

PART TWO

The Classical Era in World History

500 B.C.E.—500 C.E.



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THE BIG PICTURE

After the First Civilizations: What Changed and What Didn't?

Studying world history has much in common with using the zoom lens of a camera. Sometimes, we pull the lens back in order to get a picture of the broadest possible panorama. At other times, we zoom in a bit for a middle-range shot, or even farther for a close-up of some particular feature of the historical landscape. Students of world history soon become comfortable with moving back and forth among these several perspectives.

As we bid farewell to the First Civilizations, we will take the opportunity to pull back the lens and look broadly, and briefly, at the entire age of agricultural civilizations, a period from about 3500 B.C.E., when the earliest of the First Civilizations arose, to about 1750 C.E., when the first Industrial Revolution launched a new and distinctively modern phase of world history. During these more than 5,000 years, the most prominent large-scale trend was the globalization of civilization as this new form of human community increasingly spread across the planet, encompassing more people and larger territories.

The first wave of that process, addressed in Chapter 3, was already global in scope, with expressions in Asia, Africa, and the Americas. Those First Civilizations generated the most impressive and powerful human societies created thus far, but they proved fragile and vulnerable as well. The always-quarreling city-states of ancient Mesopotamia had long ago been absorbed into the larger empires of Babylon and Assyria. During the first millennium B.C.E., Egypt too fell victim to a series of foreign invaders, including the forces of Nubia, Assyria, Alexander the Great, and the Roman Empire. The Indus Valley civilization likewise declined sharply, as deforestation, topsoil erosion, and decreased rainfall led to desertification and political collapse by 1500 B.C.E. Norte Chico civilization seems to have faded away by 1800 B.C.E. The end of Olmec civilization around 400 B.C.E. has long puzzled historians, for it seems that the Olmecs themselves razed and then abandoned their major cities even as their civilizational style spread to neighboring peoples. About the same time, China's unified political system fragmented into a series of warring states.

Even if particular First Civilizations broke down, there was no going back. Civilization as a form of human community proved durable and resilient as well as periodically fragile. Thus, in the thousand years between 500 B.C.E. and 500 C.E., new or enlarged urban-centered and state-based societies emerged to replace the First Civilizations in the Mediterranean basin, the Middle East, India, China, Mesoamerica, and the Andes. Furthermore, smaller expressions of civilization began

to take shape elsewhere—in Ethiopia and West Africa, in Japan and Indonesia, in Vietnam and Cambodia. In short, the development of civilization was becoming a global process.

Many of these “second wave” civilizations likewise perished, as the collapses of the Roman Empire, Han dynasty China, and the Mayan cities remind us. They were followed by yet a “third wave” of civilizations (roughly 500 to 1500 C.E.; see Part Three). Some of them represented the persistence or renewal of older patterns, as in the case of China, for example, while elsewhere—such as in Western Europe, Russia, Japan, and West Africa—new civilizations emerged, all of which borrowed heavily from their more-established neighbors. The largest of these, Islamic civilization, incorporated a number of older centers of civilization, Egypt and Mesopotamia for example, under the umbrella of a new religion. The globalization of civilization continued apace.

The size and prominence of these civilizations sometimes lead historians and history textbooks to ignore those cultures that did not embrace the city- and state-centered characteristic of civilizations. World history, as a field of study, has often been slanted in the direction of civilizations at the expense of other forms of human community. To counteract that tendency, the following chapters will, on occasion, point out the continuing historical development of gathering and hunting peoples, agricultural societies organized around kinship principles and village life, emerging chiefdoms, and pastoral peoples.

Continuities in Civilization

The renewal and expansion of civilization, however, remains the leading story. As this account of the human journey moves into the second and third waves of civilization, the question arises as to how they differed from the first ones. From a panoramic perspective, the answer is “not much.” States and empires rose, expanded, and collapsed with a tiresome regularity, requiring history students to remember who was up and who was down at various times. It is arguable, however, that little fundamental change occurred amid these constant fluctuations. Monarchs continued to rule most of the new civilizations; men continued to dominate women; a sharp divide between the elite and everyone else persisted almost everywhere, as did the practice of slavery.¹

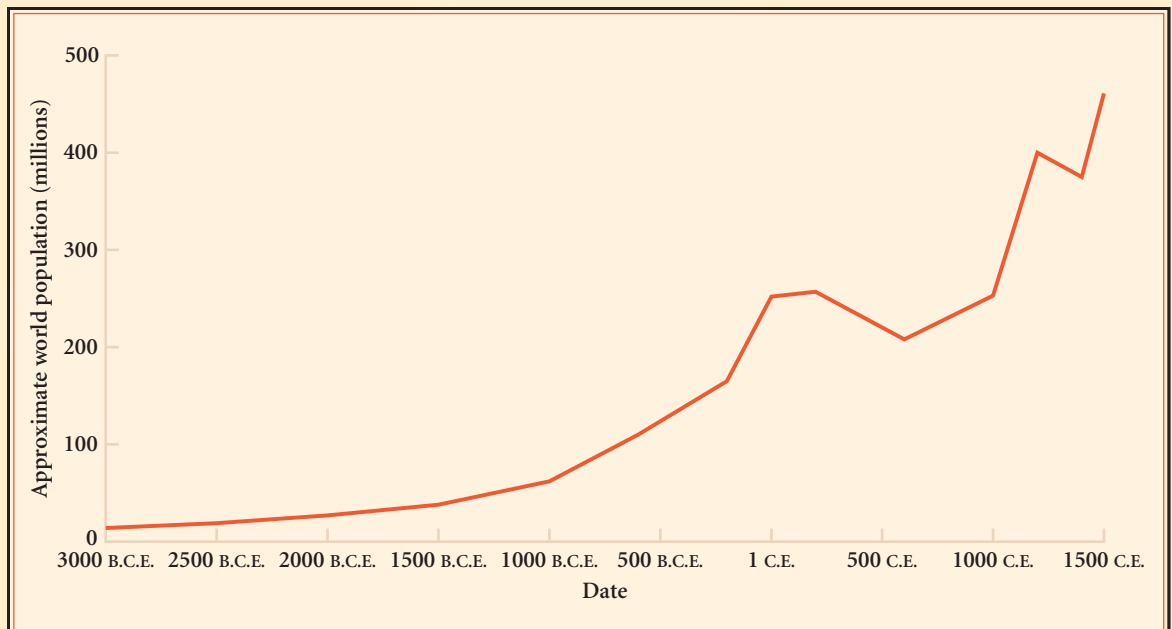
Furthermore, no technological or economic breakthrough occurred to create new kinds of human societies as the Agricultural Revolution had done earlier or as the Industrial Revolution would do in later centuries. Landowning elites had little incentive to innovate, for they benefited enormously from simply expropriating the surplus that peasant farmers produced. Nor would peasants have any reason to invest much effort in creating new forms of production when they knew full well that any gains they might generate would be seized by their social superiors. Merchants, who often were risk takers, might have spawned innovations, but they usually were dominated by powerful states and were viewed with suspicion and condescension by more prestigious social groups.

Many fluctuations, repetitive cycles, and minor changes characterize this long era of agricultural civilization, but no fundamental or revolutionary transformation of social or economic life took place. The major turning points in human history had occurred earlier with the emergence of agriculture and the birth of the First Civilizations and would occur later with the breakthrough of industrialization.

Changes in Civilization

While this panoramic perspective allows us to see the broadest outlines of the human journey, it also obscures much of great importance that took place during the second and third waves of the age of agrarian civilization. If we zoom in a bit more closely, significant changes emerge, even if they did not result in a thorough transformation of human life. Population, for example, grew more rapidly than ever before during this period, as the Snapshot illustrates. Even though the overall trend was up, important fluctuations interrupted the pattern, especially during the first millennium C.E., when no overall growth took place. Moreover, the rate of growth, though rapid in comparison with Paleolithic times, was quite slow if we measure it against the explosive expansion of recent centuries, when human numbers quadrupled in the twentieth century alone. This modest and interrupted pattern of population growth during the age of agrarian civilization reflected the absence of any fundamental economic breakthrough, which could have supported much larger numbers.

Snapshot **World Population during the Age of Agricultural Civilization²**





The Roman Empire (p. 156)

Another change lies in the growing size of the states or empires that structured civilizations. The Roman, Persian, Indian, and Chinese empires of second-wave civilizations, as well as the Arab, Mongol, and Inca empires of the third wave, all dwarfed the city-states of Mesopotamia and the Egypt of the pharaohs. Each of these empires brought together in a single political system a vast diversity of peoples. Even so, just to keep things in perspective, as late as the seventeenth century C.E., only one-third of the world's landmass was under the control of any state-based system, although these societies now encompassed a considerable majority of the world's people.

The rise and fall of these empires likewise represented very consequential changes to the people who experienced them. In the course of its growth, the Roman Empire utterly destroyed the city of Carthage in North Africa, with the conquerors allegedly sowing the ground with salt so that nothing would ever grow there again. Similar bloodshed and destruction accompanied the creation of other much-celebrated states. Their collapse also had a dramatic impact on the lives of their people. Scholars have estimated that the large population of Mayan civilization shrank by some 85 percent in less than a century as that society dissolved around 840 C.E. It is difficult to imagine the sense of trauma and bewilderment associated with a collapse of this magnitude.

Second- and third-wave civilizations also generated important innovations in many spheres. Those in the cultural realm have been perhaps the most widespread and enduring. Distinctive “wisdom traditions”—the great philosophical/religious systems of Confucianism and Daoism in China; Hinduism and Buddhism in India; Greek rationalism in the Mediterranean; and Judaism, Zoroastrianism, Christianity, and Islam in the Middle East—have provided the moral and spiritual framework within which most of the world’s peoples have sought to order their lives and define their relationship to the mysteries of life and death. All of these philosophical and religious systems are the product of second- and third-wave civilizations.

Although no technological breakthrough equivalent to the Agricultural or Industrial Revolution took place during the second and third waves of agrarian civilizations, more modest innovations considerably enhanced human potential for manipulating the environment. China was a primary source of such technological change, though by no means the only one. “Chinese inventions and discoveries,” wrote one prominent historian, “passed in a continuous flood from East to West for twenty centuries before the scientific revolution.”³ They included piston bellows, the draw-loom, silk-handling machinery, the wheelbarrow, a better harness for draft animals, the crossbow, iron casting, the iron-chain suspension bridge, gunpowder, firearms, the magnetic compass, paper, printing, and porcelain. India pioneered the crystallization of sugar and techniques for the manufacture of cotton textiles. Roman technological achievements were particularly apparent in construction and civil engineering—the building of roads, bridges, aqueducts, and fortifications—and in the art of glassblowing.

A further process of change following the end of the First Civilizations lay in the emergence of far more elaborate, widespread, and dense networks of communication and exchange that connected many of the world’s peoples to one another. Many of the technologies mentioned here diffused widely across large areas. Sugar production provides a telling example. The syrup from sugarcane, which was initially domesticated in New Guinea early in the age of agriculture, was first processed into crystallized sugar in India by 500 C.E. During the early centuries of the Islamic era, Arab traders brought this technology from India to the Middle East and the Mediterranean, where Europeans learned about it during the Crusades. Europeans then transferred the practice of making sugar to the Atlantic islands and finally to the Americas, where it played a major role in stimulating a plantation economy and the Atlantic slave trade.⁴

Long-distance trade routes represented another form of transregional interaction. Caravan trade across northern Eurasia, seaborne commerce within the Indian Ocean basin, the exchange of goods across the Sahara, river-based commerce in the eastern woodlands of North America, various trading networks radiating from Mesoamerica—all of these carried goods, and sometimes culture as well. Buddhism, Hinduism, Christianity, and especially Islam spread widely beyond their places of origin, often carried on the camels and ships of merchants, creating ties of culture and religion among distant peoples within the Afro-Eurasian zone. Disease

also increasingly linked distant human communities. According to the famous Greek historian Thucydides, a mysterious plague “from parts of Ethiopia above Egypt” descended on Athens in 430 B.C.E. and decimated the city, “inflicting a blow on Athenian society from which it never entirely recovered.”⁵

Thus the second and third waves of civilization gave rise to much larger empires, new and distinctive cultural/religious traditions, any number of technological innovations, and novel patterns of interaction among far-flung societies. In these ways, the world became quite different from what it had been in the age of the First Civilizations, even though fundamental economic and social patterns had not substantially changed.

Classical Civilizations

At this point, and in the four chapters that follow, our historical lens zooms in to a middle-range focus on the major second-wave civilizations during the thousand years between 500 B.C.E. and 500 C.E. Historians frequently refer to this period of time as the “classical era” of world history, a term that highlights enduring traditions that have lasted into modern times and persist still in the twenty-first century. Confucianism, Hinduism, Buddhism, Judaism, and Christianity all took shape during this era of second-wave civilizations, and all of them remain very much alive at the dawn of the third millennium C.E. Despite the many and profound transformations of modernity, billions of people in the contemporary world still guide their lives, or at least claim to, according to teachings that first appeared 2,000 or more years ago.

