The extent of development of cities, and the level of their integration into a larger world system, has often been attributed to their position in various active transport networks.

## Historic trade routes

### Combined land and waterway routes

#### Incense Route

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Evolution of Indian logistical network. The main map shows the routes since the Mughal times, Inset A shows the major cultural currents of the prehistorical period, B shows pre-Mauryan Indian routes, C shows the Mauryan network, D shows the trade routes at the beginning of the Christian era, and E shows the "Z" shaped region of developed roads.





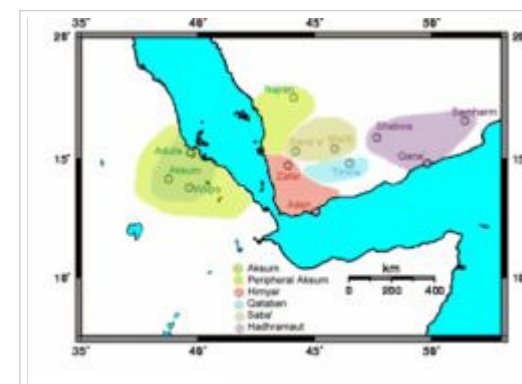
The Incense Route served as a channel for trading of Indian, Arabian and East Asian goods. The incense trade flourished from South Arabia to the Mediterranean between roughly the 3rd century BCE to the 2nd century CE. This trade was crucial to the economy of Yemen and the frankincense and myrrh trees were seen as a source of wealth by its rulers.

Ptolemy II Philadelphus, emperor of Ptolemaic Egypt, may have forged an alliance with the Lihyanites in order to secure the incense route at Dedan, thereby rerouting the incense trade from Dedan to the coast along the Red Sea to Egypt. I. E. S. Edwards connects the Syro-Ephraimite War to the desire of the Israelites and the Aramaeans to control the northern end of the Incense route, which ran up from Southern Arabia and could be tapped by commanding Transjordan.

Gerrha - inhabited by Chaldean exiles from Babylon - controlled the Incense trade routes across Arabia to the Mediterranean and exercised control over the trading of aromatics to Babylon in the 1st century BC. The Nabateans exercised control over the routes along the Incense Route, and their hold was challenged - without success - by Antigonus Cyclops, emperor of Syria and Palestine. The Nabatean control over trade further increased and spread in many directions.

The replacement of Greece by the Roman empire as the administrator of the Mediterranean basin led to the resumption of direct trade with the East and the elimination of the taxes extracted previously by the middlemen of the south. According to Milo Kearney (2003) "The South Arabs in protest took to pirate attacks over the Roman ships in the Gulf of Aden. In response, the Romans destroyed Aden and favored the Western Abyssinian coast of the Red Sea." Indian ships sailed to Egypt as the maritime routes of Southern Asia were not under the control of a single power.

### Pre-Columbian trade



The economy of the Kingdom of Qataban (light blue) was based on the cultivation and trade of spices and aromatics including frankincense and myrrh. These were exported to the Mediterranean, India and Abyssinia where they were greatly prized by many cultures, using camels on routes through Arabia, and to India by sea.



Some similarities between the Mesoamerican and the Andean cultures suggest that the two regions became a part of a wider world system, as a result of trade, by the 1st millennium BCE. The current academic view is that the flow of goods across the Andean slopes was controlled by institutions distributing locations to local groups, who were then free to access them for trading. This trade across the Andean slopes - described sometimes as "vertical trade" - may have overshadowed the long distance trade between the people of the Andes and the neighboring forests. The Callawaya herbalists traded in tropical plants between 6th and the 10th centuries, while copper was dealt by specialized merchants in the Peruvian valley of Chincha. Long distance trade may have seen local elites resorting to struggle in order for manipulation and control.

Prior to the Inca dominance, specialized long distance merchants provided the highlanders with goods such as gold nuggets, copper hatches, cocoa, salt etc. for redistribution among the locals, and were key players in the politics of the region. Hatched shaped copper currency was produced by the Peruvian people, in order to obtain valuables from pre Columbian Ecuador. A maritime exchange system stretched from the west coast of Mexico to southernmost Peru, trading mostly in Spondylus, which represented rain, fertility and was considered the principal food of the gods by the people of the Inca empire. Spondylus was used in elite rituals and the effective redistribution of it had political effect in the Andes during the pre-Hispanic times.

## Predominantly overland routes

### Silk Route

The Silk road was one of the first trade routes to join the Eastern and the Western worlds. According to Vadime Elisseeff (2000):

"Along the Silk Roads, technology traveled, ideas were exchanged, and friendship and understanding between East and West were experienced for the first time on a large scale. Easterners were exposed to Western ideas and life-styles, and Westerners too, learned about Eastern culture and its spirituality-oriented cosmology. Buddhism as an Eastern religion received international attention through the Silk Roads."

Cultural interactions patronized often by powerful emperors, such as Kanishka, led to development of art due to introduction of a rich variety of influences. Buddhist missions thrived along the Silk Roads, partly due to the conducive intermixing of trade and cultural values, which created a series of safe stoppages for both the pilgrims and the traders. Among the frequented routes of the Silk Route was the Burmese route extending from Bhamo, which served as a path for Marco Polo's visit to Yunnan and Indian Buddhist missions to Canton in order to establish Buddhist monasteries. This route - often under the presence of hostile tribes - also finds mention in the works of Rashid al-Din.



Major highways of the Inca road system.



Trading routes used around the 1st century CE centred on the Silk Road.



## Grand Trunk Road

The Grand Trunk Road - connecting Calcutta in India to Peshawar in Pakistan - has existed for over two and a half millennia. One of the important trade routes of the world, this road has been a strategic artery with fortresses, halting posts, wells, post offices, milestones and other facilities. Part of this road through Pakistan also coincided with the Silk Road.

This highway has been associated with emperors Chandragupta Maurya and Sher Shah Suri, the latter became synonymous with this route due to his role in ensuring the safety of the travelers and the upkeep of the road. Emperor Sher Shah widened and realigned the road to other routes, and provided approximately 1700 roadside inns through his empire. These inns provided free food and lodgings to the travelers regardless of their status.

The British occupation of this road was of special significance for the British Raj in India. Bridges, pathways and newer inns were constructed by the British for the first thirty seven years of their reign since the occupation of Punjab in 1849. The British followed roughly the same alignment as the old routes, and at some places the newer routes ran parallel to the older routes.

Vadime Elisseeff (2000) comments on the Grand Trunk Road:

"Along this road marched not only the mighty armies of conquerors, but also the caravans of traders, scholars, artists, and common folk. Together with people, moved ideas, languages, customs, and cultures, not just in one, but in both directions. At different meeting places - permanent as well as temporary - people of different origins and from different cultural backgrounds, professing different faiths and creeds, eating different foods, wearing different clothes, and speaking different languages and dialects would meet one another peacefully. They would understand one another's food, dress, manner, and etiquette, and even borrow words, phrases, idioms and, at times, whole languages from others."

## Amber Road



The Amber Road was a European trade route associated with the trade and transport of amber. Amber satisfied the criteria for long distance trade as it was light in weight and was in high demand for ornamental purposes around the Mediterranean. Before the establishment of Roman control over areas such as Pannonia, the Amber Road was virtually the only route available for long distance trade.

Towns along the Amber Road began to rise steadily during the 1st century CE, despite the troop movements under Titus Flavius Vespasianus and his son Titus Flavius Domitianus. Under the reign of Tiberius Caesar Augustus, the Amber Road was straightened and paved according to the prevailing urban standards. Roman towns began to appear along the road, initially founded near the site of Celtic *oppida*.

The 3rd century saw the Danube river become the principal artery of trade, eclipsing the Amber Road and other commercial routes. The redirection of investment to the Danubian forts saw the towns along the Amber Road growing slowly, though yet retaining their prosperity. The prolonged struggle between the Romans and the barbarians further left its mark on the towns along the Amber Road.

### Via Maris

Via Maris, literally Latin for "the way of the sea," was an ancient highway used by the Romans and the Crusaders. The states controlling the Via Maris were in a position to grant access for trade to their own citizens and collect tolls from the outsiders to maintain the trade route. The name *Via Maris* is a Latin translation of a Hebrew phrase related to Isaiah. Due to the Biblical significance of this ancient route, many attempts to find its present day location have been made by Christian pilgrims. 13th century traveler and pilgrim Burchard of Mount Zion refers to the Via Maris route as a way leading along the shore of the Sea of Galilee.

### Trans Saharan trade



The Amber Route.



The Via Maris (purple), King's Highway (red), and other ancient Levantine trade routes, c. 1300 BCE.



Map indicating locations with significant numbers of Tuareg people, who exercised influence over the Trans Saharan Trade.

