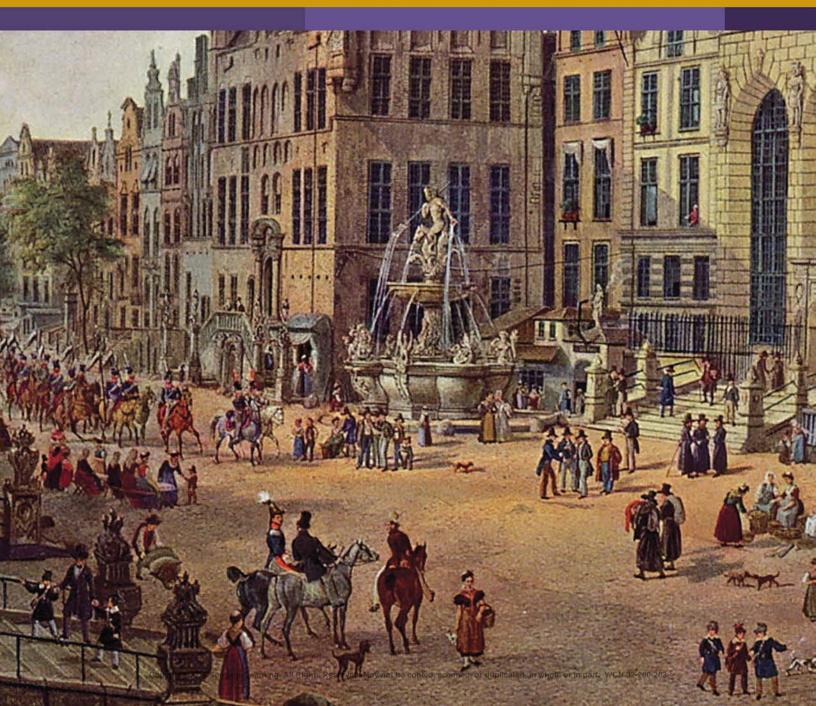
# NINTH EDITION

# WILLIAM J. DUIKER • JACKSON J. SPIELVOGEL





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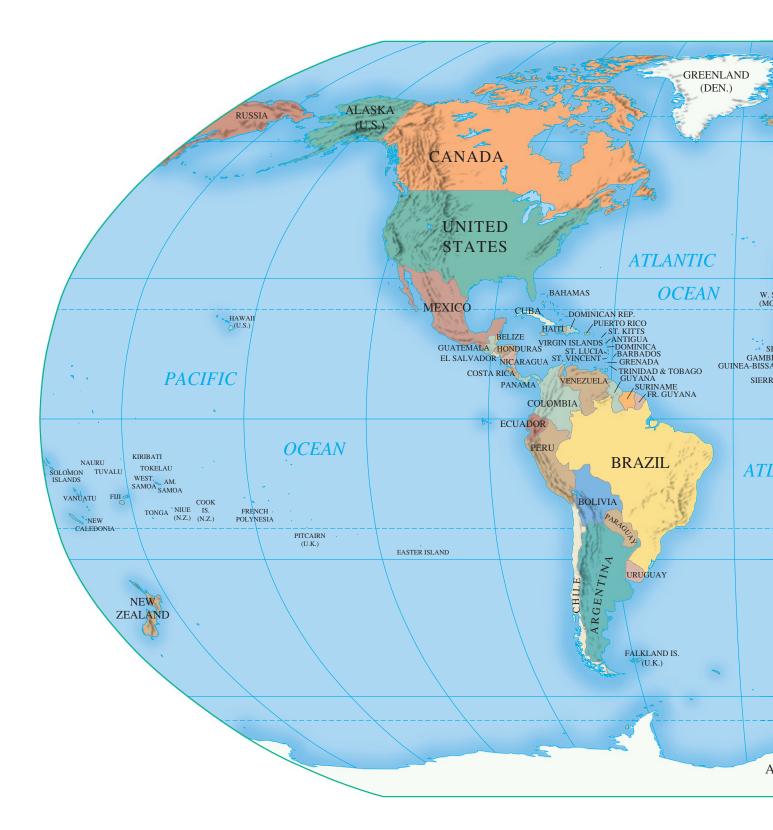
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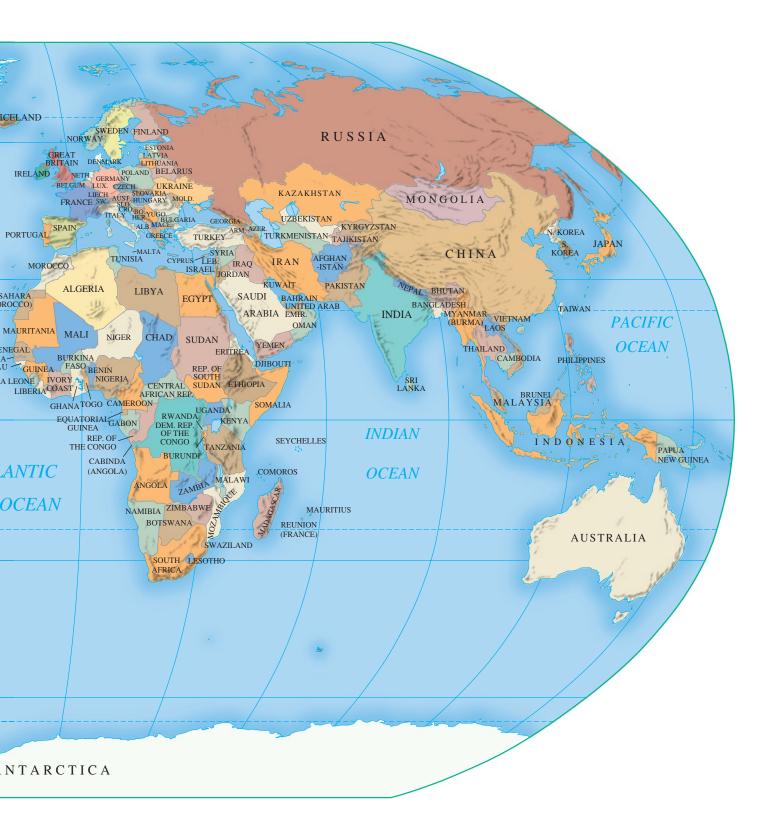


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Library of Congress Control Number: 2017955521

Student Edition: ISBN: 978-1-337-40104-3

Loose-leaf Edition: ISBN: 978-1-337-40127-2

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Printed in the United States of America Print Number: 01 Print Year: 2017

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> TO YVONNE, FOR ADDING SPARKLE TO THIS BOOK AND TO MY LIFE W.J.D.

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> TO DIANE, WHOSE LOVE AND SUPPORT MADE IT ALL POSSIBLE

J.J.S.

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# PREFACE

For several million years after primates first appeared on the surface of the earth, human beings lived in small communities, seeking to survive by hunting, fishing, and foraging in a frequently hostile environment. Then suddenly, in the space of a few thousand years, there was an abrupt change of direction as humans in a few widely scattered areas of the globe began to congregate in larger communities. A key reason for this development was their new mastery of the art of cultivating food crops. As food production increased, the population in those areas rose correspondingly, and settled communities began to proliferate in arable parts of the world. Governments arose to provide protection and other needed services to the local population. Cities appeared and became the focal point of cultural and religious development. Historians refer to this process as the beginnings of civilization.

For generations, historians in Europe and the United States pointed to the rise of such civilizations as marking the origins of the modern world. Courses on Western civilization conventionally began with a chapter or two on the emergence of advanced societies in Egypt and Mesopotamia and then proceeded to ancient Greece and the Roman Empire. From Greece and Rome, the road led directly to the rise of modern civilization in the West.

There is nothing inherently wrong with this approach. Important aspects of our world today can indeed be traced back to these early civilizations, and all human beings the world over owe a considerable debt to their achievements. But all too often this interpretation has been used to imply that the course of civilization has been linear, leading directly from the emergence of agricultural societies in ancient Mesopotamia to the rise of advanced industrial societies in Europe and North America. Until recently, most courses on world history taught in the United States routinely focused almost exclusively on the rise of the West, with only a passing glance at other parts of the world, such as Africa, India, and East Asia. The contributions made by those societies to the culture and technology of our own time were often passed over in silence.