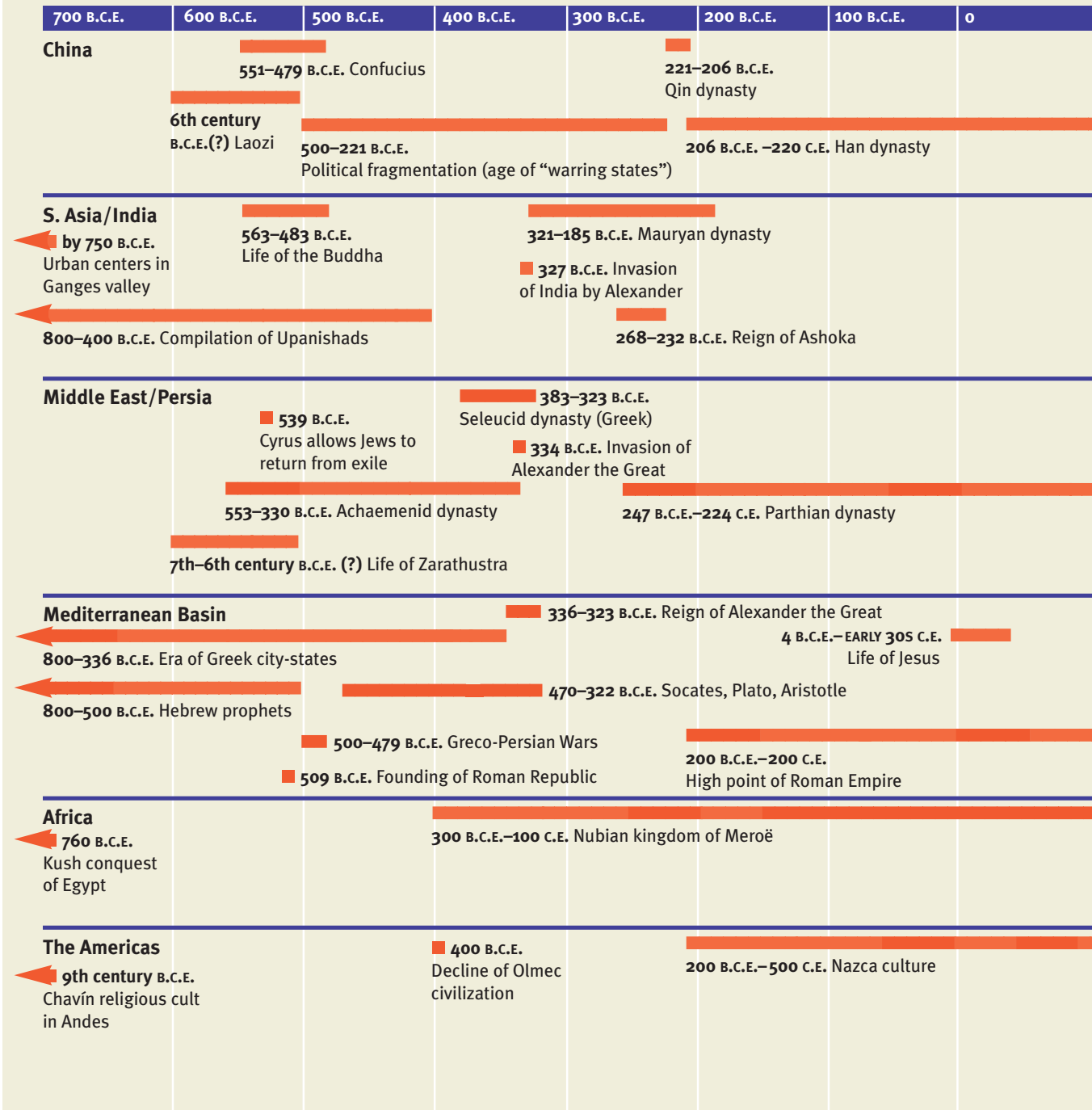
Beyond the practices of individuals, the current identities of entire countries, regions, and civilizations are still linked to the achievements of the classical era. In 1971, a largely Muslim Iran mounted a lavish and much-criticized celebration of the 2,500th anniversary of the ancient Persian Empire. In 2004, a still communist China permitted public celebrations to mark the 2,555th birthday of its ancient sage Confucius. Students in Western schools and universities continue to read the works of Plato and Aristotle, produce the plays of Aeschylus and Sophocles, and admire the accomplishments of Athens. Many Indians still embrace the ancient religious texts called the Vedas and the Upanishads and continue to deal with the realities of caste. These are the continuities and enduring legacies that are reflected in the notion of “classical civilizations.”

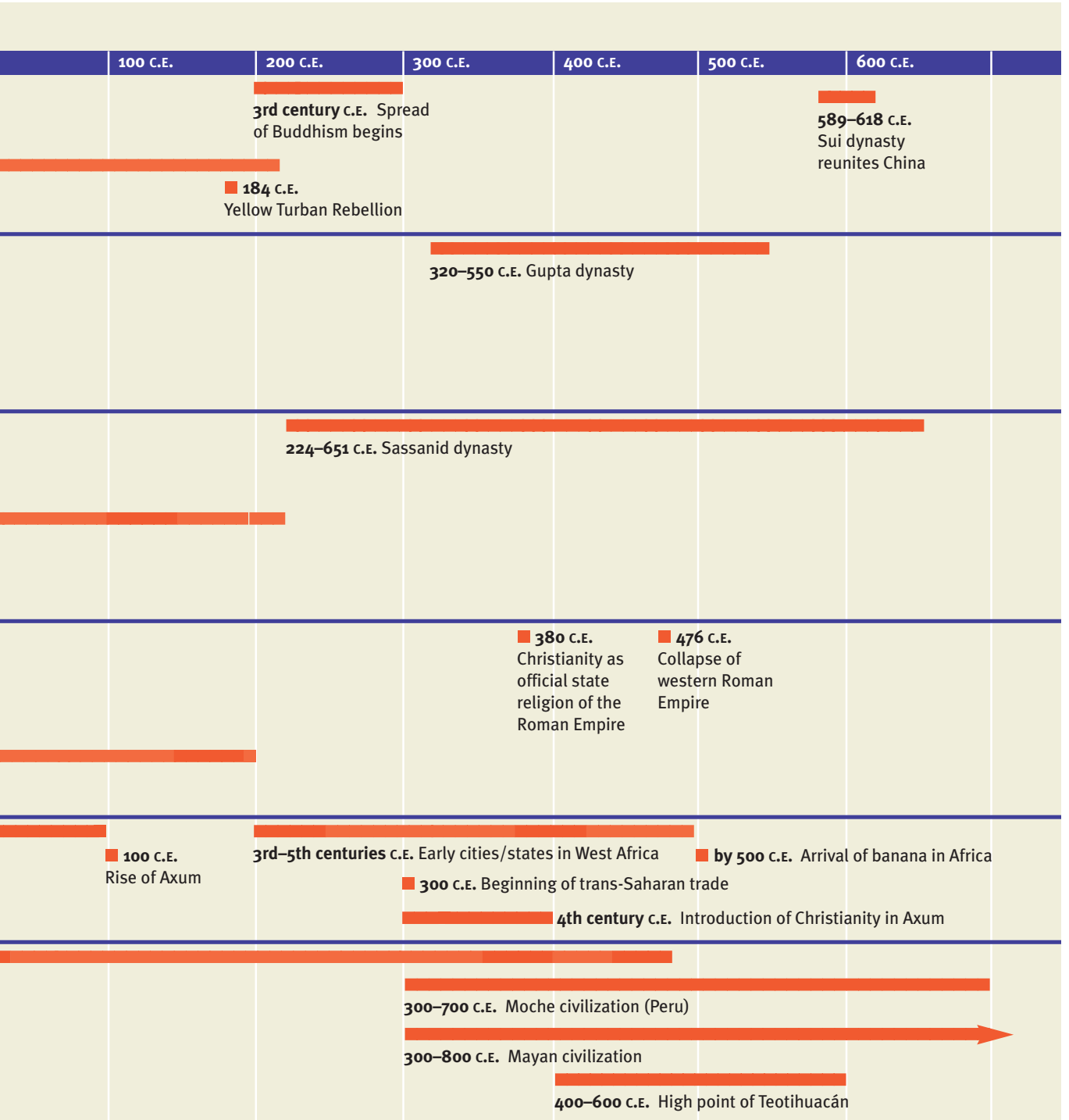
Designating the millennium between 500 B.C.E. and 500 C.E. as a “classical era” in world history is derived largely from the experience of Eurasian peoples, for it was on the outer rim of that huge continent that the largest and most influential civilizations took shape—in China, India, Persia, and the Mediterranean basin. Furthermore, that continent housed the vast majority of the world’s people, some 80 percent or more.⁶ Thus the first three chapters of Part Two focus exclusively on these Eurasian civilizations. Chapter 4 introduces them by examining and comparing their political frameworks and especially the empires (great or terrible, depending on your point of view) in which most of them were expressed. Chapter 5 looks

at the cultural or religious traditions that each of them generated, while Chapter 6 probes their social organization—class, caste, slavery, and gender. Chapter 7 turns the spotlight on Africa and the Americas, asking whether their histories during the classical era paralleled Eurasian patterns or explored alternative possibilities.

In recalling the classical era, we will have occasion to compare the experiences of its various peoples, to note their remarkable achievements, to lament the tragedies that befell them and the suffering to which they gave rise, and to ponder their continuing power to fascinate us still.

Landmarks of the Classical Era, 500 B.C.E.–500 C.E.







Eurasian Empires

500 B.C.E.—500 C.E.



Empires and Civilizations in Collision: The Persians and the Greeks

The Persian Empire
The Greeks
Collision: The Greco-Persian Wars
Collision: Alexander and the Hellenistic Era

Comparing Empires: Roman and Chinese

Rome: From City-State to Empire
China: From Warring States to Empire
Consolidating the Roman and Chinese Empires
The Collapse of Empires

Intermittent Empire: The Case of India

Reflections: Classical Empires and the Twentieth Century

Considering the Evidence

Documents: Political Authority in Classical Civilizations
Visual Sources: Qin Shihuangdi and China's Eternal Empire

Are We Rome? It was the title of a thoughtful book, published in 2007, asking what had become a familiar question in the early twenty-first century: “Is the United States the new Roman Empire?”¹ With the collapse of the Soviet Union by 1991 and the subsequent U.S. invasions of Afghanistan and Iraq, some commentators began to make the comparison. The United States’ enormous multicultural society, its technological achievements, its economically draining and over-stretched armed forces, its sense of itself as unique and endowed with a global mission, its concern about foreigners penetrating its borders, its apparent determination to maintain military superiority—all of this invited comparison with the Roman Empire. Supporters of a dominant role for the United States argue that Americans must face up to their responsibilities as “the undisputed master of the world” as the Romans did in their time. Critics warn that the Roman Empire became overextended abroad and corrupt and dictatorial at home and then collapsed, suggesting that a similar fate may await the American empire. Either way, the point of reference was an empire that had passed into history some 1,500 years earlier, a continuing reminder of the relevance of the distant past to our contemporary world. In fact, for at least several centuries, that empire has been a source of metaphors and “lessons” about personal morality, corruption, political life, military expansion, and much more.

Even in a world largely critical of empires, they still excite the imagination of historians and readers of history. The earliest ones

Statue of Augustus: Likely dating from about 20 B.C.E., this statue has become symbolic of the emerging Roman Empire. Commemorating a major Roman military victory, it shows Augustus as imperator, or military commander, with his right arm extended as if he were addressing his troops. According to some scholars, his barefoot posture suggests divinity. So does the small figure of Cupid riding a dolphin at the base, for Cupid was the son of the Roman goddess Venus and serves to link Augustus to this much beloved deity. (Scala/Art Resource, NY)

show up in the era of the First Civilizations when Akkadian, Babylonian, and Assyrian empires encompassed the city-states of Mesopotamia and established an enduring imperial tradition in the Middle East. Egypt became an imperial state when it temporarily ruled Nubia and the lands of the eastern Mediterranean. Following in their wake were many more empires, whose rise and fall have been central features of world history for the past 4,000 years.

BUT WHAT EXACTLY IS AN EMPIRE? At one level, empires are simply states, political systems that exercise coercive power. The term, however, is normally reserved for larger and more aggressive states, those that conquer, rule, and extract resources from other states and peoples. Thus empires have generally encompassed a considerable variety of peoples and cultures within a single political system, and they have often been associated with political and cultural oppression. No clear line divides empires and small multiethnic states, and the distinction between them is arbitrary and subjective. Frequently, empires have given political expression to a civilization or culture, as in the Chinese and Persian empires. Civilizations have also flourished without a single all-encompassing state or empire, as in the competing city-states of Mesopotamia, Greece, and the Maya or the many rival states of post-Roman Europe. In such cases, civilizations were expressed in elements of a common culture rather than in a unified political system.

The Eurasian empires of the classical era—those of Persia, Greece under Alexander the Great, Rome, China during the Qin and Han dynasties, India during the Mauryan and Gupta dynasties—shared a set of common problems. Would they seek to impose the culture of the imperial heartland on their varied subjects? Would they rule conquered people directly or through established local authorities? How could they extract the wealth of empire in the form of taxes, tribute, and labor while maintaining order in conquered territories? And, no matter how impressive they were at their peak, they all sooner or later collapsed, providing a useful reminder to their descendants of the fleeting nature of all human creation.

Why have these and other empires been of such lasting fascination to both ancient and modern people? Perhaps in part because they were so big, creating a looming presence in their respective regions. Their armies and their tax collectors were hard to avoid. Maybe also because they were so bloody. Conquest and the violence that accompanies it easily grab our attention, and certainly, all of these empires were founded and sustained at a great cost in human life. The collapse of these once-powerful states is likewise intriguing, for the fall of the mighty seems somehow satisfying, perhaps even a delayed form of justice. The study of empires also sets off by contrast those times and places in which civilizations have prospered without an enduring imperial state.

But empires have also commanded attention simply because they were important. Very large numbers of people—probably the majority of humankind before the twentieth century—have lived out their lives in empires, where they were often governed by rulers culturally different from themselves. These imperial states

brought together people of quite different traditions and religions and so stimulated the exchange of ideas, cultures, and values. The Roman Empire, for example, provided the arena within which Christianity was transformed from a small Jewish sect into a world religion. Despite their violence, exploitation, and oppression, empires also imposed substantial periods of peace and security, which fostered economic and artistic development, commercial exchange, and cultural mixing.

Empires and Civilizations in Collision: The Persians and the Greeks

The classical era in Eurasia witnessed the flowering of second-wave civilizations in the Mediterranean world, the Middle East, India, and China. For the most part, these distant civilizations did not directly encounter one another, as each established its own political system, cultural values, and ways of organizing society. A great exception to that rule lay in the Mediterranean world and in the Middle East, where the emerging Persian Empire and Greek civilization, physically adjacent to each other, experienced a centuries-long interaction and clash. It was one of the most consequential cultural encounters of the classical world.

The Persian Empire

In 500 B.C.E., the largest and most impressive of the world's empires was that of the Persians, an Indo-European people whose homeland lay on the Iranian plateau just north of the Persian Gulf. Living on the margins of the earlier Mesopotamian civilization, the Persians constructed an imperial system that drew upon previous examples, such as the Babylonian and Assyrian empires, but far surpassed them all in size and splendor. Under the leadership of the famous monarchs Cyrus (reigned 557–530 B.C.E.) and Darius (reigned 522–486 B.C.E.), Persian conquests quickly reached from Egypt to India, encompassing in a single state some 35 million people, an immensely diverse realm containing dozens of peoples, states, languages, and cultural traditions (see Map 4.1).

The Persian Empire centered on an elaborate cult of kingship in which the monarch, secluded in royal magnificence, could be approached only through an elaborate ritual. When the king died, sacred fires all across the land were extinguished, Persians were expected to shave their hair in mourning, and the manes of horses were cut short. Ruling by the will of the great Persian god Ahura Mazda, kings were absolute monarchs, more than willing to crush rebellious regions or officials. Interrupted on one occasion while he was with his wife, Darius ordered the offender, a high-ranking nobleman, killed, along with his entire clan. In the eyes of many, Persian monarchs fully deserved their effusive title—“Great king, King of kings, King of countries containing all kinds of men, King in this great earth far and wide.” Darius himself best expressed the authority of the Persian ruler when he observed: “what was said to them by me, night and day, it was done.”²

■ Comparison

How did Persian and Greek civilizations differ in their political organization and values?