Early Muslim writings confirm that the people of West Africa operated a sophisticated network of trade, usually under the authority of a monarch who levied taxes and provided bureaucratic and military support to his kingdom. Sophisticated mechanisms for the economic and political development of the involved African areas were in place before Islam further strengthened trade, towns and government in western Africa. The capital, court and trade of the region find mention in the works of scholar Abū 'Ubayd 'Abd Allāh al-Bakrī; the mainstay of the trans Saharan trade was gold and salt.

The powerful Saharan tribes, Berber in origin and later adapting to Muslim and Arab cultures, controlled the channels to western Africa by making efficient use of horse-drawn vehicles and pack animals. The Songhai engaged in a struggle against the Sa'di dynasty of Morocco over the control of the trans Saharan trade, resulting in damage on both sides and a weak Moroccan victory, further strengthening the uninvolvement of Saharan tribes. Struggles and disturbances continued till the 14th century, by which the Mandé merchants were trading with the Hausa, between Lake Chad and the Niger. Newer trade routes developed following extension of trade.

### Hanseatic trade

Shortly before the 12th century the Germans played a relatively modest role in the north European trade. However, this was to change with the development of Hanseatic trade, as a result of which German traders became prominent in the Baltic and the North Sea regions. Following the death of Eric VI of Denmark, German forces attacked and sacked Denmark, bringing with them artisans and merchants under the new administration which controlled the Hansa regions. During the third quarter of the 14th century the Hanseatic trade faced two major difficulties: economic conflict with the Flanders and hostilities with Denmark. These events led to the formation of an organized association of Hanseatic towns, which replaced the earlier union of German merchants. This new Hansa of the towns - aimed at protecting interests of the merchants and trade - became prominent for the next hundred and fifty years.

Philippe Dollinger associates the downfall of the Hansa to a new alliance between Lubeck, Hamburg and Bremen, which overshadowed the older institution. He further sets the date of dissolution of the Hansa at 1630 and concludes that the Hansa was almost entirely forgotten by the end of the 18th century. Scholar Georg Friedrich Sartorius published the first monograph regarding the community in the early years of the 19th century.

### Predominantly maritime routes

#### Roman-India routes



Main trading routes of the Hanseatic League.



Roman trade with India according to the *Periplus Maris Erythraei*, 1st century CE.

The Ptolemaic dynasty had initiated Greco-Roman maritime trade contact with India using the Red Sea ports. The Roman historian Strabo mentions a vast increase in trade following the Roman annexation of Egypt, indicating that monsoon was known and manipulated for trade in his time. By the time of Augustus up to 120 ships were setting sail every year from Myos Hormos to India, trading in a diverse variety of goods. Arsinoe, Berenice Troglodytica and Myos Hormos were the principal Roman ports involved in this maritime trading network, while the Indian ports included Barbaricum, Barygaza, Muziris and Arikamedu.

The Indians were present in Alexandria and the Christian and Jew settlers from Rome continued to live in India long after the fall of the Roman empire, which resulted in Rome's loss of the Red Sea ports, previously used to secure trade with India by the Greco-Roman world since the time of the Ptolemaic dynasty.

### Spice Route

As trade between India and the Greco-Roman world increased spices became the main import from India to the Western world, bypassing silk and other commodities. The Indian commercial connection with South East Asia proved vital to the merchants of Arabia and Persia during the 7th century and the 8th century.

The Abbasids used Alexandria, Damietta, Aden and Siraf as entry ports to India and China. Merchants arriving from India in the port city of Aden paid tribute in form of musk, camphor, ambergris and sandalwood to Ibn Ziyad, the sultan of Yemen. Moluccan products shipped across the ports of Arabia to the Near East passed through the ports of India and Sri Lanka. Indian exports of spices find mention in the works of Ibn Khurdadhbeh (850), al-Ghafiqi (1150 AD), Ishak bin Imaran (907) and Al Kalkashandi (14th century). After reaching either the Indian or the Sri Lankan ports, spices were sometimes shipped to East Africa, where they were used for many purposes, including burial rites.

On the orders of Manuel I of Portugal, four vessels under the command of navigator Vasco da Gama rounded the Cape of Good Hope, continuing to the eastern coast of Africa to Malindi to sail across the Indian Ocean to Calicut. The wealth of the Indies was now open for the Europeans to explore; the Portuguese Empire was one of the early European empires to grow from spice trade.



This figure illustrates the path of Vasco da Gama heading for the first time to India (black) as well as the trips of Pero da Covilha (orange) and Afonso de Paiva (blue). The path common to both is the green line.

## Modern routes

The modern times saw development of newer means of transport and often controversial free trade agreements, which altered the political and logistical approach prevalent during the Middle Ages. Newer means of transport led to the establishment of new routes, and countries opened up borders to allow



trade in mutually agreed goods as per the prevailing free trade agreement. Some old trading routes were reopened during the modern times, although in different political and logistical scenarios. The entry of harmful foreign pollutants by the way of trade routes has been a cause of alarm during the modern times. A conservative estimate stresses that future damages from harmful animal and plant diseases may be as high as 134 billion US dollars in the absence of effective measures to prevent the introduction of unwanted pests through various trade routes.

## Wagonway routes

Networks, like the Santa Fe Trail and the Oregon Trail, became prominent in the United States with wagon trains gaining popularity as a mode of long distance overland transportation for both people and goods. The Oregon-California routes were highly organized with planned rendezvous locations and essential supplies. The settlers in the United States used these wagon trains - sometimes made up of 100 or more Conestoga wagons - for westward emigration during the 18th and the 19th centuries. Among the challenges faced by the wagon route operators were crossing rivers, mountains and hostile Native Americans. Preparations were also made according to the weather and protection of trade and travelers was ensured by a few guards on horseback.

Wagon freighting was also essential to American growth until it was replaced by the railroad and the truck.

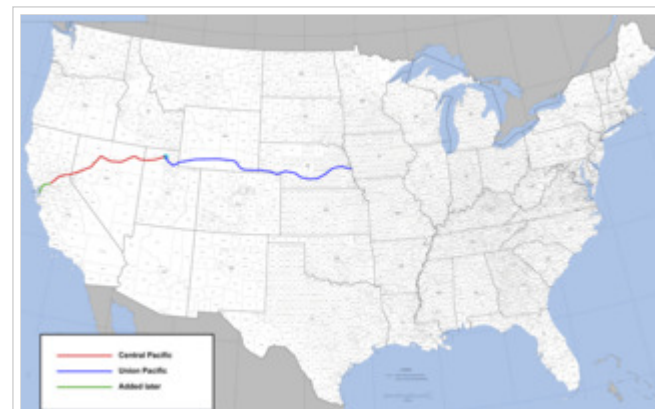
## Railway routes

The 1844 Railway act of England compelled at least one train to a station every day with the third class fares priced at a penny a mile. Trade benefited as the workers and the lower classes had the ability to travel to other towns frequently. Suburban communities began to develop and towns began to spread outwards. The British constructed a vast railway network in India, but it was considered to serve a strategic purpose in addition to the commercial purpose. The efficient use of rail routes helped in the unification of the United States of America.

The modern times saw nations struggle for the control of rail routes: The Trans-Siberian Railway was intended to be used by the Russian government for control of Manchuria and later China; the German forces wanted to establish Berlin-Baghdad Railway in order to influence the Near East; and the Austrian government planned a route from Vienna to Salonika for control of the Balkans.

According to the Encyclopedia Britannica (2002):

Railroads reached their maturity in the early 20th century, as trains carried the bulk of land freight and passenger traffic in the industrialized countries of the world. By the mid-20th century, however, they had lost their preeminent position. The private automobile had replaced the railroad for short passenger trips, while the airplane had usurped it for long-distance travel, especially in the United States. Railroads remained effective, however, for transporting people in high-volume situations, such as commuting between the centres of large cities and their suburbs, and medium-distance travel of less than about 300 miles between urban centres. Although railroads have lost much of the general-freight-carrying business to semi-trailer trucks, they remain the best means of transporting large volumes of such bulk commodities as coal, grain, chemicals, and ore over



Route of the first American transcontinental railroad from Sacramento, California, to Council Bluffs, Iowa.



long distances. The development of containerization has made the railroads more effective in handling finished merchandise at relatively high speeds. In addition, the introduction of piggyback flatcars, in which truck trailers are transported long distances on specially-designed cars, has allowed railroads to regain some of the business lost to trucking.

## Modern road networks

The advent motor vehicles created a demand for better use of highways. Roads evolved into two way roads, expressways, freeways and tollways during the modern times. Existing roads were developed and highways were designed according to intended use.