Two major reasons have been advanced to justify this approach. Some people have argued that it is more important that young minds understand the roots of their own heritage than that of peoples elsewhere in the world. In many cases, however, the motivation for this Eurocentric approach has been the belief that since the time of Socrates and Aristotle, Western civilization has been the main driving force in the evolution of human society.

Such an interpretation, however, represents a serious distortion of the process. During most of the course of human history, the most advanced civilizations have flourished in East Asia or the Middle East, not in the West. A relatively brief period of European dominance culminated with the era of imperialism in the late nineteenth century, when the political, military, and economic power of the advanced nations of the West spanned the globe. During recent decades, however, that dominance has gradually eroded, partly as a result of changes taking place in Western societies and partly because new centers of development are emerging elsewhere on the globe—notably in Asia, especially with the growing economic strength of China and India.

World history, then, has been a complex process in which many branches of the human community have played an active part, and the dominance of any one area of the world has been a temporary rather than a permanent phenomenon. It will be our purpose in this book to present a balanced picture of this story, with all respect for the richness and diversity of the tapestry of the human experience. Due attention must be paid to the rise of the West, of course, since that has been the most dominant aspect of world history in recent centuries. But the contributions made by other peoples must be given adequate consideration as well, not only in the period prior to 1500, when the major centers of civilization were located in Asia, but also in our own day, where a multipolar picture of development is clearly beginning to emerge.

Anyone who wishes to teach or write about world history must decide whether to present the topic as an integrated whole or as a collection of different cultures. The world that we live in today, of course, is in many respects an increasingly interdependent one in terms of economics as well as culture and communications, a reality that is often expressed by the phrase "global village." The convergence of peoples across the surface of the earth into an integrated world system began in early times and intensified after the rise of capitalism in the early modern era. In recognition of this trend, historians trained in global history, as well as instructors in the growing number of world history courses, have now begun to speak and write of a "global approach" that gives less attention to the study of individual civilizations and focuses instead on the "big picture" or, as the world historian Fernand Braudel termed it, interpreting world history as a river with no banks.

On the whole, this development is to be welcomed as a means of bringing the common elements of the evolution of human society to our attention. But this approach also involves two problems. For the vast majority of their time on earth, human beings have lived in partial or virtually total isolation from each other. Differences in climate, location, and geographic features have created human societies very different from each other in culture and historical experience. Only in relatively recent times (the commonly accepted date has long been the beginning of the age of European exploration at the end of the fifteenth century, but some would now push it back to the era of the Mongol Empire or even earlier) have cultural interchanges

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begun to create a common "world system," in which events taking place in one part of the world are rapidly transmitted throughout the globe, often with momentous consequences. In recent generations, of course, the process of global interdependence has been proceeding even more rapidly. Nevertheless, even now the process is by no means complete, as ethnic and regional differences continue to exist and to shape the course of world history. The tenacity of these differences and sensitivities is reflected not only in the rise of internecine conflicts in such divergent areas as Africa, India, the Middle East, and eastern Europe but also in the emergence in recent years of such regional organizations as the African Union, the Association for the Southeast Asian Nations, and the European Union. To look at the forest does not mean we should ignore the individual trees living therein.

The second problem is a practical one. College students today often are not well informed about the distinctive character of civilizations such as China and India and, without sufficient exposure to the historical evolution of such societies, will assume all too readily that the peoples in these countries have had historical experiences similar to ours and will respond to various stimuli in a similar fashion to those living in western Europe or the United States. If it is a mistake to ignore those forces that link us together, it is equally a mistake to underestimate those factors that continue to divide us and to differentiate us into a world of diverse peoples.

Our response to this challenge has been to adopt a global approach to world history while at the same time attempting to do justice to the distinctive character and development of individual civilizations and regions of the world. The presentation of individual cultures is especially important in Parts I and II, which cover a time when it is generally agreed that the process of global integration was not yet far advanced. Later chapters adopt a more comparative and thematic approach, in deference to the greater number of connections that have been established among the world's peoples since the fifteenth and sixteenth centuries. Part V consists of a series of chapters that center on individual regions of the world while at the same time focusing on common problems related to the Cold War and the rise of global problems such as overproduction and environmental pollution.

We have sought balance in another way as well. Many textbooks tend to simplify the content of history courses by emphasizing an intellectual or political perspective or, most recently, a social perspective, often at the expense of sufficient details in a chronological framework. This approach is confusing to students whose high school social studies programs have often neglected a systematic study of world history. We have attempted to write a well-balanced work in which political, economic, social, religious, intellectual, cultural, and military history are integrated into a chronologically ordered synthesis.

### FEATURES OF THE TEXT

**Primary Sources** To enliven the past and let readers see for themselves the materials that historians use to create their pictures of the past, we have included **primary sources** (boxed

documents) in each chapter that are keyed to the seven major themes of world history and relate to the surrounding discussion in the text. The documents include examples of the religious, artistic, intellectual, social, economic, and political aspects of life in different societies and reveal in a vivid fashion what civilization meant to the individual men and women who shaped it by their actions. A question at the end of each box helps to guide students in analyzing the documents. The Opposing Viewpoints feature (see full description later in the Preface) provides additional primary source materials.

**Introduction and Conclusion** Each chapter includes a lengthy **introduction and conclusion** to help maintain the continuity of the narrative and to provide a synthesis of important themes. Anecdotes in the chapter introductions dramatically convey the major theme or themes of each chapter.

**Timeline and Chronology Features** A **timeline** at the end of each chapter enables students to see the major developments of an era at a glance and within cross-cultural categories, while the more **detailed chronologies** interspersed within the narrative reinforce the events discussed in the text.

Maps and Illustrations Updated maps and extensive illustrations serve to deepen the reader's understanding of the text. Map captions are designed to enrich students' awareness of the importance of geography to history, and numerous spot maps enable students to see at a glance the region or subject being discussed in the text. Map captions also include a question to guide students' reading of the map. To facilitate understanding of cultural movements, illustrations of artistic works discussed in the text are placed near the discussions.

Chapter Opener Materials Chapter outlines and focus questions, including Critical Thinking and new Connections to Today questions, at the beginning of each chapter give students a useful overview and guide them to the main subjects of each chapter. The focus questions are then repeated at the beginning of each major section in the chapter.

**Glossary and Guide to Pronunciation** A **glossary of important terms** (boldfaced in the text when they are introduced and defined) is provided at the back of the book to maximize reader comprehension. A **guide to pronunciation** is now provided in parentheses in the text, following the first mention of a complex name or term.

**Comparative Essays and Comparative Illustrations** Keyed to the seven major themes of world history (see p. xxxiii), **Comparative Essays** enable us to draw more concrete comparisons and contrasts across geographic, cultural, and chronological lines. **Comparative Illustrations**, also keyed to the seven major themes, continue to be a feature in each chapter. Both the Comparative Essays and the Comparative Illustrations conclude with focus questions to help students develop their analytical skills. We hope that the Comparative Essays and the Comparative Essays and the Comparative Illustrations will assist instructors who wish to

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encourage their students to adopt a comparative approach to their understanding of the human experience.

**Film & History** The **Film & History** feature, which appears in many chapters, is now presented in a new, brief format that outlines the major ideas of the film. New features have been added on films such as *Luther, Suffragette, A Passage to India,* and *Bridge of Spies.* 

**Opposing Viewpoints** This feature presents a comparison of two or three primary sources to facilitate student analysis of historical documents. It has been expanded and now appears in almost every chapter. Focus questions are included to help students evaluate the documents.

**End-of-Chapter Tools** These elements provide study aids for class discussion, individual review, and/or further research. The **Chapter Summary** is illustrated with thumbnail images of chapter illustrations and combined with a **Chapter Timeline**. A **Chapter Review**, which includes **Upon Reflection** essay questions and a list of **Key Terms**, assists students in studying the chapter.

### **NEW TO THIS EDITION**

After reexamining the entire book and analyzing the comments and reviews of many colleagues who have found the book to be a useful instrument for introducing their students to world history, we have also made a number of other changes for the ninth edition.

We have continued to strengthen the global framework of the book, but not at the expense of reducing the attention assigned to individual regions of the world. New material has been added to most chapters to help students be aware of similar developments globally, including new comparative sections.

The enthusiastic response to the primary sources (boxed documents) led us to evaluate the content of each document carefully and add new documents throughout the text, including new comparative documents in the **Opposing Viewpoints** feature.