Map 4.1 The Persian Empire

At its height, the Persian Empire was the largest in the world. It dominated the lands of the First Civilizations in the Middle East and was commercially connected to neighboring regions.

But more than conquest and royal decree held the empire together. An effective administrative system placed Persian governors, called *satraps*, in each of the empire's twenty-three provinces, while lower-level officials were drawn from local authorities. A system of imperial spies, known as the "eyes and ears of the King," represented a further imperial presence in the far reaches of the empire. A general policy of respect for the empire's many non-Persian cultural traditions also cemented the state's authority. Cyrus won the gratitude of the Jews when in 539 B.C.E. he allowed those exiled in Babylon to return to their homeland and rebuild their temple in Jerusalem. In Egypt and Babylon, Persian kings took care to uphold local religious cults in an effort to gain the support of their followers and officials. The Greek historian Herodotus commented that "there is no nation which so readily adopts foreign customs. They have taken the dress of the Medes and in war they wear the Egyptian breastplate. As soon as they hear of any luxury, they instantly make it their own."³ For the next 1,000 years or more, Persian imperial bureaucracy and court life, replete with administrators, tax collectors, record keepers, and translators, provided a model for all subsequent regimes in the region, including, later, those of the Islamic world.

The infrastructure of empire included a system of standardized coinage, predictable taxes levied on each province, and a newly dug canal linking the Nile with the Red Sea, which greatly expanded commerce and enriched Egypt. A “royal road,” some 1,700 miles in length, facilitated communication and commerce across this vast empire. Caravans of merchants could traverse this highway in three months, but agents of the imperial courier service, using a fresh supply of horses every twenty-five to thirty miles, could carry a message from one end of the road to another in a week or two. Herodotus

was impressed. “Neither snow, nor rain, nor heat, nor darkness of night,” he wrote, “prevents them from accomplishing the task proposed to them with utmost speed.” That description of the imperial Persian postal system was much later adopted as the unofficial motto for its counterpart in the United States Postal Service.

The immense wealth and power of the Persian Empire were reflected in the construction of elaborate imperial centers, particularly Susa and Persepolis. Palaces, audience halls, quarters for the harem, monuments, and carvings made these cities into powerful symbols of imperial authority. Materials and workers alike were drawn from all corners of the empire and beyond. Inscribed in the foundation of Persepolis was Darius’s commentary on what he had set in motion: “And Ahura Mazda was of such a mind, together with all the other gods, that this fortress [should] be built. And [so] I built it. And I built it secure and beautiful and adequate, just as I was intending to.”⁴

The Greeks

It would be hard to imagine a sharper contrast than that between the huge and centralized Persian Empire, governed by an absolute and almost unapproachable monarch, and the small competing city-states of classical Greece, which allowed varying degrees of popular participation in political life. Like the Persians, the Greeks were an Indo-European people whose early history drew on the legacy of the First Civilizations. The classical Greece of historical fame emerged around 750 B.C.E. as a new civilization and flourished for about 400 years before it was incorporated into a succession of foreign empires. During that relatively short period, the civilization of Athens and Sparta, of Plato and Aristotle, of Zeus and Apollo took shape and collided with its giant neighbor to the east.

Calling themselves Hellenes, the Greeks created a civilization that was distinctive in many ways, particularly in comparison with the Persians. The total population of



Persepolis

The largest palace in Persepolis, the Persian Empire’s ancient capital, was the Audience Hall. The emperor officially greeted visiting dignitaries at this palace, which was constructed around 500 B.C.E. This relief, which shows a lion attacking a bull and Persian guards at attention, adorns a staircase leading to the Audience Hall. (Gianni Dagli Orti/Corbis)

Change

Why did semidemocratic governments emerge in some of the Greek city-states?

Greece and the Aegean basin was just 2 million to 3 million, a fraction of that of the Persian Empire. Furthermore, Greek civilization took shape on a small peninsula, deeply divided by steep mountains and valleys. Its geography certainly contributed to the political shape of that civilization, which found expression not in a Persian-style empire, but in hundreds of city-states or small settlements (see Map 4.2). Most were quite modest in size, with between 500 and 5,000 male citizens. Each of these city-states was fiercely independent and in frequent conflict with its neighbors, yet they had much in common, speaking the same language and worshipping the same gods. Every four years they temporarily suspended their persisting rivalries to participate together in the Olympic Games, which had begun in 776 B.C.E. Despite this emerging sense of Greek cultural identity, it did

Map 4.2 Classical Greece

The classical civilization of Greece was centered on a small peninsula of south-eastern Europe, but Greek settlers spread that civilization along the coasts of the Mediterranean and Black seas.



little to overcome the endemic political rivalries of the larger city-states—Athens, Sparta, Thebes, Corinth, and many others.

Like the Persians, the Greeks were an expansive people, but their expansion took the form of settlement in distant places rather than conquest and empire. Pushed by a growing population, Greek traders in search of iron and impoverished Greek farmers in search of land stimulated a remarkable emigration. Between 750 and 500 B.C.E., Greek settlements were established all around the Mediterranean basin and the rim of the Black Sea. Settlers brought Greek culture, language, and building styles to these new lands, even as they fought, traded, and intermarried with their non-Greek neighbors.

The most distinctive feature of Greek civilization, and the greatest contrast with Persia, lay in the extent of popular participation in political life that occurred within at least some of the city-states. It was the idea of “citizenship,” of free people running the affairs of state, of equality for all citizens before the law, that was so unique. A foreign king, observing the operation of the public assembly in Athens, was amazed that male citizens as a whole actually voted on matters of policy: “I find it astonishing,” he noted, “that here wise men speak on public affairs, while fools decide them.”⁵ Compared to the rigid hierarchies, inequalities, and absolute monarchies of Persia and other ancient civilizations, the Athenian experiment was remarkable. This is how one modern scholar defined it:

Among the Greeks the question of who should reign arose in a new way. Previously the most that had been asked was whether one man or another should govern and whether one alone or several together. But now the question was whether all the citizens, including the poor, might govern and whether it would be possible for them to govern as citizens, without specializing in politics. In other words, should the governed themselves actively participate in politics on a regular basis?⁶

The extent of participation and the role of “citizens” varied considerably, both over time and from city to city. Early in Greek history, only the wealthy and well-born had the rights of full citizenship, such as speaking and voting in the assembly, holding public office, and fighting in the army. Gradually, middle- and lower-class men, mostly small-scale farmers, also obtained these rights. At least in part, this broadening of political rights was associated with the growing number of men able to afford the armor and weapons that would allow them to serve as *hoplites*, or infantrymen, in the armies of the city-states. In many places, strong but benevolent rulers known as *tyrants* emerged for a time, usually with the support of the poorer classes, to challenge the prerogatives of the wealthy. Sparta—famous for its extreme forms of military discipline and its large population of *helots*, conquered people who lived in slavlike conditions—vested most political authority in its Council of Elders. The council was composed of twenty-eight men over the age of sixty, derived from the wealthier and more influential segment of society, who served for life and provided political leadership for Sparta.

Snapshot Key Moments in Classical Greek History

Traditional date for first Olympic Games	776 B.C.E.
Emergence of Greek city-states and overseas colonization	750–700 B.C.E.
Evolution of hoplite military tactics	700–650 B.C.E.
Tyrants rule in many city-states	670–500 B.C.E.
Sparta dominant in Peloponnesus	550 B.C.E.
Cleisthenes' political reforms in Athens	507 B.C.E.
Greco-Persian Wars	490–479 B.C.E.
Golden Age of Athens (building of Parthenon; Athenian democracy, rule of Pericles)	479–429 B.C.E.
Helot rebellion in Sparta	463 B.C.E.
Peloponnesian War	431–404 B.C.E.
Macedonian conquest of Greece	338 B.C.E.
Conquests of Alexander the Great	333–323 B.C.E.
Hellenistic era	323–30 B.C.E.
Greece comes under Roman control	2nd century B.C.E.

It was in Athens that the Greek experiment in political participation achieved its most distinctive expression. Early steps in this direction were the product of intense class conflict, leading almost to civil war. A reforming leader named Solon emerged in 594 B.C.E. to push Athenian politics in a more democratic direction, breaking the hold of a small group of aristocratic families. Debt slavery was abolished, access to public office was opened to a wider group of men, and all citizens were allowed to take part in the Assembly. Later reformers such as Cleisthenes and Pericles extended the rights of citizens even further. By 450 B.C.E., all holders of public office were chosen by lot and were paid, so that even the poorest could serve. The Assembly, where all citizens could participate, became the center of political life.

Athenian democracy, however, was different from modern democracy. It was direct, rather than representative, democracy, and it was distinctly limited. Women, slaves, and foreigners, together far more than half of the population, were wholly excluded from political participation. Nonetheless, political life in Athens was a world away from that of the Persian Empire and even from that of many other Greek cities.

■ Connection

What were the consequences for both sides of the encounter between the Persians and the Greeks?

Collision: The Greco-Persian Wars

If ever there was an unequal conflict between civilizations, surely it was the collision of the Greeks and the Persians. The confrontation between the small and divided

Greek cities and Persia, the world's largest empire, grew out of their respective patterns of expansion. A number of Greek settlements on the Anatolian seacoast, known to the Greeks as Ionia, came under Persian control as that empire extended its domination to the west. In 499 B.C.E., some of these Ionian Greek cities revolted against Persian domination and found support from Athens on the Greek mainland. Outraged by this assault from the remote and upstart Greeks, the Persians twice in ten years (490 and 480 B.C.E.) launched major military expeditions to punish the Greeks in general and Athens in particular. Against all odds and all expectations, the Greeks held them off, defeating the Persians on both land and sea.

Though no doubt embarrassing, this defeat on the far western fringes of its empire had little effect on the Persians, but it had a profound impact on the Greeks and especially on Athens, whose forces had led the way to victory. Beating the Persians in battle was a source of enormous pride for Greece. Years later, elderly Athenian men asked one another how old they had been when the Greeks triumphed in the momentous Battle of Marathon in 490 B.C.E. In their view, this victory was the product of Greek freedoms, because those freedoms had motivated men to fight with extraordinary courage for what they valued so highly. It led to a worldview in which Persia represented Asia and despotism, whereas Greece signified Europe and freedom. Thus was born the notion of an East/West divide, which has shaped European and American thinking about the world into the twenty-first century.

The Greeks' victory also radicalized Athenian democracy, for it had been men of the poorer classes who had rowed their ships to victory, and now they were in a position to insist on full citizenship. The fifty years or so after the Greco-Persian Wars were not only the high point of Athenian democracy but also the Golden Age of Greek culture. During this period, the Parthenon, that marvelous temple to the Greek goddess Athena, was built; Greek theater was born from the work of Aeschylus, Sophocles, and Euripides; and Socrates was beginning his career as a philosopher and an irritant in Athens. The great Athenian statesman Pericles celebrated the uniqueness of Athens in a famous speech, excerpted in Document 4.1 (pp. 170–72).

But Athens's Golden Age was also an era of incipient empire. In the Greco-Persian Wars, Athens had led a coalition of more than thirty Greek city-states on the basis of its naval power, but Athenian leadership in the struggle against Persian aggression had spawned an imperialism of its own. After the war, Athenian efforts to solidify Athens's dominant position among the allies led to intense resentment and finally to a bitter civil war (431–404 B.C.E.), with Sparta taking the lead in defending the traditional independence of Greek city-states. In this bloody conflict, known as the Peloponnesian War, Athens was defeated, while the Greeks exhausted themselves and magnified their distrust of one another. Thus the way was open to their eventual takeover by the growing forces of Macedonia, a frontier region on the northern fringes of the Greek world. The glory days of the Greek experiment were over, but the spread of Greek culture was just beginning.

Collision: Alexander and the Hellenistic Era

■ Connection

What changes did Alexander's conquests bring in their wake?

Map 4.3 Alexander's Empire and Successor States

Alexander's conquests, though enormous, did not long remain within a single empire, for his generals divided them into three successor states shortly after his death. This was the Hellenistic world within which Greek culture spread.

The Macedonian takeover of Greece, led by Philip II, finally accomplished by 338 B.C.E. what the Greeks themselves had been unable to achieve—the political unification of Greece, but at the cost of much of the prized independence of its various city-states. It also set in motion a second round in the collision of Greece and Persia as Philip's son, Alexander, prepared to lead a massive Greek expedition against the Persian Empire. Such a project appealed to those who sought vengeance for the earlier Persian assault on Greece, but it also served to unify the fractious Greeks in a war against their common enemy.

The story of this ten-year expedition (333–323 B.C.E.), accomplished while Alexander was still in his twenties, has become the stuff of legend (see Map 4.3). Surely it was among the greatest military feats of the classical world in that it created a Greek empire from Egypt and Anatolia in the west to Afghanistan and India in the east. In the process, the great Persian Empire was thoroughly defeated; its capital, Persepolis, was looted and burned; and Alexander was hailed as the “king of Asia.” In Egypt, Alexander, then just twenty-four years old, was celebrated as a liberator from Persian domination, was anointed as pharaoh, and was declared by Egyptian priests to be the “son of the gods.” Arrian, a later Greek historian, described Alexander in this way:



His passion was for glory only, and in that he was insatiable. . . . Noble indeed was his power of inspiring his men, of filling them with confidence, and in the moment of danger, of sweeping away their fear by the spectacle of his own fearlessness.⁷

Alexander died in 323 B.C.E., without returning to Greece, and his empire was soon divided into three kingdoms, ruled by leading Macedonian generals.

From the viewpoint of world history, the chief significance of Alexander's amazing conquests lay in the widespread dissemination of Greek culture during what historians call the Hellenistic era (323–30 B.C.E.). Elements of that culture, generated in a small and remote Mediterranean peninsula, now penetrated the lands of the First Civilizations—Egypt, Mesopotamia, and India—resulting in one of the great cultural encounters of the classical world.

The major avenue for the spread of Greek culture lay in the many cities that Alexander and later Hellenistic rulers established throughout the empire. Complete with Greek monuments and sculptures, Greek theaters and markets, Greek councils and assemblies, these cities attracted many thousands of Greek settlers serving as state officials, soldiers, or traders. Alexandria in Egypt—the largest of these cities, with half a million people—was an enormous cosmopolitan center where Egyptians, Greeks, Jews, Babylonians, Syrians, Persians, and many others rubbed elbows. A harbor with space for 1,200 ships facilitated long-distance commerce. Greek learning flourished thanks to a library of some 700,000 volumes and the Museum, which sponsored scholars and writers of all kinds.

From cities such as these, Greek culture spread. A simplified form of the Greek language was widely spoken from the Mediterranean to India. The Indian monarch Ashoka published some of his decrees in Greek, while an independent Greek state was established in Bactria in what is now northern Afghanistan. The attraction of many young Jews to Greek culture prompted the Pharisees to develop their own school system, as this highly conservative Jewish sect feared for the very survival of Judaism.