Trucks came into widespread use in the Western World during World War I, and quickly gained reputation as a means of long distance transportation of goods. Modern highways, such as the Trans-Canada Highway, Highway 1 (Australia) and Pan-American Highway allowed transport of goods and services across great distances. Automobiles continue to play a crucial role in the economies of the Industrialized countries, resulting in rise of businesses such as motor freight operation and truck transportation.

The emission rate for cars using highways has been on a decline between 1975 and 1995 due to regulations and the introduction of unleaded petrol. This trend is especially notable since there has been a growth in vehicles and vehicle miles traveled by automobiles using these highways.

## Modern maritime routes

A consistent shift from land based trade to sea based trade has been recorded since the last three millennia. The strategic advantages of port cities as trading centers are many: they are both less dependent on vital connections and less vulnerable to blockages. Oceanic ports can help forge trading relationships with other parts of the world easily.

Modern maritime trade routes - sometimes in the form of artificial canals like the Suez Canal - had visible impact on the economic and political standing of nations. The opening of the Suez Canal altered British interactions with the colonies of the British Empire as the dynamics of transportation, trade and communication had now changed drastically. Other waterways, like the Panama Canal played an important role in the histories of many nations. Inland water transportation remained significantly important even as the advent of railroads and automobiles resulted in a steady decline of canals. Inland water transport is still used for the transportation of bulk commodities eg. grains, coal, and ore.

Waterway commerce was historically important to Europe, particularly to Russia. According to the Encyclopedia Britannica (2002): "Russia has been a significant beneficiary. Not only have inland waterways opened vast areas of its interior to development, but Moscow-linked to the White, Baltic, Black, Caspian, and Azov seas by canals and rivers-has become a major inland port."



High-capacity freeway interchange in Los Angeles, California, USA.



Canals in the US circa 1825.





Oil spills are recorded both in case of maritime routes and pipeline routes to the main refineries. Oil spills, amounting to as much as 7.56 billion liters of oil entering the oceans every year, occur due to damaged equipment or human error.

## Free Trade Areas

Historically, governments followed a policy of protection of trade. International Free Trade became visible in 1860 with the Anglo-French commercial treaty and the sentiment further gained momentum during the post World War II era.

According to The Columbia Encyclopedia, Sixth Edition:

"After World War II, strong sentiment developed throughout the world against protection and high tariffs and in favour of freer trade. The results were new organizations and agreements on international trade such as the General Agreement on Tariffs and Trade (1948), the Benelux Economic Union (1948), the European Economic Community (Common Market, 1957), the European Free Trade Association (1959), Mercosur (the Southern Cone Common Market, 1991), and the World Trade Organization (1995). In 1993, the North American Free Trade Agreement (NAFTA) was approved by the governments of Canada, Mexico, and the United States. In the early 1990s, the nations of the European Union (the successor organization to the Common Market) undertook to remove all barriers to the free movement of trade and employment across their mutual borders."

On May 2004, the United States of America signed the American Free trade Agreement with five Central American nations.

## Air routes

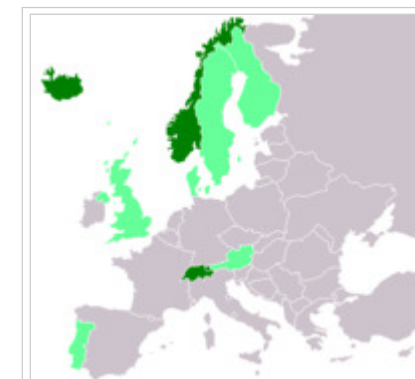
Air transport has become an indispensable part of the modern society. People having been using air transport both for long and middle distances, with the average route length of long distances being 720 kilometers in Europe and 1220 kilometers in the US. This enormous industry annually carries 1600 million passengers worldwide, and covers a 15 million kilometer network with an annual turnover of 260 billion dollars.

The national, international and global economies are linked to this mode of transportation, making it vital to many other industries. Newer trends of liberalization of trade have further led to establishment of routes among nations bound by agreements. One such example is the American Open Skies policy, which led to greater openness in many international markets, but some international restrictions have survived even during the present times.

Express delivery through international cargo airlines touched US \$ 20 billion in 1998 and, according to the World Trade Organization, is expected to triple in 2015. In 1998, 50 pure cargo service companies operated internationally.

## Pipeline networks

<http://cd3wd.com> [wikipedia-for-schools](http://wikipedia-for-schools) <http://gutenberg.org> page no: 521 of 541



European Free Trade Association member states.  
Former member states, now European Union member states.



FedEx DC-10.



The economic importance of pipeline transport - responsible for a high percentage of oil and natural gas transportation - is often undermined by the general public due to the lack of visibility of this mode. Generally held to be safer and more economical and reliable than the other modes of transport, this mode has many advantages over rival modes, such as trucks and railways. Examples of modern pipeline transport include Alashankou-Dushanzi Crude Oil Pipeline and Iran-Armenia Natural Gas Pipeline. International pipeline transport projects, like the Baku-Tbilisi-Ceyhan pipeline, presently connect modern nation states - in this case Azerbaijan, Georgia and Turkey - through pipeline networks.

In some select cases, pipelines can even transport solids, such as coal and other minerals, over long distances; short distance transportation of goods such as grain, cement, concrete, solid wastes, pulp etc. is also feasible.

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# Viking

2008/9 Schools Wikipedia Selection. Related subjects: British History 1500 and before (including Roman Britain); General history

**Viking** refers to a member of the Norse (Scandinavian) peoples, famous as explorers, warriors, merchants, and pirates, who raided and colonized wide areas of Europe from the late 8th to the early 11th century. These Norsemen used their famed longships to travel as far east as Constantinople and the Volga River in Russia, and as far west as Iceland, Greenland, and Newfoundland. This period of Viking expansion is known as the Viking Age, and forms a major part of Scandinavian history, with a minor, yet significant part in European history.

Once seen through the classical mindset of the "barbaric North", the historical image of the Vikings, although still under the shadow of traditional views, now shows the Vikings as aspirational, adventurous peoples, with ingenuity in ship and town construction, and a proficiency as seafarers and traders to match.

## Etymology

The word Viking comes from the Old Norse word "vikingr", lit. "one who came from the fjords", from "vik", meaning a bay, creek, fjord or inlet. By the end of the Viking period, the term referred to pirates or robbers operating by sea, known as "vikingr" in West Norse, and was used as a term for sea-born warfare and harrying in the West Norse "Viking". Though mostly used as a general term for pirates there are instances of another use in some of the Icelandic sagas. There some were considered vikings and to be "going on Viking" who sailed out to claim fame and fortune for themselves. This could involve seeking the stewardship of kings, trading in foreign parts and raiding. These names were common mainly in Scandinavia itself, however, and many other terms were generally used in the wider world. These included *heathens*, *northmen*, *Lochlannachs* in the Irish tongue, *the people from the north*, *the Danes*, *Rus'*, or simply *the foreigners*. These terms, however, were used for the Viking peoples as a whole, and thus never accounted for the class distinction between vikings and other Norsemen nor the variety of the Nordic peoples.

## The Viking Age



Danish seamen, painted mid-12th century.



The Gokstad Viking ship on display in Oslo, Norway.

The period from the earliest recorded raids in the 790s until the Norman Conquest of England in 1066 is commonly known as the Viking Age of Scandinavian History. The Normans, however, were descended from Danish Vikings who were given feudal overlordship of areas in northern France — the Duchy of Normandy — in the 8th century. In that respect, descendants of the Vikings continued to have an influence in northern Europe. Likewise, King Harold Godwinson, the last Anglo-Saxon king of England who was killed during the Norman invasion in 1066, was descended from Danish Vikings. Many of the medieval kings of Norway and Denmark were married to English and Scottish royalty and Viking forces were often a factor in dynastic disputes prior to 1066.

Geographically, a "Viking Age" may be assigned not only to Scandinavian lands (modern Denmark, Norway and Sweden), but also to territories under North Germanic dominance, mainly the Danelaw, which replaced the powerful English kingdom of Northumbria. Viking navigators opened the road to new lands to the north, west and east, resulting in the foundation of independent settlements in the Shetland, Orkney, and Faroe Islands, Iceland, Greenland, and L'Anse aux Meadows, a short-lived settlement in Newfoundland, circa 1000 A.D. Many of these lands, specifically Greenland and Iceland, may have been originally discovered by sailors blown off course. They also may well have been deliberately sought out, perhaps on the basis of the accounts of sailors who had seen land in the distance. The Greenland settlement eventually died out, possibly due to climate change. Vikings also explored and settled in territories in Slavic-dominated areas of Eastern Europe. By 950 AD these settlements were completely Slavicized.

From 839, Varangian mercenaries in the service of the Byzantine Empire, notably Harald Hardrada, campaigned in North Africa, Jerusalem, and other places in the Middle East. Important trading ports during the period include Birka, Hedeby, Kaupang, Jorvik, Staraya Ladoga, Novgorod and Kiev.