New illustrations were added to every chapter. **Chapter Notes** have now been placed at the end of each chapter.

New **historiographical subsections** (now marked by the heading **Historians Debate**, often in question format), which examine how and why historians differ in their interpretation of specific topics, have also been added. To keep up with the ever-growing body of historical scholarship, new or revised material has been added throughout the book on many topics (see specific notes below).

### CHAPTER-BY-CHAPTER CONTENT REVISIONS

**Chapter 1** New and revised material on possible discovery of new hominids in Indonesia; Neanderthals and modern humans; Lascaux cave; the Hebrew Bible, including the Documentary Hypothesis; the Ten Commandments; Assyrian

society; Assyrian women; new Historians Debate: "Why Did Early Civilizations Develop?"; new document, "The Code of the Assura."

**Chapter 2** New opening vignette on Mohenjo-Daro; revised discussion of the Indus Valley civilization; revised section on Indian religion; revised Comparative Essay on writing and civilization.

**Chapter 3** Revised Comparative Essay on metals; new document, "Love Spurned in Ancient China."

**Chapter 4** New and revised material on Minoan Crete; Mycenaean Greece; the so-called Dark Age in Greece; the *polis*; Greek cultural identity; Greek settlements abroad; role of Persian threat for a growing sense of Greek cultural identity; growing sense of Greek cultural identity due to athletic games; Hellenistic political institutions; new map, "Greece and Its Colonies in the Archaic Age."

**Chapter 5** New material on Aeneas and Romulus and Remus and the legendary founding of Rome; citizenship policy and the Roman army; the Punic Wars; Roman imperialism; comparison of Augustus and Julius Caesar; revolts against Roman rule during the *Pax Romana*; contacts with Han China; Roman women; revolts against Roman rule in Judaea; new Historians Debate: "What Was Romanization?"; new document, "The Daily Life of an Upper-Class Roman."

**Chapter 6** Revised section on stateless societies now under Section 6-3, "Peoples and Societies in Early North America"; added material on Inka civilization; new document, "The Legend of the Feathery Serpent"; revised Comparative Essay on the environment.

**Chapter 7** Revised opening vignette on Mecca and Muhammad; new documents, "Passions of a Sufi Mystic" and "Ibn Khaldun: Islam's Greatest Historian"; new historical interpretation question on the reasons for Islamic expansion.

**Chapter 8** Two new documents, "Fault Line in the Desert" and "The Gold Rush, African Style."

**Chapter 9** Revised section on Hinduism and popular religion; revised section on Southeast Asia; new document, "The Islamic Conquest of India."

**Chapter 10** Added information on China's only female ruler, Empress Wu; revised section on traditional society in China; two new documents, "The Good Life in the High Tang" and "The Saintly Miss Wu."

**Chapter 11** New document, "Life in the Land of Wa"; added information on maritime trade.

**Chapter 12** New material on the Ostrogothic Kingdom of Italy; Arianism; monks as missionaries, particularly St. Patrick; Charlemagne as emperor; peasant women; role of agriculture in the development of trade in the High Middle Ages; Bernard of Clairvaux; Hildegard of Bingen, a female mystic of the twelfth century; the Fourth Crusade; new Historians Debate: "What Was Feudalism?"; new document, "The Miraculous Power of the Sacraments"; new Historians Debate: "What Motivated the Crusaders?"; new material in Historians Debate: "What Were the Effects of the Crusades?"

**Chapter 13** New material on the English use of the longbow; the Great Schism; the Renaissance artist Masaccio; new Historians Debate: "Why Did the Eastern Roman Empire

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(Byzantine Empire) Last a Thousand Years Longer Than the Western Roman Empire?"; new C-section, "The Artist and Social Status," new document, "The Genius of Michelangelo."

Part III opener revised.

**Chapter 14** New document, "For God, Gold, and Glory in the Age of Exploration"; added information on the role of Southeast Asia in maritime trade; more information on the nature of slave trade on the island of Gorée; revised section on the motives for European exploration.

**Chapter 15** New material on the Jesuits; women and witchcraft; the Thirty Years' War; Peter the Great's reforms; new Film & History on *Luther*; new document, "The Destruction of Magdeburg in the Thirty Year's War."

**Chapter 16** Revised and expanded section on Safavid Persia; new documents, "Suleyman the Magnificent" and "A Religion Fit for a King"; revised Comparative Essay on war; new Historical Interpretation question: "The Ottoman Empire: A Civilization in Decline?"

**Chapter 17** New documents, "The Debate over Christianity" and "Last Will and Testament"; New Historical Interpretation question: "The Qing Economy: Ready for Takeoff?"

**Chapter 18** New material on Rococo art; global trade; the consumer revolution; Jamestown; early American religious culture; the Seven Years' War; the American Revolution; Frederick II of Prussia; the Three Estates; French finances; the French clergy; the flight to Varennes; the Reign of Terror; new document, "Frederick the Great and His Father."

**Chapter 19** New material on early railroad transportation; British policies in India; cheap cotton; the Ottoman Empire; the Crimean war; new document, "The Steam Engine and Cotton."

**Chapter 20** New material on Latin America; the United States; team sports; Courbet; Impressionism; Mary Cassatt; Japanese influence in the arts; arts and culture; new Film & History, *Suffragette*.

**Chapter 21** Revised opening vignette on Cecil Rhodes; new Film & History, *A Passage to India*; new Historical Interpretation question: "Imperialism: Drawing up the Balance Sheet"; revised section on colonial policy in Africa.

**Chapter 22** New document, "An Insignificant and Detestable Race"; added information on Empress Dowager Cixi; new section on Historians Debate: "Was the October Revolution a Success or a Failure?"

**Chapter 23** New material on the end of the World War I; the social consequences of World War I; the Great Depression; new document, "The Reality of War: The Views of British Poets."

**Chapter 24** New opening vignette on Lenin and the Bolsheviks; new document, "Some Prefer Nettles"; new Historical Interpretation question: "Taisho Democracy: An Aberration?"; amended section on communism in Asia.

**Chapter 25** New material on socialism and the rise of fascism in Italy and Germany; the Enabling Act; economic differences between fascism and communism; the Nazi economy; the Spanish Civil War and technology; resistance movements; naval battles, including Battle of North Atlantic and Battle of Leyte Gulf; Japan and war crimes; new section, "The Impact of Technology." **Chapter 26** Revised opening vignette on Churchill and the Iron Curtain; added information on Soviet takeover of Eastern Europe; new Historical Interpretation question: "Who Started the Cold War?"; new Film & History, *Bridge of Spies* (2015).

**Chapter 27** New document, "One Day in the Life of Ivan Denisovich"; fully revised and updated material on China; revised section on the collapse of the Soviet Union.

**Chapter 28** New material on Germany, Great Britain and Brexit, Poland, Czech Republic, and Russia; French politics; France and immigration; France and terrorism; the European Union; Canada; Cuba, Chile, Argentina, Brazil, and Mexico; women's rights; technology; religion; new C-head, "Obama Administration"; new C- head, "The March of Women"; new C-head, "Terrorism as a Global War"; new C-head, "Migration Crises"; new C-head, "Nativism and the Politics of Fear"; new C-head, "Art in the Contemporary World."

**Chapter 29** New document on the OAU; new Historical Interpretation question: "What Is the Future of Africa?"; fully updated material on Africa; fully revised and updated material on Middle East; revised Comparative Essay on religion and society.

**Chapter 30** New document, "The Golden Throat of President Sukarno"; revised section on communalism in India; new Historical Interpretation question on Japan; fully revised and updated material on South and Southeast Asia; revised sections on Korea and Taiwan.

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### ACKNOWLEDGMENTS

BOTH AUTHORS GRATEFULLY ACKNOWLEDGE that without the generosity of many others, this project could not have been completed.

William Duiker would like to thank Kumkum Chatterjee and On-cho Ng for their helpful comments about issues related to the history of India and premodern China. His longtime colleague Cyril Griffith, now deceased, was a cherished friend

and a constant source of information about modern Africa. Art Goldschmidt has been of invaluable assistance in reading several chapters of the manuscript, as well as in unraveling many of the mysteries of Middle Eastern civilization. He has benefited from comments by Charles Ingrao on Spanish policies in Latin America, and from Tony Hopkins and Dan Baugh on British imperial policy. Dale Peterson has been an unending source of useful news items. He would like to thank Ian Bell, Carol C. Coffin, his daughter Claire L. Duiker, and Ruth Petzold for permission to use their photographs in the book. Finally, he remains profoundly grateful to his wife, Yvonne V. Duiker, Ph.D. She has not only given her usual measure of love and support when this appeared to be an insuperable task, but she has also contributed her own time and expertise to enrich the sections on art and literature, thereby adding life and sparkle to this edition, as well as the earlier editions, of the book. To her, and to his daughters Laura and Claire, he will be forever thankful for bringing joy to his life.