Cities such as Alexandria were very different from the original city-states of Greece, both in their cultural diversity and in the absence of the independence so valued by Athens and Sparta. Now they were part of large conquest states ruled by Greeks: the Ptolemaic empire in Egypt and the Seleucid empire in Persia. These were imperial states, which, in their determination to preserve order, raise taxes, and maintain the

Alexander the Great

This mosaic of Alexander on horseback comes from the Roman city of Pompeii. It depicts the Battle of Issus (333 B.C.E.), in which Greek forces, although considerably outnumbered, defeated the Persian army, led personally by Emperor Darius III. (Scala/Art Resource, NY)



authority of the monarch, resembled the much older empires of Mesopotamia, Egypt, Assyria, and Persia. Macedonians and Greeks, representing perhaps 10 percent of the population in these Hellenistic kingdoms, were clearly the elite and sought to keep themselves separate. In Egypt, different legal systems for Greeks and native Egyptians maintained this separation. An Egyptian agricultural worker complained that his supervisors despised him and refused to pay him, he said, “because I am an Egyptian.”⁸ Periodic rebellions expressed resentment at Greek arrogance, condescension, and exploitation.

But the separation between the Greeks and native populations was by no means complete, and a fair amount of cultural interaction and blending occurred. Alexander himself had taken several Persian princesses as his wives and actively encouraged intermarriage between his troops and Asian women. In both Egypt and Mesopotamia, Greek rulers patronized the building of temples to local gods and actively supported their priests. A growing number of native peoples were able to become Greek citizens by getting a Greek education, speaking the language, dressing appropriately, and assuming a Greek name. In India, Greeks were assimilated into the hierarchy of the caste system as members of the Kshatriya (warrior) caste, while in Bactria a substantial number of Greeks converted to Buddhism, including one of their kings, Menander. A school of Buddhist art that emerged in the early centuries of the Common Era depicted the Buddha in human form for the first time, but in Greek-like garb with a face resembling the god Apollo. Clearly, not all was conflict between the Greeks and the peoples of the East.

In the long run, much of this Greek cultural influence faded as the Hellenistic kingdoms that had promoted it weakened and vanished by the first century B.C.E. While it lasted, however, it represented a remarkable cultural encounter, born of the collision of two empires and two classical civilizations. In the western part of that Hellenistic world, Greek rule was replaced by that of the Romans, whose empire, like Alexander’s, also served as a vehicle for the continued spread of Greek culture and ideas.

Comparing Empires: Roman and Chinese

While the adjacent civilizations of the Greeks and the Persians collided, two other classical empires were taking shape—the Roman Empire on the far western side of Eurasia and China’s imperial state on the far eastern end. They flourished at roughly the same time (200 B.C.E.–200 C.E.); they occupied a similar area (about 1.5 million square miles); and they encompassed populations of a similar size (50 to 60 million). They were the giant empires of their time, shaping the lives of close to half of the world’s population. Unlike the Greeks and the Persians, the Romans and the Chinese were only dimly aware of each other and had almost no direct contact. Historians, however, have seen them as fascinating variations on an imperial theme and have long explored their similarities and differences.

Rome: From City-State to Empire

How do empires arise? This is one of the perennial questions that historians tackle. Like the Persian Empire, that of the Romans took shape initially on the margins of the civilized world and was an unlikely rags-to-riches story. Rome began as a small and impoverished city-state on the western side of central Italy in the eighth century B.C.E., so weak, according to legend, that Romans were reduced to kidnapping neighboring women in order to reproduce. In a transformation of epic proportions, Rome became the center of an enormous imperial state that encompassed the Mediterranean basin and included parts of continental Europe, Britain, North Africa, and the Middle East.

Originally ruled by a king, Roman aristocrats around 509 B.C.E. threw off the monarchy and established a republic in which the wealthy class, known as *patricians*, dominated. Executive authority was exercised by two consuls, who were advised by a patrician assembly, the Senate. Deepening conflict with the poorer classes, called *plebeians*, led to important changes in Roman political life. A written code of law offered plebeians some protection from abuse; a system of public assemblies provided an opportunity for lower classes to shape public policy; and a new office of *tribune*, who represented plebeians, allowed them to block unfavorable legislation. Romans took great pride in this political system, believing that they enjoyed greater freedom than did many of their more autocratic neighbors. The values of the republic—rule of law, the rights of citizens, the absence of pretension, upright moral behavior, keeping one’s word—were later idealized as “the way of the ancestors.”

With this political system and these values, the Romans launched their empire-building enterprise, a prolonged process that took more than 500 years (see Map 4.4). It began in the 490s B.C.E. with Roman control over its Latin neighbors in central Italy and over the next several hundred years encompassed most of the Italian peninsula. Between 264 and 146 B.C.E., victory in the Punic Wars with Carthage, a powerful empire with its capital in North Africa, extended Roman control over the western Mediterranean and made Rome a naval power. Subsequent expansion in the eastern Mediterranean brought the ancient civilizations of Greece, Egypt, and Mesopotamia under Roman domination. Rome also expanded into territories in Southern and Western Europe, including present-day Spain, France, and Britain. By early in the second century C.E., the Roman Empire had reached its maximum extent.

No overall design or blueprint drove the building of empire, nor were there any precedents to guide the Romans. What they created was something wholly new—an empire that encompassed the entire Mediterranean basin and beyond. It was a piecemeal process, which the Romans invariably saw as defensive. Each addition of territory created new vulnerabilities, which could be assuaged only by more conquests. For some, the growth of empire represented opportunity. Poor soldiers hoped for land, loot, or salaries that might lift their families out of poverty. The well-to-do or well-connected gained great estates, earned promotion, and sometimes achieved

■ Change

How did Rome grow from a single city to the center of a huge empire?



Map 4.4 The Roman Empire

At its height in the second century c.e., the Roman Empire incorporated the entire Mediterranean basin, including the lands of the Carthaginian Empire, the less developed region of Western Europe, the heartland of Greek civilization, and the ancient civilizations of Egypt and Mesopotamia.

public acclaim and high political office. The wealth of long-established societies in the eastern Mediterranean (Greece and Egypt, for example) beckoned, as did the resources and food supplies of the less developed western regions, such as Carthage and Spain. There was no shortage of motivation for the creation of the Roman Empire.

Although Rome's central location in the Mediterranean basin provided a convenient launching pad for empire, it was the army, "well-trained, well-fed, and well-rewarded," that built the empire.⁹ Drawing on the growing population of Italy, that army was often brutal in war. Carthage, for example, was utterly destroyed; the city

Snapshot Key Moments in the History of the Roman Empire

Traditional date of Rome's founding as a monarchy	753 B.C.E.
Establishment of Roman Republic	509 B.C.E.
Turmoil between patricians and plebeians ("struggle of the orders")	509–287 B.C.E.
Twelve Tables (Rome's first written law code)	450 B.C.E.
Punic Wars	264–146 B.C.E.
Civil war; Julius Caesar appointed dictator and then assassinated	49–44 B.C.E.
Reign of Caesar Augustus	27 B.C.E.–14 C.E.
Great fire in Rome; Emperor Nero blames Christians	64 C.E.
Roman citizenship extended to almost all free subjects	212 C.E.
Constantine converts to Christianity	312 C.E.
Founding of Constantinople as the "New Rome"	324 C.E.
Roman Empire split into eastern and western halves	395 C.E.
"Barbarian" invasions	4th–5th centuries C.E.
Collapse of western Roman Empire	476 C.E.

was razed to the ground, and its inhabitants were either killed or sold into slavery. Nonetheless, Roman authorities could be generous to former enemies. Some were granted Roman citizenship; others were treated as allies and allowed to maintain their local rulers. As the empire grew, so too did political forces in Rome that favored its continued expansion and were willing to commit the necessary manpower and resources.

The relentless expansion of empire raised a profound question for Rome: could republican government and values survive the acquisition of a huge empire? The wealth of empire enriched a few, enabling them to acquire large estates and slaves to work those estates, while pushing growing numbers of free farmers into the cities and poverty. Imperial riches also empowered a small group of military leaders—Marius, Sulla, Pompey, Julius Caesar—who recruited their troops directly from the ranks of the poor and whose fierce rivalries brought civil war to Rome during the first century B.C.E. Traditionalists lamented the apparent decline of republican values—simplicity, service, free farmers as the backbone of the army, the authority of the Senate—amid the self-seeking ambition of the newly rich and powerful. When the dust settled from the civil war, Rome was clearly changing, for authority was now vested primarily in an emperor, the first of whom was Octavian, later granted the title



Queen Boudica

This statue in London commemorates the resistance of the Celtic people of eastern Britain against Roman rule during a revolt in 60–61 C.E., led by Queen Boudica. A later Roman historian lamented that “all this ruin was brought upon the Romans by a woman, a fact which in itself caused them the greatest shame.” (Daniel Boulet, photographer)

■ Comparison

How and why did the making of the Chinese empire differ from that of the Roman Empire?

of Augustus (reigned 27 B.C.E.–14 C.E.), which implied a divine status for the ruler. The republic was history; Rome was becoming an empire.

But it was an empire with an uneasy conscience, for many felt that in acquiring an empire, Rome had betrayed and abandoned its republican origins. Augustus was careful to maintain the forms of the republic—the Senate, consuls, public assemblies—and referred to himself as “first man” rather than “king” or “emperor” even as he accumulated enormous personal power. And in a bow to republican values, he spoke of the empire’s conquests as reflecting the “power of the Roman people” rather than of the Roman state. Despite this

rhetoric, he was emperor in practice, if not in name, for he was able to exercise sole authority, backed up by his command of a professional army. Later emperors were less reluctant to flaunt their imperial prerogatives. During the first two centuries C.E., this empire in disguise provided security, grandeur, and relative prosperity for the Mediterranean world. This was the *pax Romana*, the Roman peace, the era of imperial Rome’s greatest extent and greatest authority. (See Document 4.2, pp. 172–74, for a Greek celebration of the Roman Empire.)

China: From Warring States to Empire

About the same time, on the other side of Eurasia, another huge imperial state was in the making—China. Here, however, the task was understood differently. It was not a matter of creating something new, as in the case of the Roman Empire, but of restoring something old. As one of the First Civilizations, a Chinese state had emerged as early as 2200 B.C.E. and under the Xia, Shang, and Zhou dynasties had grown progressively larger, but by 500 B.C.E. this Chinese state was in shambles. Any earlier unity vanished in an age of warring states, featuring the endless rivalries of seven competing kingdoms.

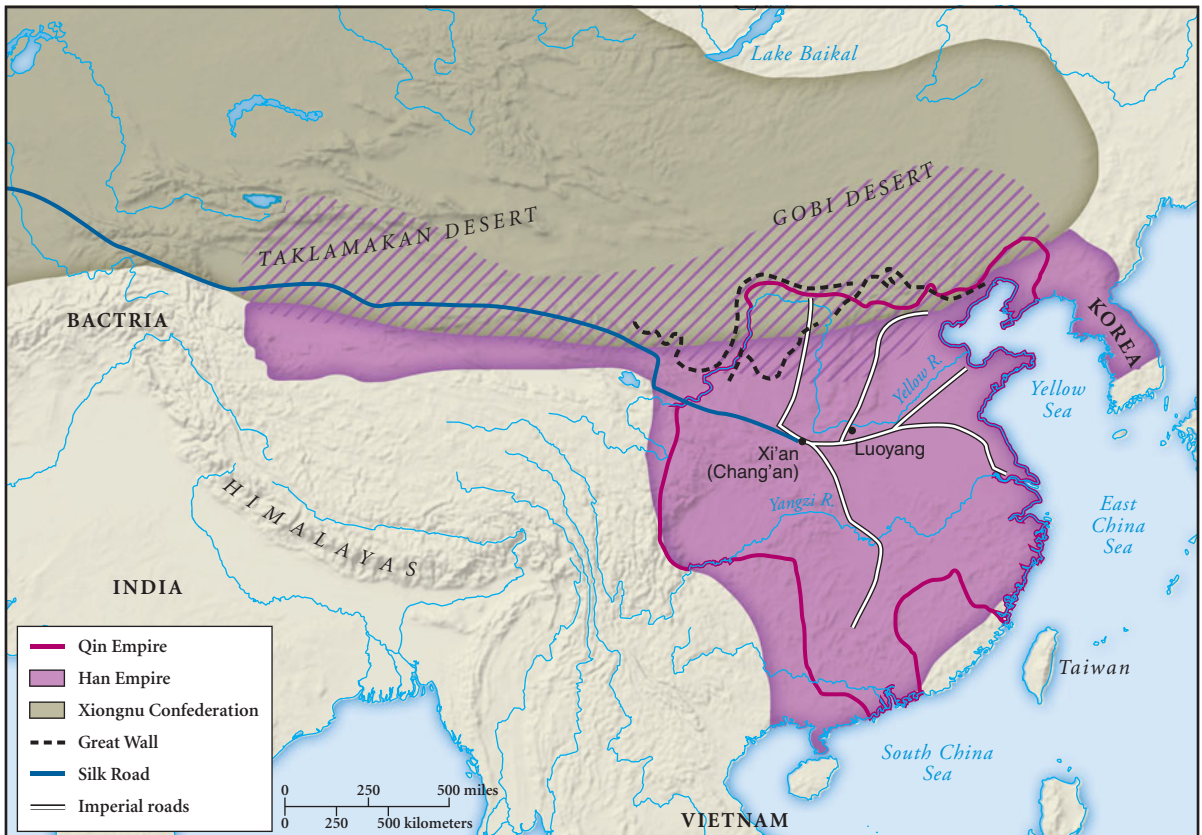
To many Chinese, this was a wholly unnatural and unacceptable condition, and rulers in various states vied to reunify China. One of them, known to history as Qin Shihuangdi (i.e., Shihuangdi from the state of Qin), succeeded brilliantly. The state of Qin had already developed an effective bureaucracy, had subordinated its aristocracy, had equipped its army with iron weapons, and enjoyed rapidly rising agricultural output and a growing population. It also had adopted a political philosophy called Legalism, which advocated clear rules and harsh punishments as a

means of enforcing the authority of the state. (See Document 4.3, pp. 174–75, for a sample of Legalist thinking.) With these resources, Shihuangdi (ruled 221–210 B.C.E.) launched a military campaign to reunify China and in just ten years soundly defeated the other warring states. Believing that he had created a universal and eternal empire, he grandly named himself Shihuangdi, which means the “first emperor.” Unlike Augustus, he showed little ambivalence about empire. Subsequent conquests extended China’s boundaries far to the south into the northern part of Vietnam, to the northeast into Korea, and to the northwest, where the Chinese pushed back the nomadic pastoral people of the steppes. Although the boundaries fluctuated over time, Shihuangdi laid the foundations for a unified Chinese state, which has endured, with periodic interruptions, to the present (see Map 4.5).