There is archaeological evidence that Vikings reached the city of Baghdad, the centre of the Islamic Empire. The Norse regularly plied the Volga with their trade goods: furs, tusks, seal fat for boat sealant and slaves. However, they were far less successful in establishing settlements in the Middle East, due to the more centralized Islamic power.

Generally speaking, the Norwegians expanded to the north and west to places such as Ireland, Iceland and Greenland; the Danes to England and France, settling in the Danelaw (northern England) and Normandy; and the Swedes to the east. These nations, although distinct, were similar in culture and language. The names of Scandinavian kings are known only for the later part of the Viking Age, and only after the end of the Viking Age did the separate kingdoms acquire a distinct identity as nations, which went hand in hand with their Christianization. Thus the end of the Viking Age for the Scandinavians also marks the start of their relatively brief Middle Ages.

## Viking expansion



The Vikings sailed most of the North Atlantic, reaching south to North Africa and east to Russia, Constantinople and the middle east, as looters, traders, colonists, and mercenaries. Vikings under Leif Eriksson, heir to Erik the Red, reached North America, and set up a short lived settlement in present-day L'Anse aux Meadows, Newfoundland and Labrador, Canada.

## British Isles

### England

Traditionally, the earliest date given for a Viking raid is 789 when, according to the *Anglo-Saxon Chronicle*, three ships from Norway sailed to Portland Bay, in Dorset. There, they were mistaken for merchants by a royal official, and they murdered him when he tried to get them to accompany him to the king's manor to pay a trading tax on their goods. The next recorded attack, dated June 8, 793, was on the monastery on the island of Lindisfarne, off the east coast of England. The resident monks were killed, thrown into the sea to drown or carried away as slaves along with some of the church treasures. After repeated Viking raids, the monks fled Lindisfarne in AD 875, carrying the relics of Saint Cuthbert with them.

In 840 and 841, Norwegians raided during the winter months instead of summer, as was their usual tactic. They waited on an island off Ireland. In 865 a large army of Danish Vikings, supposedly led by Ivar, Halfdan and Guthrum, arrived in East Anglia. They proceeded to cross England into Northumbria and captured York (Jorvik), where some settled as farmers. Most of the English kingdoms, being in turmoil, could not stand against the Vikings, but Alfred of Wessex managed to keep the Vikings out of his county. Alfred and his successors were able to drive back the Viking frontier and retake York.



Map showing area of Scandinavian settlement in the eighth (dark red), ninth (red), tenth (orange) and eleventh (yellow) centuries. Green denotes areas subjected to frequent Viking raids.



A new wave of Vikings appeared in England in 947 when Erik Bloodaxe captured York. The Viking presence continued through the reign of Canute the Great (1016-1035), after which a series of inheritance arguments weakened the family reign.

The Vikings did not get everything their way. In one instance in England, a small Viking fleet attacked a rich monastery at Jarrow. The Vikings were met with stronger resistance than they expected: their leaders were killed, the raiders escaped, only to have their ships beached at Tynemouth and the crews killed by locals. This was one of the last raids on England for about 40 years. The Vikings instead focused on Ireland and Scotland. The Viking presence in the British Isles dwindled until 1066, when the Norwegians lost their final battle with the English.

It is important to bear in mind that not all the Norse arriving in the British Isles came as raiders. Many arrived with families and livestock, often in the wake of the capture of territory by their forces. DNA analysis shows that a major part of the ancestry of English people in northern East Anglia, eastern Yorkshire and in the Lake District is Scandinavian in origin, presumably from colonists around this time. The populations then merged over time by intermarriage into the Anglo-Saxon population of these areas. Many words in the English language are from old Scandinavian languages, showing the importance of this contact.



Danelaw

## Scotland

While there are few records from the earliest period, it is believed that Scandinavian presence in Scotland increased in the 830s. In 836, a large Viking force believed to be Norwegian invaded the Earn valley and Tay valley which were central to the Pictish kingdom. They killed Eoganan, king of the Picts, and his brother, the vassal king of the Scots. They also killed many members of the Pictish aristocracy. The sophisticated kingdom that had been built fell apart, as did the Pictish leadership. The foundation of Scotland under Kenneth MacAlpin is traditionally attributed to the aftermath of this event.

The isles to the north and west of Scotland were heavily colonized by Norwegian Vikings. Shetland, Orkney, the Western Isles, Caithness and Sutherland were under Norse control, sometimes as fiefs under the King of Norway and other times as separate entities. Shetland and Orkney were the last of these to be incorporated into Scotland in as late as 1468. As well as Orkney and Shetland, Caithness and Sutherland, the Norse settled in the Hebrides. Some parts of the west coast were also settled, and Galloway, which got its name from the Gall-Gael or Foreigner Gael (as the mixed Norse Scots were known).

## Cornwall



In 722, the Cornish allied with Danish Vikings in order to hold Wessex from expanding into Cornwall. A Wessex Saxon army led by King Ine was beaten by an alliance of Cornish and Vikings near the Camel estuary at "Hehil", possibly somewhere near modern day Padstow. This battle, recorded in the *Annales Cambriae*, as well as the Vikings' continual attacks on Wessex, enabled Cornwall to stay autonomous from Wessex for the next 100 years. (Up until 838 the eastern Cornish border was still on the River Exe- River Taw line). The Danes provided tactical support to their Cornish allies by raiding Wessex which weakened the authority of the Saxons. In 831 AD, the Danes raided Charmouth in Dorset, in 997 AD they destroyed the Dartmoor town of Lydford, and from 1001 AD to 1003 AD they occupied the old Roman city of Exeter. In 1013 Wessex was conquered by the Danes under the leadership of Sweyn Forkbeard.

## Wales

Wales was not colonized by the Vikings significantly as in eastern England or Scotland. The Vikings did, however, settle in small numbers in the south around St. David's, Haverfordwest, and the Gower. Place names such as Skokholm, Skomer, and Swansea remain as evidence of the Norse settlement. The Vikings, however, were not able to set up a Viking state or control Wales, owing to the powerful forces of Welsh kings, and, unlike in Scotland, the aristocracy was relatively unharmed.

Nevertheless, following the successful Viking alliances with Cornwall in 722 and Brittany in 865, the Britons made their peace with the Danes, and a Viking/Welsh alliance in 878 defeated an Anglo-Saxon army from Mercia, although there were still some occasional skirmishes between the Britons of Wales and the Danes.

The city of Swansea was founded by the imperialist Viking King of Denmark Sweyn Forkbeard who by 1013 was King of the Danes, Anglo-Saxons and Norwegians. Swansea is a corruption of the Norse "Sweyn's Ey", which means "Sweyn's island". The island refers to the area around the estuary of the river Tawe. The neighboring Gower peninsula has some place names of Norse origin (such as Worms Head; worm is the Norse word for dragon, as the Vikings believed that the serpent-shaped island was a sleeping dragon). Twenty miles (32 km) west of Cardiff on the Vale of Glamorgan coast is the semi-flooded island of Tusker Rock, which takes its name from Tuska, the Viking who established a settlement in the area.

## Ireland

The Vikings conducted extensive raids in Ireland and founded many towns, including Dublin, Limerick, Mullingar, Wexford, Waterford and Leixlip. Literature, crafts, and decorative styles in Ireland and the British Isles reflected Scandinavian culture. Vikings traded at Irish markets in Dublin. Excavations found imported fabrics from England, Byzantium, Persia, and central Asia. Dublin became so crowded by the 11th century that houses were constructed outside the town walls.

The Vikings pillaged monasteries on Ireland's west coast in 795, and then spread out to cover the rest of the coastline. The north and east of the island were most affected. During the first 40 years, the raids were conducted by small, mobile Viking groups. From 830 on, the groups consisted of large fleets of Viking ships. From 840, the Vikings began establishing permanent bases at the coasts. Dublin was the most significant settlement in the long term. The Irish became



Canute's territories 1014-1035



accustomed to the Viking presence and culture. In some cases they became allies and also intermarried throughout all of Ireland.

In 832, a Viking fleet of about 120 ships under Turgesius invaded kingdoms on Ireland's northern and eastern coasts. Some believe that the increased number of invaders coincided with Scandinavian leaders' desires to control the profitable raids on the western shores of Ireland. During the mid-830s, raids began to push deeper into Ireland. Navigable waterways made this deeper penetration possible. After 840, the Vikings had several bases in strategic locations throughout Ireland.