Jackson Spielvogel would like to thank Art Goldschmidt, David Redles, and Christine Colin for their time and ideas. Daniel Haxall of Kutztown University provided valuable assistance with materials on postwar art, popular culture, Postmodern art and thought, and the digital age. He is especially grateful to Kathryn Spielvogel for her work as editorial associate. Above all, he thanks his family for their support. The gifts of love, laughter, and patience from his daughters, Jennifer and Kathryn; his sons, Eric and Christian; his daughters-in-law, Liz and Laurie; and his sons-in-law, Daniel and Eddie, were especially valuable. He also wishes to acknowledge his grandchildren, Devyn, Bryn, Drew, Elena, Sean, Emma, and Jackson, who bring great joy to his life. Diane, his wife and best friend, provided him with editorial assistance, wise counsel, and the loving support that made a project of this magnitude possible.

Thanks to Cengage's comprehensive review process, many historians were asked to evaluate our manuscript. We are grateful to the following for the innumerable suggestions that have greatly improved our work:

Najia Aarim, SUNY College at Fredonia; Jacob Abadi, U.S. Air Force Academy; Henry Maurice Abramson, Florida Atlantic University; Wayne Ackerson, Salisbury University; Charles F. Ames Jr., Salem State College; Nancy Anderson, Loyola University; J. Lee Annis, Montgomery College; Monty Armstrong, Cerritos High School; Gloria M. Aronson, Normandale College; Heather Barry, St. Joseph's College; Charlotte Beahan, Murray State University; Doris Bergen, University of Vermont; Martin Berger, Youngstown State University; Deborah Biffton, University of Wisconsin-La Crosse; Charmarie Blaisdell, Northeastern University; Brian Bonhomme, Youngstown State University; Patricia J. Bradley, Auburn University at Montgomery; Matt Brent, Rappahannock Community College; Dewey Browder, Austin Peay State University; Steve Bsharah, Bakersfield College; Nancy Cade, Pikeville College; Antonio Calabria, University of Texas at San Antonio; Alice-Catherine Carls, University of Tennessee-Martin; Harry Carpenter, Western Piedmont Community College; Yuan Ling Chao, Middle Tennessee State University; Mark W. Chavalas, University of Wisconsin; Hugh Clark, Ursinus College; Robert Cliver, Humboldt State University; Joan Coffey, Sam Houston State University; Eleanor A. Congdon, Youngstown State University; Jason P. Coy, College of Charleston; Edward R. Crowther, Adams State College; John Davis, Radford University; Ross Dunn, San Diego State University; Lane Earn,

University of Wisconsin-Oshkosh; Roxanne Easley, Central Washington University; C. T. Evans, Northern Virginia Community College; Edward L. Farmer, University of Minnesota; William W. Farris, University of Tennessee; Nancy Fitch, California State University, Fullerton; Kristine Frederickson, Utah Valley University; Ronald Fritze, Lamar University; Joe Fuhrmann, Murray State University; Robert Gerlich, Loyola University; Marc J. Gilbert, North Georgia College; William J. Gilmore-Lehne, Richard Stockton College of New Jersey; Richard M. Golden, University of North Texas; Candice Goucher, Washington State University—Vancouver; Joseph M. Gowaskie, Rider College; Jonathan Grant, Florida State University; Don Gustafson, Augsburg College; Deanna Haney, Lansing Community College; Jason Hardgrave, University of Southern Indiana; Jay Harmon, Catholic High School; Ed Haynes, Winthrop College; Robert Henry, Grossmont College; Marilynn Jo Hitchens University of Colorado Denver; Tamara L. Hunt, University of Southern Indiana; Charles Keller, Southern Arkansas University; Linda Kerr, University of Alberta at Edmonton; David Koeller, North Park University; Zoltan Kramar, Central Washington University; Douglas Lea, Kutztown University; David Leinweber, Emory University; Thomas T. Lewis, Mount Senario College; Craig A. Lockard, University of Wisconsin-Green Bay; George Longenecker, Norwich University; Norman D. Love, El Paso Community College; Andrew Lowder, Lord Fairfax Community College; Robert Luczak, Vincennes University; Yuxin Ma, University of Louisville; Aran MacKinnon, State University of West Georgia Matthew Maher, Metropolitan State College of Denver; Patrick Manning, Northeastern University; Maxim Matusevich, Seton Hall University; Eric Mayer, Victor Valley College; Dolores Nason McBroome, Humboldt State University; John McDonald, Northern Essex Community College; Andrea McElderry, University of Louisville; Jeff McEwen, Chattanooga State Technical Community College; Margaret McKee, Castilleja High School; Nancy McKnight, Stockton High School; Robert McMichael, Wayland Baptist University; David L. McMullen, University of North Carolina at Charlotte; John A. Mears, Southern Methodist University; Cristina Mehrtens, University of Massachusetts, Dartmouth; David A. Meier, Dickinson State University; Marc A. Meyer, Berry College; Stephen S. Michot, Mississippi County Community College; John Ashby Morton, Benedict College; William H. Mulligan, Murray State University; Henry A. Myers, James Madison University; Marian P. Nelson, University of Nebraska at Omaha; Sandy Norman Florida Atlantic University; Patrick M. O'Neill, Broome Community College; Roger Pauly, University of Central Arkansas; Norman G. Raiford, Greenville Technical College; Jane Rausch, University of Massachusetts-Amherst; Michael Redman, University of Louisville Dianna K. Rhyan, Columbus State Community College; Merle Rife, Indiana University of Pennsylvania; Patrice C. Ross, Columbus State Community College; John Rossi, LaSalle University; Eric C. Rust, Baylor University; Maura M. Ryan, Springbrook High School; Jane Samson, University of Alberta; Keith Sandiford University of Manitoba; Anthony R. Santoro, Christopher Newport University; Elizabeth Sarkinnen, Mount Hood Community College; Pamela Sayre, Henry Ford College; Bill Schell, Murray State University; Linda Scherr, Mercer County Community College; Robert M. Seltzer, Hunter College; Patrick Shan, Grand Valley State University; David Shriver, Cuyahoga Community College; Brett Shufelt, Copiah-Lincoln Community College; David Simonelli, Youngstown State University; Amos E. Simpson, University of Southwestern Louisiana; Wendy Singer, Kenyon College; Christopher Sleeper, MiraCosta College; Marvin Slind, Washington State University; Paul Smith, Washington State University; Matthew Sneider, University of Massachusetts, Dartmouth; John Snetsinger, California Polytechnic State University; George Stow, LaSalle University; John C. Swanson, Utica College of Syracuse; Patrick Tabor, Chemeketa Community College; Anara Tabyshalieva, Marshall University; Tom Taylor, Seattle University; John G. Tuthill, University of

Guam; Salli Vaegis, Georgia Perimeter College; Joanne Van Horn, Fairmont State College; Gilmar Visoni, Queensborough Community College; Peter von Sivers, University of Utah; Michael Walker, Utah Valley University; Christopher J. Ward, Clayton College and State University; Walter Ward, Georgia State University; Pat Weber, University of Texas—El Paso; Lucius Wedge, Walsh University; Douglas L. Wheeler, University of New Hampshire; David L. White, Appalachian State University; Elmira B. Wicker, Southern University—Baton Rouge; Glee Wilson, Kent State University; Jason Wolfe, Cleveland State Community College; Laura Matysek Wood, Tarrant County College; Joseph Yick, Texas State University—San Marcos; Harry Zee, Cumberland County College; and Colleen Shaughnessy Zeena, Salem State University The authors are truly grateful to the people who have helped us to produce this book. We especially want to thank Clark Baxter, whose faith in our ability to do this project was inspiring. Tonya Lobato and Florence Kilgo thoughtfully, wisely, efficiently, and cheerfully guided the overall development of the ninth edition. We also thank Scott Greenan for his suggestions and valuable insights. Carol Newman and Mary Stone were as cooperative and cheerful as they were competent in matters of production management.