Building on earlier precedents, the Chinese process of empire formation was far more compressed than the centuries-long Roman effort, but it was no less dependent on military force and no less brutal. Scholars who opposed Shihuangdi’s policies

Map 4.5 Classical China

The brief Qin dynasty brought unity to the heartland of Chinese civilization, and the much longer Han dynasty extended its territorial reach south toward Vietnam, east to Korea, and west into Central Asia. To the north lay the military confederacy of the nomadic Xiongnu.



were executed and their books burned. (See Visual Source 4.1, p. 181.) Aristocrats who might oppose his centralizing policies were moved physically to the capital. Hundreds of thousands of laborers were recruited to construct the Great Wall of China, designed to keep out northern “barbarians,” and to erect a monumental mausoleum as the emperor’s final resting place. That enormous tomb complex is described and illustrated in *Visual Sources: Qin Shihuangdi and China’s Eternal Empire*, pages 180–86. More positively, Shihuangdi imposed a uniform system of weights, measures, and currency and standardized the length of axles for carts and the written form of the Chinese language.

As in Rome, the creation of the Chinese empire had domestic repercussions, but they were brief and superficial compared to Rome’s transition from republic to empire. The speed and brutality of Shihuangdi’s policies ensured that his own Qin dynasty did not last long, and it collapsed unmourned in 206 B.C.E. The Han dynasty that followed (206 B.C.E.–220 C.E.) retained the centralized features of Shihuangdi’s creation, although it moderated the harshness of his policies, adopting a milder and moralistic Confucianism in place of Legalism as the governing philosophy of the states. (See Document 5.1, pp. 217–19, for a sample of Confucius’s thinking.) It was Han dynasty rulers who consolidated China’s imperial state and established the political patterns that lasted into the twentieth century.

Consolidating the Roman and Chinese Empires

■ Comparison

In comparing the Roman and Chinese empires, which do you find more striking—their similarities or their differences?

Once established, these two huge imperial systems shared a number of common features. Both, for example, defined themselves in universal terms. The Roman writer Polybius spoke of bringing “almost the entire world” under the control of Rome,¹⁰ while the Chinese state was said to encompass “all under heaven.” Both of them invested heavily in public works—roads, bridges, aqueducts, canals, protective walls—all designed to integrate their respective domains militarily and commercially.

Furthermore, Roman and Chinese authorities both invoked supernatural sanctions to support their rule. By the first century C.E., Romans began to regard their deceased emperors as gods and established a religious cult to bolster the authority of living emperors. It was the refusal of early Christians to take part in this cult that provoked their periodic persecution by Roman authorities.

In China, a much older tradition had long linked events on earth with affairs in heaven. In this conception, heaven was neither a place nor a supreme being, but rather an impersonal moral force that regulated the universe. Emperors were called the Son of Heaven and were said to govern by the Mandate of Heaven so long as they ruled morally and with benevolence. Peasant rebellions, “barbarian” invasions, or disastrous floods were viewed as signs that the emperor had ruled badly and thus had lost the Mandate of Heaven. Among the chief duties of the emperor was the performance of various rituals thought to maintain the appropriate relationship between heaven and earth. What moral government meant in practice was spelled out in the writings of Confucius and his followers, which became the official ideology of the empire (see Chapter 5).

Both of these classical civilizations also absorbed a foreign religious tradition—Christianity in the Roman Empire and Buddhism in China—although the process unfolded somewhat differently. In the case of Rome, Christianity was born as a small sect of a small province in a remote corner of the empire. Aided by the *pax Romana* and Roman roads, the new faith spread slowly for several centuries, particularly among the poor and lower classes. Women were prominent in the leadership of the early church, as were a number of more well-to-do individuals from urban families. After suffering intermittent persecution, Christianity in the fourth century C.E. obtained state support from emperors who hoped to shore up a tottering empire with a common religion, and thereafter the religion spread quite rapidly.

In the case of China, by contrast, Buddhism came from India, far beyond the Chinese world. It was introduced to China by Central Asian traders and received little support from Han dynasty rulers. In fact, the religion spread only modestly among Chinese until after the Han dynasty collapsed (220 C.E.), when it appealed to people who felt bewildered by the loss of a predictable and stable society. Not until the Sui dynasty emperor Wendi (581–604 C.E.) reunified China did the new religion gain state support, and then only temporarily. Buddhism thus became one of several alternative cultural traditions in a complex Chinese mix, while Christianity, though divided internally, ultimately became the dominant religious tradition throughout Europe.

The Roman and Chinese empires also had a different relationship to the societies they governed. Rome's beginnings as a small city-state meant that Romans, and even Italians, were always a distinct minority within the empire. The Chinese empire, by contrast, grew out of a much larger cultural heartland, already ethnically Chinese. Furthermore, as the Chinese state expanded, especially to the south, it actively assimilated the non-Chinese or "barbarian" people. In short, they became Chinese, culturally, linguistically, through intermarriage, and in physical appearance as well. Many Chinese in modern times are in fact descended from people who at one point or another were not Chinese at all.

The Roman Empire also offered a kind of assimilation to its subject peoples. Gradually and somewhat reluctantly, the empire granted Roman citizenship to various individuals, families, or whole communities for their service to the empire or in recognition of their adoption of Roman culture. In 212 C.E., Roman citizenship was bestowed on almost all free people of the empire. Citizenship offered clear advantages—the right to hold public office, to serve in the Roman military units known as legions, to wear a toga, and more—but it conveyed a legal status, rather than cultural assimilation, and certainly did not erase other identities, such as being Greek, Egyptian, or a citizen of a particular city.

Various elements of Roman culture—its public buildings, its religious rituals, its Latin language, its style of city life—were attractive, especially in Western Europe, where urban civilization was something new. In the eastern half of the empire, however, things Greek retained tremendous prestige. Many elite Romans in fact regarded Greek culture—its literature, philosophy, and art—as superior to their own and proudly sent their sons to Athens for a Greek education. To some extent, the two

blended into a mixed Greco-Roman tradition, which the empire served to disseminate throughout the realm. Other non-Roman cultural traditions—such as the cult of the Persian god Mithra or the compassionate Egyptian goddess Isis, and, most extensively, the Jewish-derived religion of Christianity—also spread throughout the empire. Nothing similar occurred in Han dynasty China, except for Buddhism, which established a modest presence, largely among foreigners. Chinese culture, widely recognized as the model to which others should conform, experienced little competition from older, venerated, or foreign traditions.

Language served these two empires in important but contrasting ways. Latin, an alphabetic language depicting sounds, gave rise to various distinct languages—Spanish, Portuguese, French, Italian, Romanian—whereas Chinese did not. Chinese characters, which represented words or ideas more than sounds, were not easily transferable to other languages, but written Chinese could be understood by all literate people, no matter which spoken dialect of the language they used. Thus Chinese, more than Latin, served as an instrument of elite assimilation. For all of these reasons, the various peoples of the Roman Empire were able to maintain their separate cultural identities far more than was the case in China.

Politically, both empires established effective centralized control over vast regions and huge populations, but the Chinese, far more than the Romans, developed an elaborate bureaucracy to hold the empire together. The Han emperor Wudi (reigned 141–87 B.C.E.) established an imperial academy for training officials for an emerging bureaucracy with a curriculum based on the writings of Confucius. This was the beginning of a civil service system, complete with examinations and selection by merit, which did much to integrate the Chinese empire and lasted into the early twentieth century. Roman administration was a somewhat ramshackle affair, rely-

Snapshot Key Moments in Classical Chinese History

Political fragmentation (“warring states” period)	500–221 B.C.E.
Unification of China: Shihuangdi and Qin dynasty	221–206 B.C.E.
Beginning of Han dynasty, with Liu Bang as its first emperor	206–195 B.C.E.
Reign of Emperor Wudi, who established Confucian Academy for training imperial bureaucrats	141–87 B.C.E.
Emperor Wang Mang attempts land reform, without success	9–23 C.E.
Yellow Turban peasant revolt	184 C.E.
Collapse of Han dynasty	220 C.E.
Renewed political fragmentation	220–581 C.E.
China’s unity is restored (Sui dynasty)	589–618 C.E.
Tang dynasty	618–907 C.E.

ing more on regional aristocratic elites and the army to provide cohesion. Unlike the Chinese, however, the Romans developed an elaborate body of law, applicable equally to all people of the realm, dealing with matters of justice, property, commerce, and family life. Chinese and Roman political development thus generated different answers to the question of what made for good government. For those who inherited the Roman tradition, it was good laws, whereas for those in the Chinese tradition, it was good men.

The Collapse of Empires

Empires rise, and then, with some apparent regularity, they fall, and in doing so, they provide historians with one of their most intriguing questions: What causes the collapse of these once-mighty structures? In China, the Han dynasty empire came to an end in 220 C.E.; the traditional date for the final disintegration of the Roman Empire is 476 C.E., although a process of decline had been under way for several centuries. In the Roman case, however, only the western half of the empire collapsed, while the eastern part, subsequently known as the Byzantine Empire, maintained the tradition of imperial Rome for another thousand years.

Despite this difference, a number of common factors have been associated with the end of these imperial states. At one level, they simply got too big, too overextended, and too expensive to be sustained by the available resources, and no fundamental technological breakthrough was available to enlarge these resources. Furthermore, the growth of large landowning families with huge estates enabled them to avoid paying taxes, turned free peasants into impoverished tenant farmers, and diminished the authority of the central government. In China, such conditions led to a major peasant revolt, known as the Yellow Turban Rebellion, in 184 C.E.

Rivalry among elite factions created instability in both empires and eroded imperial authority. In China, persistent tension between castrated court officials (*eunuchs*) loyal to the emperor and Confucian-educated scholar-bureaucrats weakened the state. In the Roman Empire between 235 and 284 C.E., some twenty-six individuals claimed the title of Roman emperor, only one of whom died of natural causes. In addition, epidemic disease ravaged both societies. The population of the Roman Empire declined by 25 percent in the two centuries following 250 C.E., a demographic disaster that meant diminished production, less revenue for the state, and fewer men available for the defense of the empire's long frontiers.

To these mounting internal problems was added a growing threat from nomadic or semi-agricultural peoples occupying the frontier regions of both empires. The Chinese had long developed various ways of dealing with the Xiongnu and other nomadic people to the north—building the Great Wall to keep them out, offering them trading opportunities at border markets, buying them off with lavish gifts, contracting marriage alliances with nomadic leaders, and conducting periodic military campaigns against them. But as the Han dynasty weakened in the second and third centuries C.E., such peoples more easily breached the frontier defenses and set

■ Comparison

How did the collapse of empire play out differently in the Roman world and in China?



Meeting of Attila and Pope Leo I

Among the “barbarian” invaders of the Roman Empire, none were more feared than the Huns, led by the infamous Attila. In a celebrated meeting in 452 C.E., Pope Leo I persuaded Attila to spare the city of Rome and to withdraw from Italy. This painting from about 1360 C.E. records that remarkable meeting. (National Szechenyi Library, Budapest)

up a succession of “barbarian states” in north China. Culturally, however, many of these foreign rulers gradually became Chinese, encouraging intermarriage, adopting Chinese dress, and setting up their courts in Chinese fashion.

A weakening Roman Empire likewise faced serious problems from Germanic-speaking peoples living on its northern frontier. Growing numbers of these people began to enter the empire in the fourth century C.E.—some as mercenaries in Roman armies and others as refugees fleeing the invasions of the ferocious Huns, who were penetrating Europe from Central Asia. Once inside the declining empire, various Germanic groups established their own kingdoms, at first controlling Roman emperors and then displacing them altogether by 476 C.E. Unlike the nomadic groups in China, who largely assimilated Chinese culture, Germanic kingdoms in Europe developed their own ethnic identity—

Visigoths, Franks, Anglo-Saxons, and others—even as they drew on Roman law and adopted Roman Christianity. Far more than in China, the fall of the Roman Empire produced a new culture, blending Latin and Germanic elements, which provided the foundation for the hybrid civilization that would arise in Western Europe.

The collapse of empire meant more than the disappearance of centralized government and endemic conflict. In both China and post-Roman Europe, it also meant the decline of urban life, a contracting population, less area under cultivation, diminishing international trade, and vast insecurity for ordinary people. It must have seemed that civilization itself was unraveling.

The most significant difference between the collapse of empire in China and that in the Mediterranean basin lay in what happened next. In China, after about 350 years of disunion, disorder, frequent warfare, and political chaos, a Chinese imperial state, similar to that of the Han dynasty, was reassembled under the Sui (589–618 C.E.), Tang (618–907), and Song (960–1279) dynasties. Once again, a single emperor ruled; a bureaucracy selected by examinations governed; and the ideas of Confucius informed the political system. Such a Chinese empire persisted into the early twentieth century, establishing one of the most continuous political traditions of any civilization in world history.

The story line of European history following the end of the Roman Empire was very different indeed. No large-scale, centralized, imperial authority encompassing all of Western Europe has ever been successfully reestablished there for any length of time. The memory of Roman imperial unity certainly persisted, and many subsequently tried unsuccessfully to re-create it. But most of Western Europe dissolved into a highly decentralized political system involving kings with little authority, nobles, knights and vassals, various city-states in Italy, and small territo-

ries ruled by princes, bishops, or the pope. From this point on, Europe would be a civilization without an encompassing imperial state.

From a Chinese point of view, Western Europe's post-Roman history must seem an enormous failure. Why were Europeans unable to reconstruct something of the unity of their classical empire, while the Chinese clearly did? Surely the greater cultural homogeneity of Chinese civilization made that task easier than it was amid the vast ethnic and linguistic diversity of Europe. The absence in the Roman legacy of a strong bureaucratic tradition also contributed to European difficulties, whereas in China the bureaucracy provided stability even as dynasties came and went. The Chinese also had in Confucianism a largely secular ideology that placed great value on political matters in the here and now. The Roman Catholic Church in Europe, however, was frequently at odds with state authorities, and its "otherworldliness" did little to support the creation of large-scale empires. Finally, Chinese agriculture was much more productive than that of Europe, and for a long time its metallurgy was more advanced.¹¹ These conditions gave Chinese state-builders more resources to work with than were available to their European counterparts.