In 838, a small Viking fleet entered the River Liffey in eastern Ireland, probably led by the chieftain Saxolb (Soxulfr) who was killed later that year. The Vikings set up a base, which the Irish called longphorts. This longphort would eventually become Dublin. After this interaction, the Irish experienced Viking forces for about 40 years. The Vikings also established longphorts in Cork, Limerick, Waterford, and Wexford. The Vikings were driven out of Ireland for a short period around 900, but returned to Waterford in 914 to found what would become Ireland's first city. The other longphorts were soon re-occupied and developed into cities and towns.

The last major battle involving Vikings was the Battle of Clontarf in 1014, in which a large force from the pan-Viking world and their Irish allies opposed Brian Boru, then the High King of Ireland and his forces, a small contingent of which were Viking defectors. The battle was fought in what is the now Dublin suburb of Clontarf on Good Friday of that year. Boru, the Irish High King had gracefully allowed the Viking King of Dublin; Sigtrygg Silkbeard, one year to prepare for his coming assault. Silkbeard responded by offering the bed of his mother to several Viking lords from Scandinavia and the British Isles. The savage melee between the heavily mailed Norse and the unarmoured, yet undaunted Gaels ended in a rout of the Vikings and their Irish allies. Careful accounts were taken by both sides during the battle, and thus many famous warriors sought each other out for personal combat and glory. High King Brian, who was nearly eighty, did not personally engage in the battle but retired to his tent where he spent the day in quiet prayer. The Viking Earl Brodir of Man chanced upon Brian's tent as he fled the field. He and a few followers seized the opportunity, and surprised the High King, killing the aged Brian before being captured. Brian's foster son Wolf the Quarrelsome later tracked down and dispatched Brodir by disembowelment; Wolf watching as Brodir marched and wound his own innards around the trunk of a large tree. The battle was fairly matched for most of the day and each side had great respect for the prowess of the other; however, in the end, the Irish forced the Norse to return to the sea. Many of the fleeing Vikings were drowned in the surf due to their heavy mail coats as they struggled for the safety of their longships; others were pursued and slain further inland. After the battle, Viking power was broken in Ireland forever, though many settled Norse remained in the cities and prospered greatly with the Irish through trade. With Brian dead, Ireland returned to the fractured kingdom it had once been, but was now cleared of further Viking predation.

## West Francia

West Francia suffered more severely than East Francia during the Viking raids of the ninth century. The reign of Charles the Bald coincided with some of the worst of these raids, though he did take action by the Edict of Pistres of 864 to secure a standing army of cavalry under royal control to be called upon at all times when necessary to fend off the invaders. He also ordered the building of fortified bridges to prevent inland raids.

Nonetheless, the Bretons allied with the Vikings and Robert, the margrave of Neustria, (a march created for defence against the Vikings sailing up the Loire), and Ranulf of Aquitaine died in the Battle of Brissarthe in 865. The Vikings also took advantage of the civil wars which ravaged the Duchy of Aquitaine in the





early years of Charles' reign. In the 840s, Pepin II called in the Vikings to aid him against Charles and they settled at the mouth of the Garonne. Two dukes of Gascony, Seguin II and William I, died defending Bordeaux from Viking assaults. A later duke, Sancho Mitarra, even settled some at the mouth of the Adour in an act presaging that of Charles the Simple and the Treaty of Saint-Clair-sur-Epte by which the Vikings were settled in Rouen, creating Normandy as a bulwark against other Vikings.

## Low Countries

In the 9th and 10th centuries the Vikings raided the largely defenceless Frisian and Frankish towns laying on the coast and along the rivers of the Low Countries. Although Vikings never settled in large numbers in these areas, they did set up long-term bases and were even acknowledged as lords in a few cases.

Antwerp was raided in 836. Later there were raids of Ghent, Kortrijk, Tournai, Leuven and the areas around the Meuse river, the Rhine, the Rupel river and the tributaries of these rivers. Raids were conducted from bases established in Asselt, Walcheren, Wieringen and Elterberg. In Dutch and Frisian historical tradition the trading centre of Dorestad declined after Viking raids from 834 to 863; however, since no convincing Viking archaeological evidence has been found at the site (as of 2007), doubts about this have grown in recent years.

One of the most important Viking families in the Low Countries was that of Rorik of Dorestad (based in Wieringen) and his brother Harald (based in Walcheren). Around 850 Lothair I acknowledged Rorik as ruler of most of Friesland. And again in 870 Rorik was received by Charles the Bald in Nijmegen, to whom he became a vassal. Viking raids continued during this period. Harald's son Rodulf and his men were killed by the people of Oostergo in 873. Rorik died sometime before 882.

Buried Viking treasures consisting mainly of silver have been found in the Low Countries. Two such treasures have been found in Wieringen. A large treasure found in Wieringen in 1996 dates from around 850 and is thought perhaps to have been connected to Rorik. The burial of such a valuable treasure is seen as an indication that there was a permanent settlement in Wieringen.

Around 879 Godfrid arrived in Frisian lands as the head of a large force that terrorised the Low Countries. Using Ghent as his base, they ravaged Ghent, Maastricht, Liège, Stavelot, Prüm, Cologne, and Koblenz. Controlling most of Frisia between 882 and his death in 885, Godfrid became known to history as Godfrid, Duke of Frisia. His lordship over Frisia was acknowledged by Charles the Fat, to whom he became a vassal. Godfried was assassinated in 885, after which Gerolf of Holland assumed lordship and Viking rule of Frisia came to an end.

Viking raids of the Low Countries continued for over a century. Remains of Viking attacks dating from 880 to 890 have been found in Zutphen and Deventer. The last attacks took place in Tiel in 1006 and Utrecht in 1007.

## Iberia

By the mid 9th century, though apparently not before there were Viking attacks on the coastal Kingdom of Asturias in the far northwest of the peninsula, though historical sources are too meagre to assess how frequent or how early raiding occurred. By the reign of Alfonso III Vikings were stifling the already weak



threads of sea communications that tied Galicia to the rest of Europe. Richard Fletcher attests raids on the Galician coast in 844 and 858: "Alfonso III was sufficiently worried by the threat of Viking attack to establish fortified strong points near his coastline, as other rulers were doing elsewhere." In 861, a group of Vikings ransomed the king of Pamplona, whom they had captured the previous year, for 60,000 gold pieces.

Raiding continued for the next two centuries. In 968 Bishop Sisnando of Compostela was killed, the monastery of Curtis was sacked, and measures were ordered for the defence of the inland town of Lugo. After Tui was sacked early in the 11th century, its bishopric remained vacant for the next half-century. Ransom was a motive for abductions: Fletcher instances Amarello Mestáliz, who was forced to raise money on the security of his land in order to ransom his daughters who had been captured by the Vikings in 1015. Bishop Cresconio of Compostela (ca. 1036 – 66) repulsed a Viking foray and built the fortress at *Torres do Oeste* (Council of Catoira) to protect Compostela from the Atlantic approaches. The city of Póvoa de Varzim in Northern Portugal, then a town, was settled by Vikings around the 9th century and its influence kept strong until very recently, mostly due to the practice of endogamy in the community.

In the Islamic south, the first navy of the Emirate was built after the humiliating Viking ascent of the Guadalquivir in 844 when they sacked Seville. Nevertheless, in 859, Danish pirates sailed through Gibraltar and raided the little Moroccan state of Nakur. The king's harem had to be ransomed back by the emir of Cordoba. These and other raids prompted a shipbuilding program at the dockyards of Seville. The Andalusian navy was thenceforth employed to patrol the Iberian coastline under the caliphs Abd al-Rahman III (912 – 61) and Al-Hakam II (961 – 76). By the next century, piracy from North Africans superseded Viking raids.

## Byzantine Empire, Russia, Ukraine

The Vikings settled coastal areas along the Baltic Sea, and along inland rivers in Russian territories such as Staraya Ladoga, Novgorod and along major waterways to the Byzantine empire.

The Varangians or Varyags (Russian, Ukrainian: Варяги, Varyagi) sometimes referred to as Variagians were Scandinavians who migrated eastwards and southwards through what is now Russia, Belarus and Ukraine mainly in the 9th and 10th centuries. Engaging in trade, colonization, piracy and mercenary activities, they roamed the river systems and portages of Gardariki, reaching and settling at the Caspian Sea and in Constantinople.

## Greenland

Two areas along Greenland's southwest coast were colonized by Norse settlers around 986. The land was marginal at best. The settlers arrived during a warm phase, when short-season crops such as rye and barley could be grown. Sheep and hardy cattle were also raised for food, wool, and hides. Their main export was walrus ivory, which was traded for iron and other goods which could not be produced locally. Greenland became a dependency of the king of Norway in 1261. During the 13th century, the population may have reached as high as 5,000, divided between the two main settlements of *Eystribygd* (Eastern Settlement) and *Vestribygd* (Western Settlement). Greenland had several churches and a cathedral at Gardar. The Catholic diocese of Greenland was subject to the archdiocese of Nidaros. However, many bishops chose to exercise this office from afar. As the years wore on, the climate shifted (see little ice age). In 1379



In Athens, Greece, Swedish Vikings wrote a runic inscription on the Piraeus Lion.



the northernmost settlement was attacked by the Skrælings (Norse word for Inuit). Crops failed and trade declined. The Greenland colony gradually faded away. By 1450 it had lost contact with Norway and Iceland and disappeared from all but a few Scandinavian legends.