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One of the most difficult challenges in studying world history is coming to grips with the multitude of names, words, and phrases in unfamiliar languages. Unfortunately, this problem has no easy solution. We have tried to alleviate the difficulty, where possible, by providing an English-language translation of foreign words or phrases, a glossary, and a pronunciation guide. The issue is especially complicated in the case of Chinese because two separate systems are commonly used to transliterate the spoken Chinese language into the Roman alphabet. The Wade-Giles system, invented in the nineteenth century, was the more frequently used until recent years, when the pinyin system was adopted by the People's Republic of China as its own official form of transliteration. We have opted to use the latter, as it appears to be gaining acceptance in the United States.

In our examination of world history, we also need to be aware of the dating of time. In recording the past, historians try to determine the exact time when events occurred. World War II in Europe, for example, began on September 1, 1939, when Adolf Hitler sent German troops into Poland, and ended on May 7, 1945, when Germany surrendered. By using dates, historians can place events in order and try to determine the development of patterns over periods of time.

If someone asked you when you were born, you would reply with a number, such as 1999. In the United States, we would all accept that number without question because it is part of the dating system followed in the Western world (Europe and the Western Hemisphere). In this system, events are dated by counting backward or forward from the birth of Jesus Christ (assumed to be the year 1). An event that took place 400 years before the birth of Christ would most commonly be dated 400 BC (before Christ). Dates after the birth of Christ are labeled as AD. These letters stand for the Latin words *anno Domini*, which mean "in the year of the Lord" (the year since the birth of Christ). Thus, an event that took place 250 years after the birth of Christ is written AD 250. It can also be written as 250, just as you would not give your birth year as "AD 1999" but simply as "1999." Many historians now prefer to use the abbreviations BCE ("before the common era") and CE ("common era") instead of BC and AD. This is especially true of world historians who prefer to use symbols that are not so Western or Christian oriented. The dates, of course, remain the same. Thus, 1950 BCE and 1950 BC refer to the same year, as do AD 40 and 40 CE. In keeping with the current usage by world historians, this book uses the terms BCE and CE.

Historians also make use of other terms to refer to time. A decade is 10 years, a century is 100 years, and a millennium is 1,000 years. The phrase "fourth century BCE" refers to the fourth period of 100 years counting backward from 1, the assumed date of the birth of Christ. Since the first century BCE would be the years 100 BCE to 1 BCE, the fourth century BCE would be the years 400 BCE to 301 BCE. We could say, then, that an event in 350 BCE took place in the fourth century BCE.

The phrase "fourth century CE" refers to the fourth period of 100 years after the birth of Christ. Since the first period of 100 years would be the years 1 to 100, the fourth period or fourth century would be the years 301 to 400. We could say, then, for example, that an event in 350 took place in the fourth century. Likewise, the first millennium BCE refers to the years 1000 BCE to 1 BCE, and the second millennium CE refers to the years 1001 to 2000.

The dating of events can also vary from people to people. Most people in the Western world use the Western calendar, also known as the Gregorian calendar after Pope Gregory XIII, who refined it in 1582. The Hebrew calendar uses a different system in which the year 1 is the equivalent of the Western year 3760 BCE, once calculated to be the date of the creation of the world, according to the Old Testament. Thus, the Western year 2013 corresponds to the year 5777 on the Jewish calendar. The Islamic calendar begins year 1 on the day Muhammad fled from Mecca, which is the year 622 on the Western calendar.

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# THEMES FOR UNDERSTANDING WORLD HISTORY

As they pursue their craft, historians often organize their material on the basis of themes that enable them to ask and try to answer basic questions about the past. Such is our intention here. In preparing the ninth edition of this book, we have selected several major themes that we believe are especially important in understanding the course of world history. These themes transcend the boundaries of time and space and have relevance to all cultures since the beginning of the human experience.

In the chapters that follow, we will refer to these themes frequently as we advance from the prehistoric era to the present. Where appropriate, we shall make comparisons across cultural boundaries or across different time periods. To facilitate this process, we have included a Comparative Essay in each chapter that focuses on a particular theme within the specific time period discussed in that section of the book. For example, the Comparative Essays in Chapters 1 and 6 deal with the human impact on the natural environment during the premodern era, while those in Chapters 22 and 30 discuss the issue during the age of imperialism and in the contemporary world. Each Comparative Essay is identified with a particular theme, although it should be noted that many essays deal with several themes at the same time.

We have also sought to illustrate these themes through the use of Comparative Illustrations in each chapter. These illustrations are comparative in nature and seek to encourage the reader to think about thematic issues in cross-cultural terms, while not losing sight of the unique characteristics of individual societies. Our seven themes, each divided into two subtopics, are listed below.

**Politics & Government 1. Politics and Government** The study of politics seeks to answer certain basic questions that historians have about the structure of a society: How were people governed? What was the relationship between the ruler and the ruled? What people or groups of people (the political elites) held political power? What actions did people take to guarantee their security or change their form of government?

**2.** Art and Ideas We cannot understand a society without looking at its culture, or the common ideas, beliefs, and patterns of behavior that are passed on from one generation to the next. Culture includes both high culture and popular culture. High culture consists of the writings of a society's thinkers and the works of its artists. A society's popular culture is the world of ideas and experiences of ordinary people. Today, the media have embraced the term

*popular culture* to describe the current trends and fashionable styles.

**Religion & 3.** Religion and Philosophy Throughout history, people have sought to find a deeper meaning in human life. How have the world's great religions, such as Hinduism, Buddhism, Judaism, Christianity, and Islam, influenced people's lives? How have they spread to create new patterns of culture in other parts of the world?

**Family & Society 4.** *Family and Society* The most basic social unit in human society has always been the family. From a study of family and social patterns, we learn about the different social classes that make up a society and their relationships with one another. We also learn about the role of gender in individual societies. What different roles did men and women play in their societies? How and why were those roles different?

**Science & Technology 5. Science and Technology** For thousands of years, people around the world have made scientific discoveries and technological innovations that have changed our world. From the creation of stone tools that made farming easier to advanced computers that guide our airplanes, science and technology have altered how humans have related to their world.

**Earth & Environment 6.** *Earth and the Environment* Throughout history, peoples and societies have been affected by the physical world in which they live. Climatic changes alone have been an important factor in human history. Through their economic activities, peoples and societies, in turn, have also made an impact on their world. Human activities have affected the physical environment and even endangered the very existence of entire societies and species.

**Interaction 7. Interaction and Exchange** Many world historians believe that the exchange of ideas and innovations is the driving force behind the evolution of human societies. Knowledge of agriculture, writing and printing, metalworking, and navigational techniques, for example, spread gradually from one part of the world to other regions and eventually changed the face of the entire globe. The process of cultural and technological exchange took place in various ways, including trade, conquest, and the migration of peoples.

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# WORLD HISTORY

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# PART I

# THE FIRST CIVILIZATIONS AND THE RISE OF EMPIRES (PREHISTORY TO 500 CE)

- 1 Early Humans and the First Civilizations
- 2 Ancient India
- **3** China in Antiquity
- 4 The Civilization of the Greeks
- 5 The Roman World Empire

**FOR HUNDREDS OF THOUSANDS** of years, human beings lived in small groups or villages, seeking to survive by hunting, fishing, and foraging in an often hostile environment. Then, in the space of a few thousand years, an abrupt change occurred as people in a few areas of the globe began to master the art of cultivating food crops. As food production increased, the population in these areas grew, and people began to live in larger communities. Cities appeared and became centers of cultural and religious development. Historians refer to these changes as the beginnings of civilization.

How and why did the first civilizations arise? What role did cross-cultural contacts play in their development? What was the nature of the relationship between these permanent settlements and nonagricultural peoples living elsewhere in the world? Finally, what brought about the demise of these early civilizations, and what legacy did they leave for their successors in the region? The first civilizations that emerged in Mesopotamia, Egypt, India, and China in the fourth and third millennia BCE all shared a number of basic characteristics. Perhaps most important was that each developed in a river valley that was able to provide the agricultural resources needed to maintain a large population.