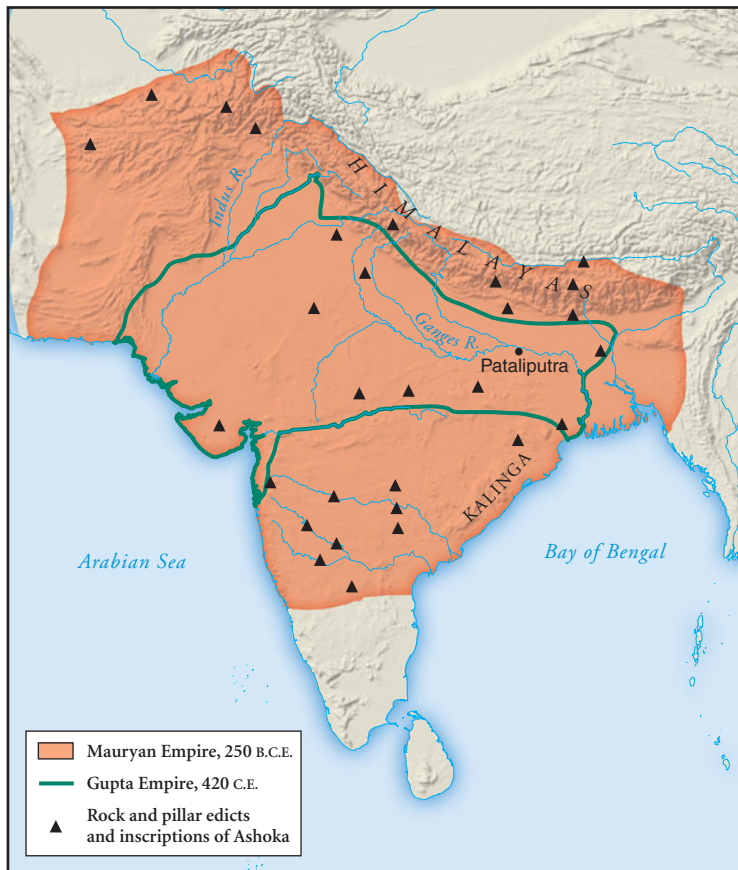
Intermittent Empire: The Case of India

Among the classical civilizations of Eurasia, empire loomed large in Persian, Mediterranean, and Chinese history, but it played a rather less prominent role in India. In the Indus River valley flourished the largest of the First Civilizations, embodied in exquisitely planned cities such as Harappa but with little evidence of any central political authority. The demise of this early civilization by 1500 B.C.E. was followed over the next thousand years by the creation of a new civilization based farther east, along the Ganges River on India's northern plain. That process has occasioned considerable scholarly debate, which has focused on the role of the Aryans, a pastoral Indo-European people long thought to have invaded and destroyed the Indus Valley civilization and created the new one along the Ganges. More recent research has called this view into question. Did the Aryans invade suddenly, or did they migrate slowly into the Indus River valley, or were they already there as a part of the Indus Valley population? Was the new civilization largely the work of Aryans, or did it evolve gradually from Indus Valley culture? About all of this, scholars have yet to reach agreement.¹²

However it occurred, by 600 B.C.E. what would become the classical civilization of South Asia had begun to take shape across northern India. Politically, that civilization emerged as a fragmented collection of towns and cities, some small republics governed by public assemblies, and a number of regional states ruled by kings. An astonishing range of ethnic, cultural, and linguistic diversity also characterized this civilization, as an endless variety of peoples migrated into India from Central Asia across the mountain passes in the northwest. These features of Indian civilization—political fragmentation and vast cultural diversity—have informed much of South

■ Comparison

Why were centralized empires so much less prominent in India than in China?



Map 4.6 Empire in South Asia

Large-scale empires in the Indian subcontinent were less frequent and less enduring than in China. Two of the largest efforts were those of the Mauryan and Gupta dynasties.

Persian, Chinese, and Roman empires, though not nearly as long-lasting. With a population of perhaps 50 million, the Mauryan Empire boasted a large military force, reported to include 600,000 infantry soldiers, 30,000 cavalry, 8,000 chariots, and 9,000 elephants. A civilian bureaucracy featured various ministries and a large contingent of spies to provide the rulers with local information. A famous treatise called the *Arthashastra* (*The Science of Worldly Wealth*) articulated a pragmatic, even amoral, political philosophy for Mauryan rulers. It was, according to one scholar, a book that showed “how the political world does work and not very often stating how it ought to work, a book that frequently discloses to a king what calculating and sometimes brutal measures he must carry out to preserve the state and the common good.”¹³ The state also operated many industries—spinning, weaving, mining, shipbuilding, and armaments. This complex apparatus was financed by taxes on trade, on herds of animals, and especially on land, from which the monarch claimed a quarter or more of the crop.¹⁴

Mauryan India is perhaps best known for one of its emperors, Ashoka (reigned 268–232 B.C.E.), who left a record of his activities and his thinking in a series of edicts

Asian history throughout many centuries, offering a sharp contrast to the pattern of development in China. What gave Indian civilization a recognizable identity and character was neither an imperial tradition nor ethnolinguistic commonality, but rather a distinctive religious tradition, known later to outsiders as Hinduism, and a unique social organization, the caste system. These features of Indian life are explored further in Chapters 5 and 6.

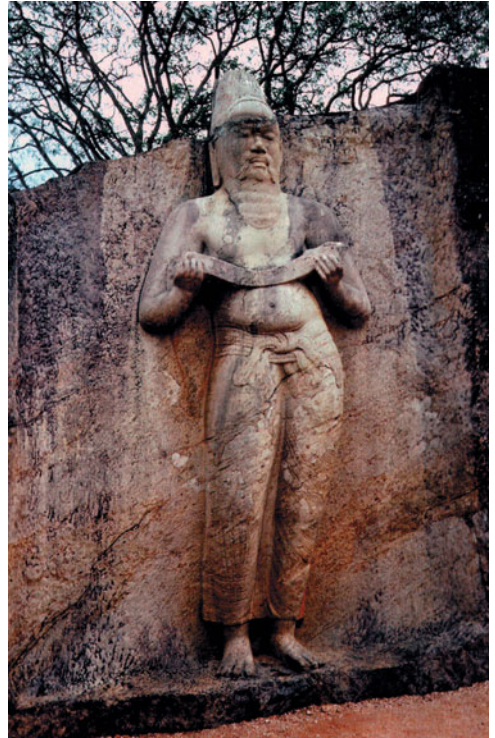
Nonetheless, empires and emperors were not entirely unknown in India’s long history. Northwestern India had been briefly ruled by the Persian Empire and then conquered by Alexander the Great. These Persian and Greek influences helped stimulate the first and largest of India’s short experiments with a large-scale political system, the Mauryan Empire (326–184 B.C.E.), which encompassed all but the southern tip of the subcontinent (see Map 4.6).

The Mauryan Empire was an impressive political structure, equivalent to the

carved on rocks and pillars throughout the kingdom. A sample of those edicts is contained in Document 4.4 on pp. 176–78. Ashoka's conversion to Buddhism and his moralistic approach to governance gave his reign a different tone than that of China's Shihuangdi or of Alexander the Great, who, according to legend, wept because he had no more worlds to conquer. His legacy to modern India has been that of an enlightened ruler, who sought to govern in accord with the religious values and moral teachings of Hinduism and Buddhism.

Despite their good intentions, these policies did not long preserve the empire, which broke apart soon after Ashoka's death. Several other short-lived imperial experiments, such as the Gupta Empire (320–550 C.E.), also marked India's history, but none lasted long. India's political history thus resembled that of Western Europe after the collapse of the Roman Empire far more than that of China or Persia. Neither imperial nor regional states commanded the kind of loyalty or exercised the degree of influence that they did in other classical civilizations. India's unparalleled cultural diversity surely was one reason, as was the frequency of invasions from Central Asia, which repeatedly smashed states that might have provided the nucleus for an all-India empire. Finally, India's social structure, embodied in a caste system linked to occupational groups, made for intensely local loyalties at the expense of wider identities (see Chapter 6).

Nonetheless, a frequently vibrant economy fostered a lively internal commerce and made India the focal point of an extensive network of trade in the Indian Ocean basin. In particular, its cotton textile industry long supplied cloth throughout the Afro-Eurasian world. Strong guilds of merchants and artisans provided political leadership in major towns and cities, and their wealth patronized lavish temples, public buildings, and religious festivals. Great creativity in religious matters generated Hindu and Buddhist traditions that later penetrated much of Asia. Indian mathematics and science, especially astronomy, also were impressive; Indian scientists plotted the movements of stars and planets and recognized quite early that the earth was round. Clearly, the absence of consistent imperial unity did not prevent the evolution of an enduring civilization.



Ashoka of India

This twelfth-century stone relief provides a visual image of the Mauryan dynasty's best-known ruler. (Philip Baird/
www.anthroarchart.org)

Reflections: Classical Empires and the Twentieth Century

The classical empires discussed in this chapter have long ago passed into history, but their descendants have kept them alive in memory, for they have proved useful, even in the twentieth and early-twenty-first centuries. Those empires have provided

legitimacy for contemporary states, inspiration for new imperial ventures, and abundant warnings and cautions for those seeking to criticize more recent empires. For example, in bringing communism to China in the twentieth century, the Chinese leader Mao Zedong compared himself to Shihuangdi, the unifier of China and the brutal founder of its Qin dynasty. Reflecting on his campaign against intellectuals in general and Confucianism in particular, Mao declared to a Communist Party conference: “Emperor Qin Shihuang was not that outstanding. He only buried alive 460 Confucian scholars. We buried 460 thousand Confucian scholars. . . . To the charge of being like Emperor Qin, of being a dictator, we plead guilty.”¹⁵

In contrast, modern-day Indians, who have sought to present their country as a model of cultural tolerance and nonviolence, have been quick to link themselves to Ashoka and his policies of inclusiveness. When the country became independent from British colonial rule in 1947, India soon placed an image of Ashoka’s Pillar on the new nation’s currency.

In the West, it has been the Roman Empire that has provided a template for thinking about political life. Many in Great Britain celebrated their own global empire as a modern version of the Roman Empire. In the early twentieth century, African students in a mission school in British-ruled Kenya were asked on a history exam to list the benefits that Roman occupation brought to Britain. The implication was obvious. If the British had been “civilized” by Roman rule, then surely Africans would benefit from falling under the control of the “superior” British. Likewise, to the Italian fascist dictator Benito Mussolini, his country’s territorial expansion during the 1930s and World War II represented the creation of a new Roman Empire. Most recently, of course, America’s dominant role in the world has prompted the question: Are the Americans the new Romans?

Historians frequently cringe as politicians and students use (and perhaps misuse) historical analogies to make their case for particular points of view in the present. But we have little else to go on except history in making our way through the complexities of contemporary life, and historians themselves seldom agree on the “lessons” of the past. Lively debate about the continuing relevance of classical empires shows that although the past may be gone, it surely is not dead.

Second Thoughts

What’s the Significance?

To assess your mastery of the material in this chapter, visit the **Student Center** at bedfordstmartins.com/strayer.

Persian Empire
Athenian democracy
Greco-Persian Wars

Alexander the Great
Hellenistic era
Caesar Augustus
pax Romana

Qin Shihuangdi
Han dynasty
Mauryan Empire
Ashoka

Big Picture Questions

1. What common features can you identify in the empires described in this chapter?
2. In what ways did these empires differ from one another? What accounts for those differences?
3. Are you more impressed with the “greatness” of empires or with their destructive and oppressive features? Why?
4. Do you think that the classical empires hold “lessons” for the present, or are contemporary circumstances sufficiently unique as to render the distant past irrelevant?

Next Steps: For Further Study

Arthur Cotterell, *The First Emperor of China* (1988). A biography of Shihuangdi.

Christopher Kelley, *The Roman Empire: A Very Short Introduction* (2006). A brief, up-to-date, and accessible account of the Roman achievement.

Cullen Murphy, *Are We Rome? The Fall of an Empire and the Fate of America* (2007). A reflection on the usefulness and the dangers of comparing the Roman Empire to the present-day United States.

Sarah Pomeroy et al., *Ancient Greece* (1999). A highly readable survey of Greek history by a team of distinguished scholars.

Walter Scheidel, ed. *Rome and China: Comparative Perspectives on Ancient World Empires* (2009). A series of scholarly essays that systematically compare these two empires.

Romila Thapar, *Ashoka and the Decline of the Mauryas* (1961). A classic study of India’s early empire builder.

Illustrated History of the Roman Empire. <http://www.roman-empire.net>. An interactive Web site with maps, pictures, and much information about the Roman Empire.

For Web sites and additional documents related to this chapter, see **Make History** at bedfordstmartins.com/strayer.

Documents

Considering the Evidence: Political Authority in Classical Civilizations



States, empires, and their rulers are surely not the whole story of the human past, although historians have sometimes treated them as though they were. But they are important, because their actions shaped the lives of many millions of people. The city-states of ancient Greece, the Roman Empire, the emerging Chinese empire of the Qin dynasty, and the Indian Empire of the Mauryan dynasty—these were among the impressive political structures of the classical era in Eurasia. Rulers seeking to establish or maintain their authority mobilized a variety of ideas to give legitimacy to their regimes. Reflection on political authority was a central issue in the discourse of educated people all across classical Eurasia. In the documents that follow, four contemporary observers—two rulers and two scholars—describe some of the political institutions and ideas that operated within Mediterranean, Chinese, and Indian civilizations.

Document 4.1

In Praise of Athenian Democracy

The Greeks of Athens generated political ideas that have long been celebrated in the West, although they were exceptional even in the small world of classical Greece. (See pp. 147–50 and Map 4.2, p. 148.) The most well-known expression of praise for Athenian democracy comes from Pericles, the most prominent Athenian leader during the fifth century B.C.E. Sometimes called the “first citizen of Athens,” Pericles initiated the grand building projects that still grace the Acropolis and led his city in its military struggles with archrival Sparta. To his critics, he was a populist, manipulating the masses to enhance his own power, and an Athenian imperialist whose aggressive policies ultimately ruined the city. His famous speech in praise of Athens was delivered around 431–430 B.C.E. at the end of the first year of the Peloponnesian War against Sparta. The setting was a public funeral service for Athenian citizens who had died in that conflict. Pericles’ oration was recorded by the Greek historian Thucydides, who was probably present at that event.

- How does Pericles describe Athenian democracy?
- Does his argument for democracy derive from fundamental principles, such as human equality, or from the practical benefits that derive from such a system of government?
- What kind of citizens does he believe democracy produces? Keep in mind that not everyone shared this idealized view of Athenian democracy. How might critics have responded to Pericles' arguments?
- Although Pericles praised Athenian military prowess, his city lost the Peloponnesian War. In what ways does this affect your assessment of his arguments?

PERICLES

Funeral Oration

431–430 B.C.E.

Our form of government does not enter into rivalry with the institutions of others. We do not copy our neighbors, but are an example to them. It is true that we are called a democracy, for the administration is in the hands of the many and not of the few. But while the law secures equal justice to all alike in their private disputes, the claim of excellence is also recognized; and when a citizen is in any way distinguished, he is preferred to the public service, not as a matter of privilege, but as the reward of merit. Neither is poverty a bar, but a man may benefit his country whatever be the obscurity of his condition. There is no exclusiveness in our public life, and in our private intercourse we are not suspicious of one another, nor angry with our neighbor if he does what he likes. . . . While we are thus unconstrained in our private intercourse, a spirit of reverence pervades our public acts; we are prevented from doing wrong by respect for the authorities and for the laws. . . .