## North America

Some exploration and expansion occurred still further west, in modern-day North America, with exploration led by Erik the Red and his son, Leif Eriksson from Iceland. Leif Eriksson, known from Icelandic sagas as a descendant from a line of Norwegian Viking chieftains, who had established the first European settlement in Greenland in about 985, was most likely the first people from the old world to discover America in about 1000. Regular activity from Greenland extended to Ellesmere Island, Skraeling Island and Ruin Island for hunting and trading with Inuit groups. A short-lived seasonal settlement was established at L'Anse aux Meadows, located in Newfoundland and Labrador, Canada. The Norwegian Vikings called the new found territory " Vinland."

## Motives for expansion



Map showing area of Scandinavian settlements during the 9th to 10th centuries. Also the trade and raid routes, often inseparable, are marked.

The motives driving the Viking expansion form a topic of much debate in Nordic history. One common theory posits that the Viking population had outgrown agricultural potential of their Scandinavian homeland. For a coastal population with superior naval technologies, it made sense to expand overseas in the face of a youth bulge effect. However, this theory does little to explain why the expansion went overseas rather than into the vast, uncultivated forest areas on the interior of the Scandinavian Peninsula. Moreover, no such rise in population or decline in agricultural production has been definitively proven.

Another explanation is that the Vikings exploited a moment of weakness in the surrounding regions. For instance, the Danish Vikings were aware of the internal divisions within Charlemagne's empire that began in the 830s and resulted in schism. The Danish expeditions in England also profited from the disunity of the different English kingdoms.

The decline in the profitability of old trade routes could also have played a role. Trade between western Europe and the rest of Eurasia suffered a severe blow when the Roman Empire fell in the 5th century. The expansion of Islam in the 7th century had also affected trade with western Europe. Trade on the Mediterranean Sea was historically at its lowest level when the Vikings initiated their expansion. By opening new trade routes in Arabic and Frankish lands, the Vikings profited from international

trade by expanding beyond their traditional boundaries. Finally, the destruction of the Frisian fleet by the Franks afforded the Vikings an opportunity to take over their trade markets.

Viking expansion could also have originated as a means of resistance to forced Christianisation, in particular Charlemagne's persecutions against all the Pagan people, who would've had to accept "conversion, or the massacre."

## Decline

Following a period of thriving trade and settlement, cultural impulses flowed from the rest of Europe to affect Viking dominance. Christianity had an early and

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growing presence in Scandinavia, and with the rise of centralized authority and the development of more robust coastal defense systems, Viking raids became more risky and less profitable.

Snorri Sturluson in the saga of St. Olaf chapter 73, describes the brutal process of Christianisation in Norway: "...those who did not give up paganism were banished, with others he (St. Olaf) cut off their hands or their feet or extirpated their eyes, others he ordered hanged or decapitated, but did not leave unpunished any of those who did not want to serve God (...) he afflicted them with great punishments (...) He gave them clerks and instituted some in the districts."

As the new quasi- feudalistic system became entrenched in Scandinavian rule, organized opposition sealed the Viking's fate – 11th century chronicles note Scandinavian attempts to combat the Vikings from the eastern shores of the Baltic Sea, which eventually led to Danish and Swedish participation in the Baltic crusades during the 12th and 13th centuries, and contributed to the development of the Hanseatic League.

## Weapons and warfare

Our knowledge about arms and armor of the Viking age is based on relatively sparse archaeological finds, pictorial representation, and to some extent on the accounts in the Norse sagas and Norse laws recorded in the 13th century.

According to custom, all free Norse men were required to own weapons, as well as permitted to carry them at all times. These arms were also indicative of a Viking's social status. A wealthy Viking would have a complete ensemble of a helmet, shield, chainmail shirt, and animal-skin coat, possibly reindeer hides, among various other armaments. A lesser off man, however, could only afford a single weapon, and perhaps a shield.

The spear and shield were the most basic armaments of the Viking warrior; most would probably also wear a knife of some description, commonly of the seax type. As an alternative, or perhaps in addition, to the spear a warrior might carry a bow or axe. The wealthiest Vikings would have worn a sword in addition to his primary arms and have had access to body armor, such as a helmet and a mail hauberk.

## Archaeology

With a distinct lack of totally reliable written sources on the topic, much of the historical investigation of the Viking period relies on Archaeology.

## Runestones

The vast majority number of runic inscriptions from the Viking period come from Sweden, especially from the tenth and eleventh century. Many runestones in Scandinavia record the names of participants in Viking expeditions, such as the Kjula Runestone which tells of extensive warfare in Western Europe and the Turinge Runestone which tells of a warband in Eastern Europe. Other runestones mention men who died on Viking expeditions, among them the around 25 Ingvar Runestones in the Mälardalen district of Sweden erected to commemorate members of a disastrous expedition into present-day Russia in the early 11th



century. The runestones are important sources in the study of Norse society and early medieval Scandinavia, not only of the 'Viking' segment of the population (Sawyer, P H: 1997).

Runestones attest to voyages to locations, such as Bath, Greece, Khwarezm, Jerusalem, Italy (as Langobardland), London, Serkland (i.e. the Muslim world), England, and various locations in Eastern Europe.

The word *Viking* appears on several runestones found in Scandinavia.

## Burial sites

There are numerous burial sites associated with Vikings. As well as providing information on Viking religion, burial sites also provide information on social structure, and the items buried with the deceased often give some indication as to what was considered important to possess in the afterlife. Some examples of notable burial sites include:

- Gettlinge gravfält, Öland, Sweden, ship outline
- Jelling, Denmark, a World Heritage Site
- Oseberg, Norway.
- Gokstad, Norway.
- Borrehaugene, Horten, Norway
- Tuna, Sweden.
- Gamla Uppsala, Sweden.
- Hulterstad gravfält, near the villages of Alby and Hulterstad, Öland, Sweden, ship outline of standing stones

## Ships



There were two distinct classes of Viking ships: the longship (sometimes erroneously called "drakkar", a corruption of "dragon" in Norse) and the knarr. The longship, intended for warfare and exploration, was designed for speed and agility, and were equipped with oars to complement the sail as well as making it able to navigate independently of the wind. The longship had a long and narrow hull, as well as a shallow draft, in order to facilitate landings and troop deployments in shallow water. The knarr, on the other hand, was a slower merchant vessel with a greater cargo capacity than the longship. It was designed with a short and broad hull, and a deep draft. It also lacked the oars of the longship.

Longships were used extensively by the Leidang, the Scandinavian defence fleets. The term "Viking ships" has entered common usage, however, possibly because of its romantic associations (discussed below).

In Roskilde are the well-preserved remains of five ships, excavated from nearby Roskilde Fjord in the late 1960s. The ships were scuttled there in the 11th century to block a navigation channel, thus protecting the city, which was then the Danish capital, from seaborne assault. These five ships represent the two distinct classes of Viking ships, the longship and the knarr. The remains of these ships can be found on display at the Viking Ship Museum in Roskilde.

Longships are not to be confused with longboats.

## Genetics

The Vikings' prolific expansion is still exhibited in modern genetics. Relatively high frequencies of Haplogroup R1a1 are found in Northern Europe, the largest being 23% in Iceland, and it is believed to have been spread across Europe by the Indo-Europeans and later migrations of Vikings, which accounts for the existence of it in, among other places, the British Isles.

## Historical opinion and cultural legacy

In England the Viking Age began dramatically on June 8, 793 when Norsemen destroyed the abbey on the island of Lindisfarne. The devastation of Northumbria's Holy Island shocked and alerted the royal Courts of Europe to the Viking presence. "Never before has such an atrocity been seen," declared the Northumbrian scholar, Alcuin of York. More than any other single event, the attack on Lindisfarne demonized perception of the Vikings for the next twelve centuries. Not until the 1890s did scholars outside Scandinavia begin to seriously reassess the achievements of the Vikings, recognizing their artistry, technological skills and seamanship.

The first challenges to anti-Viking sentiments in Britain emerged in the 17th century. Pioneering scholarly editions of the Viking Age began to reach a small readership in Britain, archaeologists began to dig up Britain's Viking past, and linguistic enthusiasts started to identify the Viking-Age origins for rural idioms and proverbs. The new dictionaries of the Old Norse language enabled the Victorians to grapple with the primary Icelandic sagas.