The emergence of these sedentary societies had a major impact on the social organizations, religious beliefs, and ways of life of the peoples living in them. As population increased and cities sprang up, centralized authority became a necessity. And in the cities, new forms of livelihood arose to satisfy the growing demand for social services and consumer goods. Some people became artisans or merchants, while others became warriors, scholars, or priests. In some cases, the early cities reflected the hierarchical character of the society as a whole, with a central royal palace surrounded by an imposing wall to separate the rulers from the remainder of the urban population.

Although the emergence of the first civilizations led to the formation of cities governed by elites, the vast majority of the population consisted of peasants or slaves working on the lands of the wealthy. In general, the changes affected rural peoples less than their urban counterparts. Farmers continued to live in simple mud-and-thatch huts, and many continued to face legal restrictions on their freedom of action and movement. Slavery was common in virtually all ancient societies.

Within these civilizations, the nature of social organization and relationships also began to change. As the concept of private property spread, people were less likely to live in large kinship groups, and the nuclear family became increasingly prevalent. Gender roles came to be differentiated, with men working in the fields or at various specialized occupations and women remaining in the home. Wives were less likely to be viewed as partners than as possessions under the control of their husbands.

These new civilizations were also the sites of significant religious and cultural developments. All of them gave birth to new religions that sought to explain and even influence the forces of nature. Winning the approval of the gods was deemed crucial to a community's success, and a

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professional class of priests emerged to handle relations with the divine world.

Writing was an important development in the evolution of these new civilizations. Eventually, all of them used writing as both a means of communication and an avenue of creative expression.

From the beginnings of the first civilizations around 3000 BCE, the trend was toward the creation of larger territorial states with more sophisticated systems of control. This process reached a high point in the first millennium BCE. Between 1000 and 500 BCE, the Assyrians and Persians amassed empires that encompassed large areas of the Middle East. The conquests of Alexander the Great in the fourth century BCE created an even larger, if short-lived, empire that soon divided into four kingdoms. Later, the western portion of these kingdoms, along with the Mediterranean world and much of western Europe, fell subject to the mighty empire of the Romans. At the same time, much of India became part of the Mauryan Empire. Finally, in the last few centuries BCE, the Qin and Han dynasties of China governed a unified Chinese empire.

At first, these new civilizations had relatively little contact with peoples in the surrounding regions. But regional trade had started to take hold in the Middle East, and probably in southern and eastern Asia as well, at a very early date. As the population increased, the volume of trade rose with it, and the new civilizations moved outward to acquire new lands and access needed resources. As they expanded, they began to encounter peoples along the periphery of their empires.

Little evidence has survived to know the nature of these first encounters, but it is likely that the results varied according to time and place. In some cases, the growing civilizations found it relatively easy to absorb isolated communities of agricultural or food-gathering peoples that they encountered. Such was the case in southern China and southern India. But in other instances, notably among the nomadic or seminomadic peoples in the central and northeastern parts of Asia, the problem was more complicated and often resulted in bitter and extended conflict.

Over a long period of time, contacts between these nomadic or seminomadic peoples and settled civilizations gradually developed. Often the relationship, at least at the outset, was mutually beneficial, as each needed goods produced by the other. Nomadic peoples in Central Asia also served as an important link for goods and ideas transported over long distances between sedentary civilizations as early as 3000 BCE. Overland trade throughout southwestern Asia was already well established by the third millennium BCE.

Eventually, the relationship between the settled peoples and the nomadic peoples became increasingly tense. Where conflict occurred, the governments of the sedentary civilizations used a variety of techniques to resolve the problem, including negotiations, conquest, or alliance with other pastoral peoples to isolate their primary tormentors.

In the end, these early civilizations collapsed not only as a result of nomadic invasions but also because of their own weaknesses, which made them increasingly vulnerable to attacks along the frontier. Some of their problems were political, and others were related to climatic change or environmental problems.

The fall of the ancient empires did not mark the end of civilization, of course, but rather served as a transition to a new stage of increasing complexity in the evolution of human society.

The First Civilizations and the Rise of Empires (Prehistory to 500 CE)

# EARLY HUMANS AND THE FIRST CIVILIZATIONS

### Chapter Outline and Focus Questions

**CHAPTER** 

- 1–1 The First Humans
- How did the Paleolithic and Neolithic Ages differ, and how did the Neolithic Revolution affect the lives of men and women?

# **1–2** The Emergence of Civilization

What are the characteristics of civilization, and what are some explanations for why early civilizations emerged?

### 1-3 Civilization in Mesopotamia

How are the chief characteristics of civilization evident in ancient Mesopotamia?

### **1-4** Egyptian Civilization: "The Gift of the Nile"

What are the basic features of the three major periods of Egyptian history? What elements of continuity are evident in the three periods? What are their major differences?

### 1-5 New Centers of Civilization

What was the significance of the Indo-Europeans? How did Judaism differ from the religions of Mesopotamia and Egypt?

### 1–6 The Rise of New Empires

What methods and institutions did the Assyrians and Persians use to amass and maintain their respective empires?



Excavation of Warka showing the ruins of Uruk. Nik Wheeler/CORBIS

### **Critical Thinking**

Q In what ways were the civilizations of Mesopotamia and Egypt alike? In what ways were they different? What accounts for the similarities and differences?

### **Connections to Today**



What lessons can you learn from the decline and fall of early civilizations in Mesopotamia, Egypt, Assyria, and Persia, and how do those lessons apply to today's civilizations?

**IN 1849, A DARING YOUNG ENGLISHMAN** made a hazardous journey into the deserts and swamps of southern Iraq. Braving high winds and temperatures that reached 120 degrees Fahrenheit, William Loftus led a small expedition southward along the banks of the Euphrates River in search of the roots of

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civilization. He said, "From our childhood we have been led to regard this place as the cradle of the human race."

Guided by native Arabs into the southernmost reaches of Iraq, Loftus and his small band of explorers were soon overwhelmed by what they saw. He wrote, "I know of nothing more exciting or impressive than the first sight of one of these great piles, looming in solitary grandeur from the surrounding plains and marshes." One of these piles, known to the natives as the mound of Warka, contained the ruins of Uruk, one of the first cities in the world and part of the world's first civilization.

Southern Iraq, known to the ancient Greeks as Mesopotamia, was one of the areas in the world where civilization began. In the fertile valleys of large rivers—the Tigris and Euphrates in Mesopotamia, the Nile in Egypt, the Indus in India, and the Yellow River in China—intensive agriculture became capable of supporting large groups of people. In these regions, civilization was born. The first civilizations emerged in western Asia (now known as the Middle East) and Egypt, where people developed organized societies and created the ideas and institutions that we associate with civilization.

Before considering the early civilizations of western Asia and Egypt, however, we must briefly examine our prehistory and observe how human beings made the shift from hunting and gathering to agricultural communities and ultimately to cities and civilization.

### **1–1 THE FIRST HUMANS**

**Focus Question:** How did the Paleolithic and Neolithic Ages differ, and how did the Neolithic Revolution affect the lives of men and women?

Historians rely mostly on documents to create their pictures of the past, but no written records exist for the prehistory of humankind. In their absence, the story of early humanity depends on archaeological and, more recently, biological information, which anthropologists and archaeologists use to formulate theories about our early past. Although modern science has given us more precise methods for examining prehistory, much of our understanding of early humans still relies on considerable conjecture.

The earliest humanlike creatures—known as **hominids** lived in Africa some 3 to 4 million years ago. Called Australopithecines (aw-stray-loh-PITH-uh-synz), or "southern apemen," by their discoverers, they flourished in eastern and southern Africa and were the first hominids to make simple stone tools. Australopithecines may also have been bipedal—that is, they may have walked upright on two legs, a trait that would have enabled them to move over long distances and make use of their arms and legs for different purposes.

In 1959, Louis and Mary Leakey discovered a new form of hominid in Africa that they labeled *Homo habilis* ("skillful human"). The Leakeys believed that *Homo habilis*, which had a brain almost 50 percent larger than that of the Australopithecines, was the earliest toolmaking hominid. Their larger brains and ability to walk upright allowed these hominids to become more sophisticated in searching for meat, seeds, and nuts for nourishment.

New hominids continue to be found, although considerable controversy can surround them. The belief that a 2003 discovery in Indonesia of a distinct hominid species, known as the "hobbit" because of its small body, is a distinct hominid species has been challenged by other scientists.

A new phase in early human development occurred around 1.5 million years ago with the emergence of *Homo erectus* ("upright human"). A more advanced human form, *Homo erectus* made use of larger and more varied tools and was the first hominid to leave Africa and move into Europe and Asia.