Source: Benjamin Jowett, *Thucydides, translated into English, to which is prefixed an essay on inscriptions and a note on the geography of Thucydides*, 2nd ed. (Oxford: Clarendon Press, 1900), Book 2, para. 37–41.

And we have not forgotten to provide for our weary spirits many relaxations from toil; we have regular games and sacrifices throughout the year; our homes are beautiful and elegant; and the delight which we daily feel in all these things helps to banish melancholy. Because of the greatness of our city the fruits of the whole earth flow in upon us; so that we enjoy the goods of other countries as freely as of our own.

Then, again, our military training is in many respects superior to that of our adversaries. Our city is thrown open to the world, and we never expel a foreigner or prevent him from seeing or learning anything of which the secret if revealed to an enemy might profit him. We rely not upon management or trickery, but upon our own hearts and hands. And in the matter of education, whereas they from early youth are always undergoing laborious exercises which are to make them brave, we live at ease, and yet are equally ready to face the perils which they face. . . .

For we are lovers of the beautiful, yet simple in our tastes, and we cultivate the mind without loss of manliness. . . . To avow poverty with us is no disgrace; the true disgrace is in doing nothing to avoid

it. An Athenian citizen does not neglect the state because he takes care of his own household; and even those of us who are engaged in business have a very fair idea of politics. We alone regard a man who takes no interest in public affairs, not as a harmless; but as a useless character; and if few of us are originators, we are all sound judges of a policy. The great impediment to action is, in our opinion, not discussion, but the want of that knowledge which is gained by discussion preparatory to action. For we have a peculiar power of thinking before we act and of acting too, whereas other men are courageous from ignorance but hesitate upon reflection. And they are surely to be esteemed the bravest spirits who, having the clearest sense both of the pains

and pleasures of life, do not on that account shrink from danger. . . .

To sum up: I say that Athens is the school of Hellas, and that the individual Athenian in his own person seems to have the power of adapting himself to the most varied forms of action with the utmost versatility and grace. . . .

For we have compelled every land and every sea to open a path for our valor, and have everywhere planted eternal memorials of our friendship and of our enmity. Such is the city for whose sake these men nobly fought and died; they could not bear the thought that she might be taken from them; and every one of us who survive should gladly toil on her behalf.

Document 4.2

In Praise of the Roman Empire

By the second century C.E. the Roman Empire, now encompassing the Mediterranean basin and beyond, was in its glory days. With conquest largely completed, the *pax Romana* (Roman peace) generally prevailed and commerce flourished, as did the arts and literature. The empire enjoyed a century (96–180 C.E.) of autocratic but generally benevolent rule. In 155 C.E. a well-known scholar and orator from the city of Smyrna on the west coast of Anatolia (present-day Turkey) arrived for a visit to the imperial capital of Rome. He was Aelius Aristides (ca. 117–181 C.E.), a widely traveled Greek-speaking member of a wealthy landowning family whose members had been granted Roman citizenship several decades earlier. While in Rome, Aristides delivered to the imperial court and in front of the emperor, Antonius, a formal speech of praise and gratitude, known as a panegyric, celebrating the virtues and achievements of the Roman Empire.

- What did Aristides identify as the unique features of the Roman Empire? Which of these features in particular may have given the empire a measure of legitimacy in the eyes of its many subject peoples? What other factors, unmentioned by Aristides, may have contributed to the maintenance of Roman authority?
- What does Aristides mean by referring to the empire as a “common democracy of the world”?
- Why might Aristides, a Greek-speaking resident of a land well outside the Roman heartland, be so enamored of the empire?

- To what extent does Aristides' oration provide evidence for the development of a composite Greco-Roman culture and sensibility within the Roman Empire?
- How does this speech compare, in both style and content, with that of Pericles in Document 4.1?

AELIUS ARISTIDES

The Roman Oration

155 C.E.

A certain prose writer said about Asia that one man “rules all as far as is the course of the sun,” untruly, since he excluded all Africa and Europe from the sun’s rising and setting. [This refers to the Persian Empire.] But now it has turned out to be true that the course of the sun and your possessions are equal. . . . [N]or do you rule within fixed boundaries, nor does another prescribe the limits of your power. . . .

About the [Mediterranean] sea the continents [Africa, Asia, and Europe] lie. . . . ever supplying you with products from those regions. Here is brought from every land and sea all the crops of the seasons and the produce of each land, river and lake, as well as the arts of the Greeks and barbarians. . . . So many merchant ships arrive here. . . . that the city is like a factory common to the whole earth. It is possible to see so many cargoes from India and even from [southern] Arabia. . . . Your farmlands are Egypt, Sicily, and all of [North] Africa which is cultivated. The arrival and departure of ships never stops. . . .

Although your empire is so large and so great, it is much greater in its good order than in its circumference. . . . [Nor] are satraps^o fighting against one another, as if they had no king; nor do some cities side with these and others with those. . . . But like the enclosure of a courtyard, cleansed of every disturbance, a circle encompasses your empire. . . . All everywhere are equally subjects. . . .

^o **satraps:** local authorities.

Source: Aelius Aristides, *The Complete Works*, vol. 2, translated by P. Charles A. Behr (Leiden: E. J. Brill, 1986), 73–97.

You are the only ones ever to rule over free men. . . . [Y]ou govern throughout the whole inhabited world as if in a single city. . . . You appoint governors. . . . for the protection and care of their subjects, not to be their masters. . . . And here there is a great and fair equality between weak and powerful, obscure and famous, poor and rich and noble. . . . To excel the barbarians in wealth and power, while surpassing the Greeks in knowledge and moderation, seems to me to be an important matter. . . .

You have divided into two parts all the men of your empire. . . . and everywhere you have made citizens all those who are the more accomplished, noble, and powerful people, even if they retain their native affinities, while the remainder you have made subjects and the governed. And neither does the sea nor a great expanse of intervening land keep one from being a citizen, nor here are Asia and Europe distinguished. But all lies open to all men. . . . There has been established a common democracy of the world, under one man, the best ruler and director. . . .

You have divided people into Romans [citizens] and non-Romans [subjects]. . . . [M]any in each city are citizens of yours. . . . and some of them have not even seen this city. . . . There is no need of garrisons. . . ., but the most important and powerful people in each place guard their countries for you. . . . Yet no envy walks in your empire. . . . [T]here has arisen a single harmonious government which has embraced all men.

[Y]ou have established a form of government such as no one else of mankind has done. . . . Your government is like a mixture of all the constitutions [democracy, aristocracy, monarchy] without the inferior side of each. . . . Therefore whenever one

considers the power of the people and how easily they attain all their wishes and requests, he will believe that it is a democracy. . . . But when he considers the Senate deliberating and holding office, he will believe there is no more perfect aristocracy than this. But when he has considered the overseer and president of all these [the emperor], he sees in this man the possessor of the most perfect monarchy, free of the evils of the tyrant and greater than the dignity of the king. . . .

And the whole inhabited world, as it were attending a national festival, has laid aside. . . the carrying of weapons and has turned. . . to adornments and all kinds of pleasures. . . . Everything is full of gymnasiums, fountains, gateways, temples, handicrafts, and schools. . . and a boundless number of games. . . . Now it possible for both Greek and barbarian. . . to travel easily wherever he wishes. . . . [I]t is enough for his safety that he is a Roman or rather one of those under you.

Document 4.3

Governing a Chinese Empire

As the Roman Empire was taking shape in the Mediterranean basin, a powerful Chinese empire emerged in East Asia. More than in the Roman world, the political ideas and practices of classical China drew on the past. The notion of China as a unified state ruled by a single sage/emperor who mediated between heaven and the human realm had an ancient pedigree. After a long period of political fragmentation, known as the era of warring states, such a unified Chinese state took shape once again during the short-lived Qin dynasty (221–206 B.C.E.), led by its formidable ruler Shihuangdi (see pp. 158–60). That state operated under a version of Legalism (see Chapter 5, pp. 192–93), a political philosophy that found expression in the writings of Han Fei (280–233 B.C.E.) and that in large measure guided the practices of Shihuangdi and the Qin dynasty. Han Fei's Legalist thinking was discredited by the brutality and excesses of Shihuangdi's reign, and the Han dynasty that followed was sharply critical of his ideas, favoring instead the "government by morality" approach of Confucianism. Nonetheless, Han Fei's emphasis on the importance of laws and the need to enforce them influenced all succeeding Chinese dynasties.

- Why is Han Fei's approach to governing China referred to as Legalism? According to him, what is required for effective government?
- What are the "two handles"?
- To whom does Han Fei believe his measures should apply?
- What view of human nature underpins Han Fei's argument?

The Writings of Master Han Fei

Third Century B.C.E.

No country is permanently strong. Nor is any country permanently weak. If conformers to law are strong, the country is strong; if conformers to law are weak, the country is weak. . . .

Any ruler able to expel private crookedness and uphold public law, finds the people safe and the state in order; and any ruler able to expunge private action and act on public law, finds his army strong and his enemy weak. So, find out men following the discipline of laws and regulations, and place them above the body of officials. Then the sovereign cannot be deceived by anybody with fraud and falsehood. . . .

Therefore, the intelligent sovereign makes the law select men and makes no arbitrary promotion himself. He makes the law measure merits and makes no arbitrary regulation himself. In consequence, able men cannot be obscured, bad characters cannot be disguised; falsely praised fellows cannot be advanced, wrongly defamed people cannot be degraded. To govern the state by law is to praise the right and blame the wrong.

The law does not fawn on the noble. . . . Whatever the law applies to, the wise cannot reject nor can the brave defy. Punishment for fault never skips ministers, reward for good never misses commoners. Therefore, to correct the faults of the high, to rebuke the vices of the low, to suppress disorders, to decide against mistakes, to subdue the arrogant, to straighten the crooked, and to unify the folkways of the masses, nothing could match the law. To warn the officials and overawe the people, to rebuke obscenity and danger, and to forbid false-

hood and deceit, nothing could match penalty. If penalty is severe, the noble cannot discriminate against the humble. If law is definite, the superiors are esteemed and not violated. If the superiors are not violated, the sovereign will become strong and able to maintain the proper course of government. Such was the reason why the early kings esteemed Legalism and handed it down to posterity. Should the lord of men discard law and practice selfishness, high and low would have no distinction.

The means whereby the intelligent ruler controls his ministers are two handles only. The two handles are chastisement and commendation. What are meant by chastisement and commendation? To inflict death or torture upon culprits is called chastisement; to bestow encouragements or rewards on men of merit is called commendation.

Ministers are afraid of censure and punishment but fond of encouragement and reward. Therefore, if the lord of men uses the handles of chastisement and commendation, all ministers will dread his severity and turn to his liberality. The villainous ministers of the age are different. To men they hate they would, by securing the handle of chastisement from the sovereign, ascribe crimes; on men they love they would, by securing the handle of commendation from the sovereign, bestow rewards. Now supposing the lord of men placed the authority of punishment and the profit of reward not in his hands but let the ministers administer the affairs of reward and punishment instead; then everybody in the country would fear the ministers and slight the ruler, and turn to the ministers and away from the ruler. This is the calamity of the ruler's loss of the handles of chastisement and commendation.

Source: *The Complete Works of Han Fei Tzu*, vol. 1, translated by W. L. Liano (London: Arthur Probsthain, 1939), 40, 45–47.

Document 4.4

Governing an Indian Empire

Among the rulers of the classical era, Ashoka, of India's Mauryan dynasty (reigned 268–232 B.C.E.), surely stands out, both for the personal transformation he experienced and for the benevolent philosophy of government that he subsequently articulated (see pp. 165–67). Ashoka's career as emperor began in a familiar fashion—ruthless consolidation of his own power and vigorous expansion of the state's frontiers. A particularly bloody battle against the state of Kalinga marked a turning point in his reign. Apparently repulsed by the destruction, Ashoka converted to Buddhism and turned his attention to more peaceful and tolerant ways of governing his huge empire. His edicts and advice, inscribed on rocks and pillars throughout his realm, outlined this distinctive approach to imperial governance.

The following document provides samples of instructions from Ashoka, who is referred to as King Piyadasi, or the Beloved of the Gods. The term *dhamma*, used frequently in edicts of Ashoka, refers to the “way” or the “truth” that is embodied in religious teachings.

- How would you describe Ashoka's philosophy of state?
- How might Han Fei have responded to Ashoka's ideas?
- What specific changes did Ashoka make in state policies and practices?
- Can you think of practical reasons why he might have adopted these policies? Did he entirely abandon the use of harsher measures?

Although Ashoka's reputation as an enlightened ruler has persisted to this day, his policies ultimately were not very successful. Shortly after Ashoka's death, the Mauryan Empire broke apart into a more common Indian pattern of competing regional states that rose and fell with some regularity. Of course Shihuangdi's much harsher Legalist policies were also unsuccessful, at least in maintaining his dynasty, which lasted a mere fifteen years.

- How might this outcome affect your assessment of Ashoka?
- What does this suggest about the relationship between political philosophies and the success or longevity of political systems?

ASHOKA

The Rock Edicts

ca. 268–232 B.C.E.

Beloved-of-the-Gods, King Piyadasi, conquered the Kalingas eight years after his coronation. One hundred and fifty thousand were deported, one hundred thousand were killed, and many more died [from other causes]. After the Kalingas had been conquered, Beloved-of-the-Gods came to feel a strong inclination towards the Dhamma, a love for the Dhamma and for instruction in Dhamma. Now Beloved-of-the-Gods feels deep remorse for having conquered the Kalingas...

Now Beloved-of-the-Gods thinks that even those who do wrong should be forgiven where forgiveness is possible.

Even the forest people, who live in Beloved-of-the-Gods' domain, are entreated and reasoned with to act properly. They are told that despite his remorse Beloved-of-the-Gods has the power to punish them if necessary, so that they should be ashamed of their wrong and not be killed. Truly, Beloved-of-the-Gods desires non-injury, restraint, and impartiality to all beings, even where wrong has been done.

Now it is conquest by Dhamma that Beloved-of-the-Gods considers to be the best conquest...

I have had this Dhamma edict written so that my sons and great-grandsons may not consider making new conquests, or that if military conquests are made, that they be done with forbearance and light punishment, or better still, that they consider making conquest by Dhamma only, for that bears fruit in this world and the next. May all their intense devotion be given to this which has a result in this world and the next.

1. Here (in my domain) no living beings are to be slaughtered or offered in sacrifice... Formerly,

in the kitchen of Beloved-of-the-Gods, King Piyadasi, hundreds of thousands of animals were killed every day to make curry. But now with the writing of this Dhamma edict only three creatures, two peacocks and a deer are killed, and the deer not always. And in time, not even these three creatures will be killed.