Miniatures of two different types of longships, on display at the Viking Ship Museum in Roskilde, Denmark.



Viking ship head of dragon, has a dog's nostrils, canines, and rounded ears.



In Scandinavia, the 17th century Danish scholars Thomas Bartholin and Ole Worm, and Olof Rudbeck of Sweden were the first to set the standard for using runic inscriptions and Icelandic Sagas as historical sources. During the Age of Enlightenment and the Nordic Renaissance, historical scholarship in Scandinavia became more rational and pragmatic, as witnessed by the works of a Danish historian Ludvig Holberg and Swedish historian Olof von Dalin. Until recently, the history of the Viking Age was largely based on Icelandic sagas, the history of the Danes written by Saxo Grammaticus, the Russian Primary Chronicle and the The War of the Irish with the Foreigners. Although few scholars still accept these texts as reliable sources, historians nowadays rely more on archeology and numismatics, disciplines that have made valuable contributions toward understanding the period.

Until the 19th century reign of Queen Victoria, public perceptions in Britain continued to portray Vikings as violent and bloodthirsty. The chronicles of medieval England had always portrayed them as rapacious 'wolves among sheep'. In 1920, a winged-helmeted Viking was introduced as a radiator cap figure on the new Rover car, marking the start of the cultural rehabilitation of the Vikings in Britain.

### **Icelandic sagas and other texts**

Norse mythology, sagas and literature tell of Scandinavian culture and religion through tales of heroic and mythological heroes. However, early transmission of this information was primarily oral, and later texts were reliant upon the writings and transcriptions of Christian scholars, including the Icelanders Snorri Sturluson and Sæmundur fróði. Many of these sagas were written in Iceland, and most of them, even if they had no Icelandic provenance, were preserved there after the Middle Ages due to the Icelanders' continued interest in Norse literature and law codes.

The 200 year Viking influence on European history is filled with tales of plunder and colonization, and the majority of these chronicles came from western witnesses and their descendants. Less common, though equally relevant, are the Viking chronicles that originated in the east, including the Nestor chronicles, Novgorod chronicles, Ibn Fadlan chronicles, Ibn Ruslan chronicles, and many brief mentions by the Fosio bishop from the first big attack on the Byzantine empire.

Other chroniclers of Viking history include Adam of Bremen, who wrote "There is much gold here (in Zealand), accumulated by piracy. These pirates, which are called *wichingi* by their own people, and *Ascomanni* by our own people, pay tribute to the Danish king" in the fourth volume of his *Gesta Hammaburgensis Ecclesiae Pontificum*, and Egil Skallagrimsson, who mentioned that "Björn was a great traveler; sometimes as Viking, sometimes as tradesman."

In 991, the Battle of Maldon between Viking raiders and the inhabitants of the town of Maldon in Essex, England was commemorated with a poem of the same name.

### **Modern revivals**



Early modern publications, dealing with what we now call Viking culture, appeared in the 16th century, e.g. *Historia de gentibus septentrionalibus* (Olaus Magnus, 1555), and the first edition of the 13th century *Gesta Danorum* of Saxo Grammaticus in 1514. The pace of publication increased during the 17th century with Latin translations of the Edda (notably Peder Resen's *Edda Islandorum* of 1665).

## Romanticism

The word *Viking* was popularized, with positive connotations, by Erik Gustaf Geijer in the poem, *The Viking*, written at the beginning of the 19th century. The word was taken to refer to romanticized, idealized naval warriors, who had very little to do with the historical Viking culture. This renewed interest of Romanticism in the Old North had political implications. A myth about a glorious and brave past was needed to give the Swedes the courage to retake Finland, which had been lost in 1809 during the war between Sweden and Russia. The Geatish Society, of which Geijer was a member, popularized this myth to a great extent. Another Swedish author who had great influence on the perception of the Vikings was Esaias Tegnér, member of the Geatish Society, who wrote a modern version of *Friðþjófs saga ins frækna*, which became widely popular in the Nordic countries, the United Kingdom and Germany.

A focus for early British enthusiasts was George Hicke, who published a *Linguarum vett. septentrionalium thesaurus* in 1703 – 05. During the 18th century, British interest and enthusiasm for Iceland and Nordic culture grew dramatically, expressed in English translations as well as original poems, extolling Viking virtues and increased interest in anything Runic that could be found in the Danelaw, rising to a peak during Victorian times.

## Nazi and fascist imagery

Political organizations of the same tradition, such as the Norwegian fascist party, Nasjonal Samling, used an amount of Viking symbolism combined with Roman symbolism and imagery widely in their propaganda and aesthetical approach.

Similar to Wagnerian mythology, the romanticism of the heroic Viking ideal appealed to the Germanic supremacist thinkers of Nazi Germany. Political organizations of the same tradition, such as the Norwegian fascist party, Nasjonal Samling, used Viking symbolism and imagery widely in its propaganda. The Viking legacy had an impact in parts of Europe, especially the Northern Baltic region, but in no way was the Viking experience particular to Germany. However, the Nazis did not claim themselves to be the descendants of any Viking settlers. Instead, they resorted to the historical and ethnic fact that the Vikings were descendants of other Germanic peoples; this fact is supported by the shared ethnic-genetic elements, and cultural and linguistic traits, of the Germans, Anglo-Saxons, and Viking Scandinavians. In particular, all these peoples also had traditions of Germanic paganism and practiced runelore. This common Germanic identity became - and still is - the foundation for much National Socialist iconography. For example, the runic emblem of the SS utilized the sig rune of the Elder Futhark and the youth organization Wiking-Jugend made extensive use of the odal rune. This trend still holds true today (see also fascist symbolism).

## Reenactments



Modern reenactment of viking battle





Since the 1960s, there has been rising enthusiasm for historical reenactment. While the earliest groups had little claim for historical accuracy, the seriousness and accuracy of re-enactors has increased.

On 1 July 2007, the reconstructed Viking ship Skuldelev 2, renamed Sea Stallion, began a journey from Roskilde, Denmark to Dublin, Ireland. The remains of that ship and four others were discovered during a 1962 excavation in the Roskilde Fjord. This multi-national experimental archeology project saw 70 crew members sail the ship back to its home in Ireland. Tests of the original wood show that it was made out of Irish trees. The Sea Stallion arrived outside Dublin's Custom House on 14 August 2007.

The purpose of the voyage was to test and document the seaworthiness, speed and manoeuvrability of the ship on the rough open sea and in coastal waters with treacherous currents. The crew tested how the long, narrow, flexible hull withstood the tough ocean waves. The expedition also provided valuable new information on Viking longships and society. The ship was built using Viking tools, materials and much the same methods as the original ship.

## Neopaganism

Germanic neopagan groups place emphasis on reconstructing the culture and pre-Christian beliefs of the Germanic peoples, including the Viking era of Norse culture.

## In fiction

Spearheaded by the operas of German composer Richard Wagner such as *Der Ring des Nibelungen*, Vikings and the Romanticist Viking Revival have inspired many works of fiction, from historical novels directly based on historical events like Frans Gunnar Bengtsson's *The Long Ships* (which was also filmed) to extremely loosely based historical fantasies such as the film *The Vikings*, Michael Crichton's *Eaters of the Dead* (movie version called *The 13th Warrior*) and the comedy film *Erik the Viking*.

Modern influence is also exhibited in the genre of Viking metal. A popular sub-genre of heavy metal music, originating in the early 1990s as an off-shoot of the black metal sub-genre. This style is notable for its lyrical and theatrical emphasis on Norse mythology as well as Viking lifestyles and beliefs. Popular bands that contribute to this genre include Turisas, Amon Amarth, Einherjer, Valhalla, Týr, Ensiferum, Falkenbach, and Enslaved.

## Common misconceptions

### Horned helmets

Apart from two or three representations of (ritual) helmets – with protrusions that may be either stylized ravens, snakes or horns – no depiction of Viking Age warriors' helmets, and no actually preserved helmet, has horns. In fact, the formal close-quarters style of Viking combat (either in shield walls or aboard "ship islands") would have made horned helmets cumbersome and hazardous to the warrior's own side.



Therefore it can be ruled out that Viking warriors had horned helmets, but whether or not they were used in Scandinavian culture for other, ritual purposes remains unproven. The general misconception that Viking warriors wore horned helmets was partly promulgated by the 19th century enthusiasts of *Götiska Förbundet*, founded in 1811 in Stockholm, Sweden, with the aim of promoting the suitability of Norse mythology as subjects of high art and other ethnological and moral aims.

The Vikings were also often depicted with winged helmets and in other clothing taken from Classical antiquity, especially in depictions of Norse gods. This was done in order to legitimize the Vikings and their mythology, by associating it with the Classical world which has always been idealized in European culture.