### 1-1a The Emergence of Homo sapiens

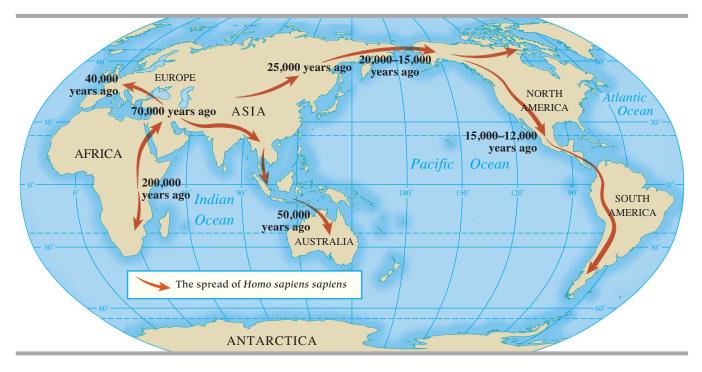
Around 250,000 years ago, a crucial stage in human development began with the emergence of *Homo sapiens* (HOH-moh SAY-pee-unz) ("wise human being"). The first anatomically modern humans, known as *Homo sapiens sapiens* ("wise, wise human being"), appeared in Africa between 200,000 and 150,000 years ago. Recent evidence indicates that they began to spread outside Africa around 70,000 years ago. Map 1.1 shows probable dates for different movements, although many of these are still controversial.

These modern humans, who were our direct ancestors, soon encountered other hominids, such as the Neanderthals, whose remains were first found in the Neander Valley in Germany. Neanderthal remains have since been found in both Europe and western Asia and have been dated to between 200,000 and 30,000 BCE. New genetic evidence has indicated that European, and even more so, East Asian humans interbred with Neanderthals. Neanderthals relied on a variety of stone tools and were the first early people to bury their dead. By 30,000 BCE, *Homo sapiens sapiens* had replaced the Neanderthals, who had largely become extinct.

### **HISTORIANS** DEBATE The Spread of Humans: Out of Africa or Multiregional? The movements of the first

modern humans were rarely sudden or rapid. Groups of people advanced beyond their old hunting grounds at a rate of only 2 to 3 miles per generation. This was enough, however, to populate the world in some tens of thousands of years. Some scholars, who advocate a multiregional theory, have suggested that advanced human creatures may have emerged independently in different parts of the world, rather than in Africa alone. But the latest genetic, archaeological, and climatic evidence strongly supports the out-of-Africa theory as the most likely explanation of human origin. In any case, by 10,000 BCE, members of the *Homo sapiens sapiens* species could be found throughout the

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Map 1.1 The Spread of *Homo sapiens sapiens*. *Homo sapiens sapiens* spread from Africa beginning about 70,000 years ago. Living and traveling in small groups, these anatomically modern humans were hunter-gatherers.

Given that some diffusion of humans occurred during ice ages, how would such climate change affect humans and their movements, especially from Asia to Australia and Asia to North America?

world. By that time, it was the only human species left. All humans today, be they Europeans, Australian Aborigines, or Africans, belong to the same subspecies of human being.

### 1–1b The Hunter-Gatherers of the Paleolithic Age

One of the basic distinguishing features of the human species is the ability to make tools. The earliest tools were made of stone, and so this early period of human history (c. 2,500,000– 10,000 BCE) has been designated the **Paleolithic** Age (*paleolithic* is Greek for "old stone").

For hundreds of thousands of years, humans relied on gathering and hunting for their daily food. Paleolithic peoples had a close relationship with the world around them, and over a period of time, they came to know which plants to eat and which animals to hunt. They did not know how to grow crops or raise animals, however. They gathered wild nuts, berries, fruits, and a variety of wild grains and green plants. Around the world, they captured and consumed various animals, including buffalo, horses, bison, wild goats, reindeer, and fish.

The gathering of wild plants and the hunting of animals no doubt led to certain patterns of living. Archaeologists and anthropologists have speculated that Paleolithic people lived in small bands of twenty to thirty individuals. They were nomadic, moving from place to place to follow animal migrations and vegetation cycles. Hunting depended on careful observation of animal behavior patterns and required a group effort for success. Over the years, tools became more refined and more useful. The invention of the spear and later the bow and arrow made hunting considerably easier. Harpoons and fishhooks made of bone increased the catch of fish.

Both men and women were responsible for finding food—the chief work of Paleolithic people. Since women bore and raised the children, they generally stayed close to the camps, but they played an important role in acquiring food by gathering berries, nuts, and grains. Men hunted for wild animals, an activity that often took them far from camp. Because both men and women played important roles in providing for the band's survival, many scientists believe that a rough equality existed between men and women. Indeed, some speculate that both men and women made the decisions that affected the activities of the Paleolithic band.

Some groups of Paleolithic peoples found shelter in caves, but over time, they also created new types of shelter. Perhaps the most common was a simple structure of wood poles or sticks covered with animal hides. Where wood was scarce, Paleolithic hunter-gatherers might use the bones of mammoths for the framework and cover it with animal hides. The systematic use of fire, which archaeologists believe began around 500,000 years ago, made it possible for the caves and human-made structures to have a source of light and heat. Fire also enabled early humans to cook their food, making it taste better, last longer, and in the case of some plants, such as wild grains, easier to chew and digest.

The making of tools and the use of fire—two important technological innovations of Paleolithic peoples—remind us how crucial the ability to adapt was to human survival. Changing physical conditions during periodic ice ages posed

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a considerable threat to human existence. Paleolithic peoples used their technological innovations to change their physical environment. By working together, they found a way to survive.

But Paleolithic peoples did more than just survive. The cave paintings of large animals found in southwestern France and northern Spain bear witness to the cultural activity of Paleolithic peoples. A cave discovered in southern France in 1994—known as the Chauvet (shoh-VAY) cave after the leader of the expedition that found it—contains more than three hundred paintings of lions, oxen, owls, bears, and other animals. Most of these are animals that Paleolithic people did not hunt, which suggests to some scholars that the paintings were made for religious or even decorative purposes. The discoverers were overwhelmed by what they saw: "There was a moment of ecstasy. . . . They overflowed with joy and emotion in their turn. . . . These were moments of indescribable madness."<sup>1</sup>

### 1–1c The Neolithic Revolution, c. 10,000–4000 BCE

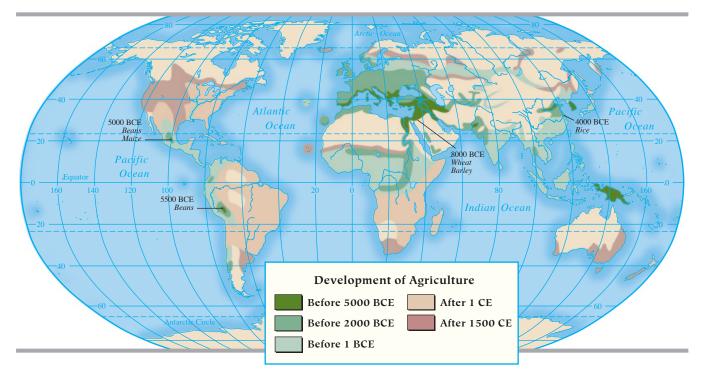
The end of the last ice age around 10,000 BCE was followed by what is called the **Neolithic Revolution**, a significant change in living patterns that occurred in the New Stone Age (*neolithic* is Greek for "new stone"). The name "New Stone Age" is misleading, however. Although Neolithic peoples made a new type of polished stone axes, this was not the most significant change they introduced.

An Agricultural Revolution The biggest change was the shift from gathering plants and hunting animals for sustenance



Paleolithic Cave Painting: The Lascaux Cave. Cave paintings of large animals reveal the cultural creativity of Paleolithic peoples. This scene is part of a large underground chamber found accidentally in 1940 at Lascaux, France, by some boys looking for their dog. This work is dated around 15,000 BCE. To make their paintings, Paleolithic artists used stone lamps that burned animal fat to illuminate the cave walls and mixed powdered mineral ores with animal fat to create red, yellow, and black pigments. Some artists even made brushes out of animal hairs with which to apply the paints.