2... [E]verywhere has Beloved-of-the-Gods... made provision for two types of medical treatment: medical treatment for humans and medical treatment for animals. Wherever medical herbs suitable for humans or animals are not available, I have had them imported and grown... Along roads I have had wells dug and trees planted for the benefit of humans and animals.

3. Everywhere in my domain the [royal officers] shall go on inspection tours every five years for the purpose of Dhamma instruction and also to conduct other business. Respect for mother and father is good, generosity to friends, acquaintances, relatives, Brahmans and ascetics is good, not killing living beings is good, moderation in spending and moderation in saving is good.

4. In the past, for many hundreds of years, killing or harming living beings and improper behavior toward relatives, and improper behavior toward Brahmans and ascetics has increased. But now due to Beloved-of-the-Gods' Dhamma practice, the sound of the drum [for announcing the punishment of criminals] has been replaced by the sound of the Dhamma. The sighting of heavenly cars, auspicious elephants, bodies of fire, and other divine sightings has not happened for many hundreds of years. But now because Beloved-of-the-Gods, King Piyadasi, promotes restraint in the killing and harming of living beings, proper behavior towards relatives, Brahmans and ascetics, and respect for mother, father and elders, such sightings have increased.

5. In the past there were no [officers of the Dhamma] but such officers were appointed by me

Source: *The Edicts of King Ashoka*, translated by Ven S. Dhammika (Kandy, Sri Lanka: Buddhist Publication Society, 1993).

thirteen years after my coronation. Now they work among all religions for the establishment of Dhamma...They work among soldiers, chiefs, Brahmans, householders, the poor, the aged and those devoted to Dhamma—for their welfare and happiness—so that they may be free from harassment. They...work for the proper treatment of prisoners, towards their unfettering...They are occupied everywhere...

7. Beloved-of-the-Gods, King Piyadasi, desires that all religions should reside everywhere, for all of them desire self-control and purity of heart.

8. In the past kings used to go out on pleasure tours during which there was hunting and other entertainment. But ten years after Beloved-of-the-Gods had been coronated, he went on a tour to

Sambodhi^o and thus instituted Dhamma tours. During these tours, the following things took place: visits and gifts to Brahmans and ascetics, visits and gifts of gold to the aged, visits to people in the countryside, instructing them in Dhamma...

12. Beloved-of-the-Gods, King Piyadasi, honors both ascetics and the householders of all religions, and he honors them with gifts and honors of various kinds...Whoever praises his own religion, due to excessive devotion, and condemns others with the thought “Let me glorify my own religion,” only harms his own religion. Therefore contact [between religions] is good. One should listen to and respect the doctrines professed by others.

^o**Sambodhi:** the site of the Buddha’s enlightenment.

Using the Evidence: Political Authority in Classical Civilizations

1. **Making comparisons:** How would you describe the range of political thinking and practice expressed in these documents? What, if any, common elements do these writings share? Another approach to such a comparison is to take the ideas of one writer and ask how they might be viewed by several of the others. For example, how might Pericles, Aristides, and Han Fei have responded to Ashoka?
2. **Considering variation within civilizations:** You will notice that none of these civilizations practiced a single philosophy of government. Athens was governed very differently from Sparta, the practices of the Roman Empire differed substantially from those of the Republic, Legalism and Confucianism represented alternative approaches to Chinese political life, and Ashoka’s ideas broke sharply with prevailing practice of Indian rulers. How can you account for these internal differences? How might you imagine an internal dialogue between each of these writers and their likely domestic critics?
3. **Comparing ancient and modern politics:** What enduring issues of political life do these documents raise? What elements of political thinking and practice during the classical era differ most sharply from those of the modern world of the last century or two? What are the points of similarity?

4. **Distinguishing “power” and “authority”:** Some scholars have made a distinction between “power,” the ability of rulers to coerce their subjects into some required behavior, and “authority,” the ability of those rulers to persuade their subjects to obey voluntarily by convincing them that it is proper, right, or natural to do so. What appeals to “power” and “authority” can you find in these documents? How does the balance between them differ among these documents?
5. **Noticing point of view:** From what position and with what motivation did these writers compose their documents? How did this affect what they had to say?

Visual Sources

Considering the Evidence: Qin Shihuangdi and China's Eternal Empire



In the vast saga of empire building in world history, few rulers have surpassed China's so-called First Emperor, Qin Shihuangdi (reigned 221–210 B.C.E.), in terms of imperial ambition. During his life, Shihuangdi forcefully and violently brought unity to the warring states of China with policies that were as brutal as they were effective (see pp. 158–60). That achievement gained him the respect of many Chinese in the centuries that followed. No less a figure than Mao Zedong, the twentieth-century communist revolutionary, proudly compared himself to the First Emperor. But Shihuangdi was widely hated in his own time and subject to numerous attempts at assassination, while Confucian scholars in the centuries that followed his death were also highly critical of his brutal methods of governing China.

No artistic images of Shihuangdi survive from the time of his reign, but he was the subject of many paintings in later centuries. Visual Source 4.1, dating from the eighteenth century, depicts a famous scene from his reign, when he allegedly ordered the burning of books critical of his policies and the execution of respected Confucian scholars by burying hundreds of them alive.

- What signs of imperial authority are apparent in the painting?
- What impression of the First Emperor does this painting convey? Do you think the artist sought to celebrate or criticize Shihuangdi?
- What accusations against Shihuangdi might arise from the action depicted at the bottom of Visual Source 4.1?

However his reign may have been evaluated, Shihuangdi's conception of the empire he created was grand indeed. It was to be a universal or cosmic empire. In tours throughout his vast realm, he offered sacrifices to the various spirits, bringing them, as well as the rival kingdoms of China, into a state of unity and harmony. One of the inscriptions he left behind suggested the scope of his reign: "He universally promulgated the shining laws, gave warp and woof to all under heaven."¹⁶ Shihuangdi saw himself in the line of ancient sage kings, who had originally given order to the world.

In Shihuangdi's thinking, that empire was not only universal, encompassing the entire world known to him, but also eternal. The emperor vigorously pursued personal immortality, seeking out pills, herbs, and potions



坑儒焚書

Visual Source 4.1 An Eighteenth-Century Representation of Qin Shihuangdi (Bibliothèque nationale de France/The Art Archive)

believed to convey eternal life and sending expeditions to the mythical Isles of the Immortals, thought to lie off the east coast of China. But the most spectacular expression of the eternal character of his empire lay in a vast tomb complex constructed during his lifetime near the modern city of Xian (see Map 4.5, p. 159).

In early 1974, some Chinese peasants digging a well stumbled across a small corner of that complex, leading to what has become perhaps the most celebrated archeological discovery of the twentieth century. In subsequent and continuing excavations, archeologists have uncovered thousands of life-size ceramic statues of soldiers of various ranks, arrayed for battle and equipped with real weapons. Other statues portrayed officials, acrobats, musicians, wrestlers, horses, bronze chariots, birds, and more—all designed to accompany Shihuangdi into the afterlife.

This amazing discovery, however, was only a very small part of an immense tomb complex covering some fifty-six square kilometers and centered on the still-unexcavated burial mound of Shihuangdi. Begun in 246 B.C.E. and still incomplete when Shihuangdi died in 210 B.C.E., the construction of this gigantic complex was described by the great Chinese historian Sima Qian about a century later:

As soon as the First Emperor became king of Qin, excavations and building had been started at Mount Li, while after he won the empire, more than 700,000 conscripts from all parts of the country worked there. They dug through three subterranean streams and poured molten copper for the outer coffin, and the tomb was filled with . . . palaces, pavilions, and offices as well as fine vessels, precious stones, and rarities. Artisans were ordered to fix up crossbows so that any thief breaking in would be shot. All the country's streams, the Yellow River and the Yangtze were reproduced in quicksilver [mercury] and by some mechanical means made to flow into a miniature ocean. The heavenly constellations were above and the regions of the earth below. The candles were made of whale oil to insure the burning for the longest possible time.¹⁷

Buried with Shihuangdi were many of the workers who had died or were killed during construction as well as sacrificed aristocrats and concubines.

This massive project was no mere monument to a deceased ruler. In a culture that believed the living and the dead formed a single community, Shihuangdi's tomb complex was a parallel society, complete with walls, palaces, cemeteries, demons, spirits, soldiers, administrators, entertainers, calendars, texts, divination records, and the luxurious objects appropriate to royalty. The tomb mound itself was like a mountain, a geographic feature that in Chinese thinking was home to gods, spirits, and immortals. From this mound, Shihuangdi would rule forever over his vast domain, although invisible to the living.

The visual sources that follow provide a small sample of the terra-cotta army that protected that underground world, as it has emerged from the excavations of the past several decades. The largest pit (Visual Source 4.2) is now covered with a canopy and conveys something of the massive size of this undertaking. Located about a mile east of Shihuangdi's burial mound, this ceramic army, replete with horses and chariots, faced the pass in the mountains from which enemies might be expected. Some six thousand terra-cotta figures have been uncovered and painstakingly pieced together in this pit alone.

- How do you suppose Shihuangdi thought about the function of this “army” in the larger context of his tomb complex?
- What kind of organizational effort would be required to produce such a ceramic army?



Visual Source 4.2 The Terra-Cotta Army of Shihuangdi (Dennis Cox/China Stock)



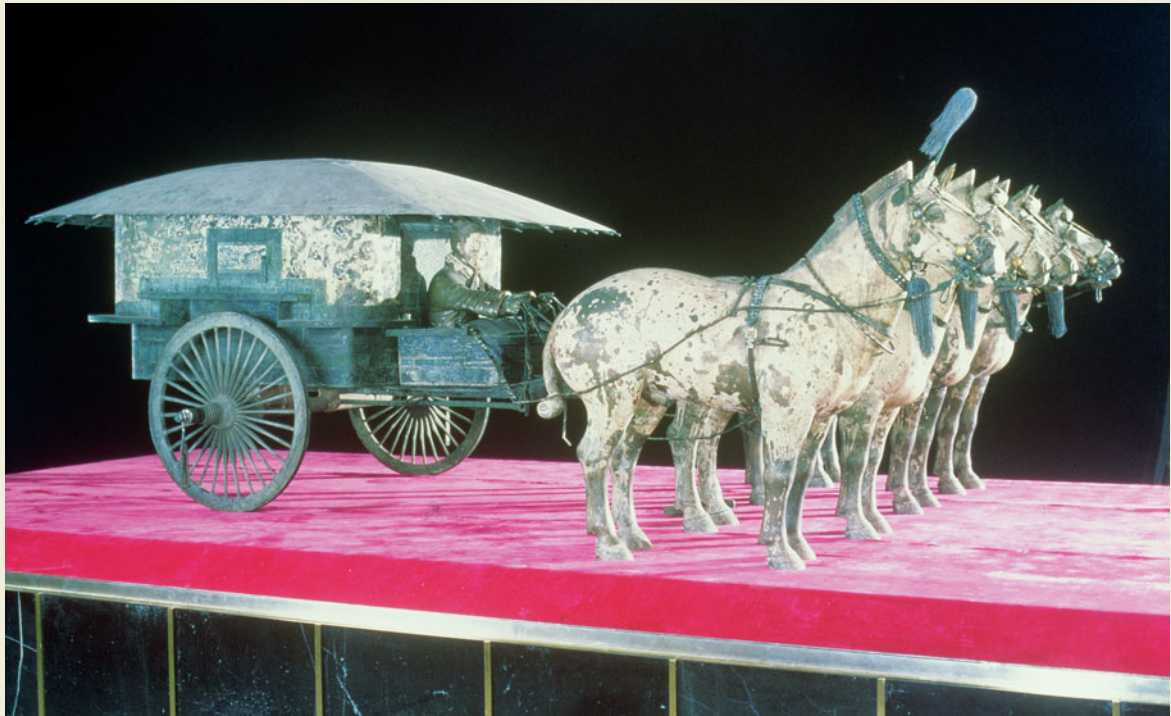
Visual Source 4.3 Terra-Cotta Infantry (Keren Su/China Span/Alamy)

Scholars have long been impressed with the apparent individuality of these terra-cotta figures, and some have argued that they were actually modeled on particular living soldiers. More recent research suggests, however, that they were “an early feat of mass production.”¹⁸ Well-organized workshops produced a limited variety of face shapes, body parts, hairstyles, and uniforms, which were then assembled in various combinations and slightly reworked to convey an impression of individuality. Visual Source 4.3 shows a group of infantrymen, located at the front of the formation, while Visual Source 4.4 represents a kneeling archer.

- What similarities and differences can you identify between the infantrymen and the archer? Which of them do you imagine had a higher status?
- What impressions do their postures and facial expressions convey?
- What details help to convey a highly realistic image of these figures?



Visual Source 4.4 Terra-Cotta Archer (Museum of the Terra Cotta Army, Xian/Visual Connection Archive)



Visual Source 4.5 A Bronze Horse-Drawn Chariot (Private Collection/The Bridgeman Art Library)

Among the most delightful finds in Shihuangdi's funerary complex were two exquisitely detailed bronze carriages, each portrayed as half-sized models and pulled by four horses. Coachmen with swords provided protection on both sides. Some seven kilograms of gold and silver served to decorate the carriage and horses, which consisted of more than 3,000 separate pieces. These finds, however, were not part of the terra-cotta army and its military machine. Rather, they were found some distance away, quite close to the actual burial place of the emperor. Visual Source 4.5 shows the larger of the two carriages and features a team of horses, a driver, three windows, and a rear door. The compartment is decorated inside and out with geometric and cloud patterns, while the round roof, perhaps, represents the sun, the sky, or the heavens above.

- Scholars differ as to the precise purpose of this carriage. Perhaps it was intended to allow the emperor to tour his realm in the afterlife much as he had done while alive. Or did it serve a one-time purpose to transport the emperor's soul into the afterlife? What line of reasoning might support either of these interpretations?
- The carriages were found deliberately buried in a wooden coffin and facing west. What significance might you attach to these facts?

Using the Evidence: Qin Shihuangdi and China's Eternal Empire

1. **Describing Shihuangdi:** Based on these visual sources and what you have learned about Shihuangdi's tomb complex, how would you characterize him as a ruler and as a man? In what ways did his reign reflect the views of Han Fei in Document 4.3?
2. **Evaluating Shihuangdi:** What aspects of Shihuangdi's reign might have provoked praise or criticism both during his life and later?
3. **Making comparisons:** In what ways were Shihuangdi's reign and his funerary arrangements unique, and in what respects did they fit into a larger pattern of other early rulers? Consider him in relationship to Egyptian pharaohs, Persian rulers, Alexander the Great, Augustus, or Ashoka.