The latter-day *mythos* created by national romantic ideas blended the Viking Age with glimpses of the Nordic Bronze Age some 2,000 years earlier, for which actual horned helmets, probably for ceremonial purposes, are attested both in petroglyphs and by actual finds (see Bohuslän and Vikso helmets).

The cliché was perpetuated by cartoons like *Hägar the Horrible* and *Vicky the Viking*, and sports uniforms such as those of the Minnesota Vikings and Canberra Raiders football teams.

The regular Viking helmets were conical, made from hard leather with wood and metallic reinforcement for the regular troops and the iron helmet with mask and chain mail for the chieftains, based on the previous Vendel age helmets from central Sweden. The only true Viking helmet found, is that from Gjermundbu in Norway. This helmet is made of iron and has been dated to the 10th century.

## Savage marauders

Despite images of Viking marauders who live for plunder and warfare, the heart of Viking society was reciprocity, on both a personal, social level and on a broader political level. The Vikings lived in a time when numerous societies were engaged in many violent acts, and the doings of the Vikings put into context are not as savage as they seem. Others of the time period were much more savage than the Vikings, such as the Frankish king, Charlemagne, who cut off the heads of 4,500 Saxons for practicing paganism ( Bloody Verdict of Verden) in one day. Most Vikings were traders, although some did plunder, often monasteries around Ireland, Scotland, Wales and England, as they had a lot of valuables in gold and silver. As monasteries were centers of learning and writing, their experiences were much more likely to enter the historical record. However, considerable literature in the monasteries would have been destroyed during the plunderings.

One of the Vikings' largest profit-centers was the slave trade; any group that acts as slave-takers is likely to be viewed with disdain by their victims. During the period of the Vikings, slavery was common throughout Northern Europe, and the fact that many slaves were captured persons was irrelevant in law. A person from Poland could be captured and later sold in England, for example. Slavery was common amongst the Scandinavians themselves, as well.

In the 300-year period where Vikings were most active, there were approximately 347 recorded attacks that spread from the British Isles to Morocco, Portugal, and Turkey. In Ireland, where the Vikings are most famous for attacking monasteries, there were 430 known attacks during this 300-year period.

## Skull cups



The use of human skulls as drinking vessels is also ahistorical. The rise of this myth can be traced back to an Ole Worm's *Runer seu Danica literatura antiquissima* of 1636), warriors drinking *ór bjúgvíðum hausa* [from the curved branches of skulls, i.e. from horns] were rendered as drinking *ex craniis eorum quos ceciderunt* [from the skulls of those whom they had slain]. The skull-cup allegation may also have some history in relation with other Germanic tribes and Eurasian nomads, such as the Scythians and Pechenegs.

## Uncleanliness

The image of wild-haired, dirty savages sometimes associated with the Vikings in popular culture is a distorted picture of reality. Non-Scandinavian Christians are responsible for most surviving accounts of the Vikings and, consequently, a strong possibility for bias exists. This attitude is likely attributed to Christian misunderstandings regarding paganism. Viking tendencies were often misreported and the work of Adam of Bremen, among others, told largely disputable tales of Viking savagery and uncleanliness.

However, it is now known that the Vikings used a variety of tools for personal grooming such as combs, tweezers, razors or specialized " ear spoons". In particular, combs are among the most frequent artifacts from Viking Age excavations. The Vikings also made soap, which they used to bleach their hair as well as for cleaning, as blonde hair was ideal in the Viking culture.

The Vikings in England even had a particular reputation for excessive cleanliness, due to their custom of bathing once a week, on Saturdays (unlike the local Anglo-Saxons). To this day, Saturday is referred to as *laugardagur* / *laurdag* / *lørdag* / *lördag*, "washing day" in the Scandinavian languages, though the original meaning is lost in modern speech in most of the Scandinavian languages ("laug" still means "bath" or "pool" in Icelandic).

As for the Rus', who had later acquired a subjected Varangian component, Ibn Rustah explicitly notes their cleanliness, while Ibn Fadlan is disgusted by all of the men sharing the same, used vessel to wash their faces and blow their noses in the morning. Ibn Fadlan's disgust is probably motivated by his ideas of personal hygiene particular to the Muslim world, such as running water and clean vessels. While the example intended to convey his disgust about the customs of the Rus', at the same time it recorded that they did wash every morning.

## Vikings of renown

- Askold and Dir, legendary Varangian conquerors of Kiev.
- Björn Ironside, son of Ragnar Lodbrok, pillaged in Italy.
- Brodir, a Danish Viking who killed the High King of Ireland, Brian Boru.
- Canute the Great, king of England and Denmark, Norway, and of some of Sweden, was possibly the greatest Viking king. A son of Sweyn Forkbeard, and grandson of Harold Bluetooth, he was a member of the dynasty that was key to the unification and Christianisation of Denmark. Some modern historians have dubbed him the *'Emperor of the North'* because of his position as one of the magnates of medieval Europe and as a reflection of the Holy Roman Empire to the south.
- Egill Skallagrímsson, Icelandic warrior and skald. (See also Egils saga).
- Eric the Victorious, a king of Sweden whose dynasty is the first known to have ruled as kings of the nation. It is possible he was king of Denmark for a



time.

- Erik the Red, colonizer of Greenland.
- Freydis Eiríksdóttir, a Viking woman who sailed to Vinland.
- Gardar Svavarsson, originally from Sweden, the discoverer of Iceland. There is another contender for the discoverer of Iceland: Naddoddr, a Norwegian/Faeroese Viking explorer.
- Godfrid, Duke of Frisia, a pillager of the Low Countries and the Rhine area and briefly a lord of Frisia.
- Godfrid Haraldsson, son of Harald Klak and pillager of the Low Countries and northern France.
- Grímur Kamban, a Norwegian or Norwegian/Irish Viking who around 825 was, according to the Færeyinga Saga, the first Nordic settler in the Faeroes.
- Guthrum, colonizer of Danelaw.
- Harald Klak (Harald Halfdansson), a 9th c. king in Jutland who made peace with Louis the Pious and was possibly the first Viking to be granted Frankish land in exchange for protection.
- Harald Bluetooth (Harald Gormson), who according to the Jelling Stones that he had erected, "won the whole of Denmark and Norway and turned the Danes to Christianity". Father of Sweyn Forkbeard; grandfather of Canute the Great.
- Harald Hardrada, a Norwegian king who died, along with his men, at Stamford Bridge in an unsuccessful attempt to conquer England in 1066. Only a fraction of the invasion force is thought to have made their escape.
- Hastein, a chieftain who raided in the Mediterranean.
- Ingólfur Arnarson, colonizer of Iceland.
- Ingvar the Far-Traveller, the leader of the last great Swedish Viking expedition to pillage the shores of the Caspian Sea.
- Ivar the Boneless, the disabled Viking who conquered York, despite having to be carried on a shield. Son of Ragnar Lodbrok.
- Leif Ericsson, discoverer of Vinland, son of Erik the Red.
- Naddoddr, a Norwegian/Faeroese Viking explorer.
- Olaf Trygvason, king of Norway from 995 to 1000. He forced thousands to convert to Christianity. He once burned London Bridge down out of anger because people were disobeying his orders (and this is conjectured to be origin of the children's rhyme "London Bridge is Falling Down").
- St Olaf (Olav Haraldsson), patron saint of Norway, and king of Norway from 1015 to approx. 1030.
- Oleg of Kiev, led an offensive against Constantinople.
- Ragnar Lodbrok, captured Paris.
- Rollo of Normandy, founder of Normandy.
- Rorik of Dorestad, a Viking lord of Frisia and nephew of Harald Klak.
- Rurik, founder of the Rus' rule in Eastern Europe.
- Sigmundur Brestisson, Faeroese, a Viking chieftain who, according to the Færeyinga Saga, introduced Christianity and Norwegian supremacy to the Faeroes in 999.
- Sweyn Forkbeard, king of Denmark, Norway, and England, as well as founder of Swansea ("Sweyn's island"). In 1013, the Danes under Sweyn led a Viking offensive against the Anglo-Saxon kingdom of England. The English king was forced into exile, and in late 1013 Sweyn became King of England, though he died early in 1014, and the former king was brought out of exile to challenge his son.
- Thorgils (Thorgest), founder of Dublin.
- Tróndur í Gøtu, a Faeroese Viking chieftain who, according to the Færeyinga Saga, was opposed to the introduction of Christianity to, and the Norwegian supremacy of, the Faeroes.



- William the Conqueror, ruler of Normandy and the victor at the Battle of Hastings in 1066. His kingship of England saw the end of the Anglo-Saxon era and the encroachment of continental magnates and the ideals of Christendom. His great great uncle was Canute the Great.

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