(food gathering) to producing food by systematic agriculture (food production; see Map 1.2). The planting of grains and vegetables provided a regular supply of food, while the



Map 1.2 The Development of Agriculture. Agriculture first began between 8000 and 5000 BCE in four different parts of the world. It allowed the establishment of permanent settlements where crops could be grown and domesticated animals that produced meat and milk could be easily tended.

What geographic and human factors might explain relationships between latitude and the beginning of agriculture?

*1–1 The First Humans* ■ **7** 

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domestication of animals, such as sheep, goats, cattle, and pigs, added a steady source of meat, milk, and fibers such as wool for clothing. Larger animals could also be used as beasts of burden. The growing of crops and the taming of food-producing animals created a new relationship between humans and nature. Historians like to speak of this as an agricultural revolution. Revolutionary change is dramatic and requires great effort, but the ability to acquire food on a regular basis gave humans greater control over their environment. It enabled them to give up their nomadic ways of life and begin to live in settled communities. The increase in food supplies also led to a noticeable expansion of the population.

The shift from hunting and gathering to food producing was not as sudden as was once believed, however. The **Mesolithic Age** ("Middle Stone Age," c. 10,000–7000 BCE) saw a gradual transition from a food-gathering and hunting economy to a food-producing one and witnessed a gradual domestication of animals as well. Likewise, the movement toward the use of plants and their seeds as an important source of nourishment was not sudden. Moreover, throughout the Neolithic period, hunting and gathering as well as nomadic herding remained ways of life for many people around the world.

Systematic agriculture developed independently in different areas of the world between 8000 and 5000 BCE. Inhabitants of the Middle East began cultivating wheat and barley and domesticating pigs, cattle, goats, and sheep by 8000 BCE. From the Middle East, farming spread into southeastern Europe and, by 4000 BCE, was well established in central Europe and the coastal regions of the Mediterranean. The cultivation of wheat and barley also spread from western Asia into the Nile Valley of Egypt by 6000 BCE and soon moved up the Nile to other areas of Africa, especially Ethiopia. In the woodlands and tropical forests of West Africa, a separate agricultural system

emerged, based on the cultivation of tubers or root crops such as yams. The cultivation of wheat and barley also moved eastward into the highlands of northwestern and central India between 7000 and 5000 BCE. By 5000 BCE, rice was being cultivated in southeastern Asia, and from there it spread into southern China. In northern China, the cultivation of millet and the domestication of pigs and dogs seem well established by 6000 BCE. In the Western Hemisphere, Mesoamericans (inhabitants of present-day Mexico and Central America) domesticated beans, squash, and maize (corn) as well as dogs and fowl between 7000 and 5000 BCE (see Comparative Essay "From Hunter-Gatherers and Herders to Farmers").

**Neolithic Farming Villages** The growing of crops on a regular basis gave rise to more permanent settlements, which historians refer to as Neolithic farming villages or towns. Although Neolithic villages appeared in Europe, India, Egypt, China, and Mesoamerica, the oldest and most extensive ones were located in the Middle East. Jericho, in Canaan near the Dead Sea, was in existence by 8000 BCE and covered several acres by 7000 BCE. It had a wall several feet thick that enclosed houses made of sun-dried mudbricks. Çatal Hüyük (chaht-ul hoo-YOOK), located in modern Turkey, was an even larger

community. Its walls enclosed 32 acres, and its population probably reached six thousand inhabitants during its high point from 6700 to 5700 BCE. People lived in simple mudbrick houses that were built so close to one another that there were few streets. To get to their homes, people would walk along the rooftops and enter the house through a hole in the roof.

Archaeologists have discovered twelve cultivated products in Çatal Hüyük, including fruits, nuts, and three kinds of wheat. People grew their own food and

stored it in storerooms in their homes. Domesticated animals, especially cattle, yielded meat, milk, and hides. Food surpluses also made it possible for people to engage in activities other than farming. Some people became artisans and made weapons and jewelry that were traded with neighboring peoples.

Religious shrines housing figures of gods and goddesses have been found at Çatal Hüyük, as have a number of female statuettes. Molded with noticeably large breasts and buttocks, these "earth mothers" perhaps symbolically represented the fertility of both "our mother" earth and human mothers. The shrines and the statues point to the important role of religious practices in the lives of these Neolithic peoples.

**Consequences of the Neolithic Revolution** The Neolithic agricultural revolution had far-reaching consequences. Once people settled in villages or towns, they built houses for protection and

other structures for the storage of goods. As organized communities stored food and accumulated material goods, they began to engage in trade. In the Middle East, for example, the new communities exchanged such objects as shells, flint, and semiprecious stones. People also began to specialize in certain crafts, and a division of labor developed. Pottery was made from clay and baked in fire to make it hard. The pots were used for cooking and to store grains. Woven baskets were also used for storage. Stone tools became refined as flint blades were used to make sickles and hoes for use in the fields. Obsidian-a volcanic glass that was easily flaked-was also used to create

Statue from Ain Ghazal. This life-size

statue made of plaster, sand, and

archaeological site near Amman,

6500 BCE, it is among the oldest

Although it appears lifelike, its

features are too generic to be a

be known. Erich Lessing/Art Resource, NY

portrait of a particular individual.

The purpose of this sculpture and

the reason for its creation may never

known statues of the human figure.

crushed chalk was discovered

in 1984 at Ain Ghazal, an

Jordan. Dating from around

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# From Hunter-Gatherers and Herders to Farmers

ABOUT TEN THOUSAND YEARS AGO, human Earth & Environment beings began to practice the cultivation of crops and the domestication of animals. The exact time and place that crops were first cultivated successfully is uncertain. The first farmers undoubtedly used simple techniques and still relied primarily on other forms of food production, such as hunting, foraging, and pastoralism (herding). The real breakthrough came when farmers began to cultivate crops along the floodplains of river systems. The advantage was that crops grown in such areas were not as dependent on rainfall and therefore produced a more reliable harvest. An additional benefit was that the sediment carried by the river waters deposited nutrients in the soil, enabling the farmer to cultivate a single plot of land for many years without moving to a new location. Thus, the first truly sedentary societies were born.

The spread of river valley agriculture in various parts of Asia and Africa was the decisive factor in the rise of the first civilizations. The increase in food production in these regions led to a significant growth in population, while efforts to control the flow of water to maximize the irrigation of cultivated areas and to protect the local inhabitants from



**Women's Work.** This rock painting from a cave in modern-day Algeria, dating from around the fourth millennium BCE, shows women harvesting grain.

hostile forces outside the community provoked the first steps toward cooperative activities on a large scale. The need to oversee the entire process brought about the emergence of an elite that was eventually transformed into a government.

We shall investigate this process in the next several chapters as we explore the rise of civilizations in the Middle East, the Mediterranean, South Asia, China, and the Americas. We shall also raise a number of important questions: Why did human communities in some areas that had the capacity to support agriculture not take the leap to farming? Why did other groups that had managed to master the cultivation of crops not take the next step and create large and advanced societies? Finally, what happened to the existing communities of huntergatherers who were overrun or driven out as the agricultural revolution spread throughout the world?

Over the years, a number of possible explanations, some of them biological, others cultural or environmental, have been advanced to answer such questions. According to Jared Diamond, in *Guns, Germs, and Steel: The Fates of Human Societies*, the ultimate causes of such differences lie not within the character or cultural values of the resident population

> but in the nature of the local climate and topography. These influence the degree to which local crops and animals can be put to human use and then be transmitted to adjoining regions. In Mesopotamia, for example, the widespread availability of edible crops, such as wheat and barley, helped promote the transition to agriculture in the region. At the same time, the absence of land barriers between Mesopotamia and its neighbors to the east and west facilitated the rapid spread of agricultural techniques and crops to climatically similar regions in the Indus River Valley and Egypt.



What role did the development of agriculture play in the emergence of civilization?

very sharp tools. In the course of the Neolithic Age, many of the food plants still in use today began to be cultivated. Moreover, vegetable fibers from such plants as flax and cotton were used to make thread that was woven into cloth.

The change to systematic agriculture in the Neolithic Age also had consequences for the relationship between men and women. Men assumed the primary responsibility for working in the fields and herding animals, jobs that kept them away from the home. Women remained behind, grinding grain into flour, caring for the children, weaving cloth, making cheese from milk, and performing other household tasks that required considerable labor. In time, as work outside the home was increasingly perceived as more important than work done in the home, men came to play the more dominant role in human

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