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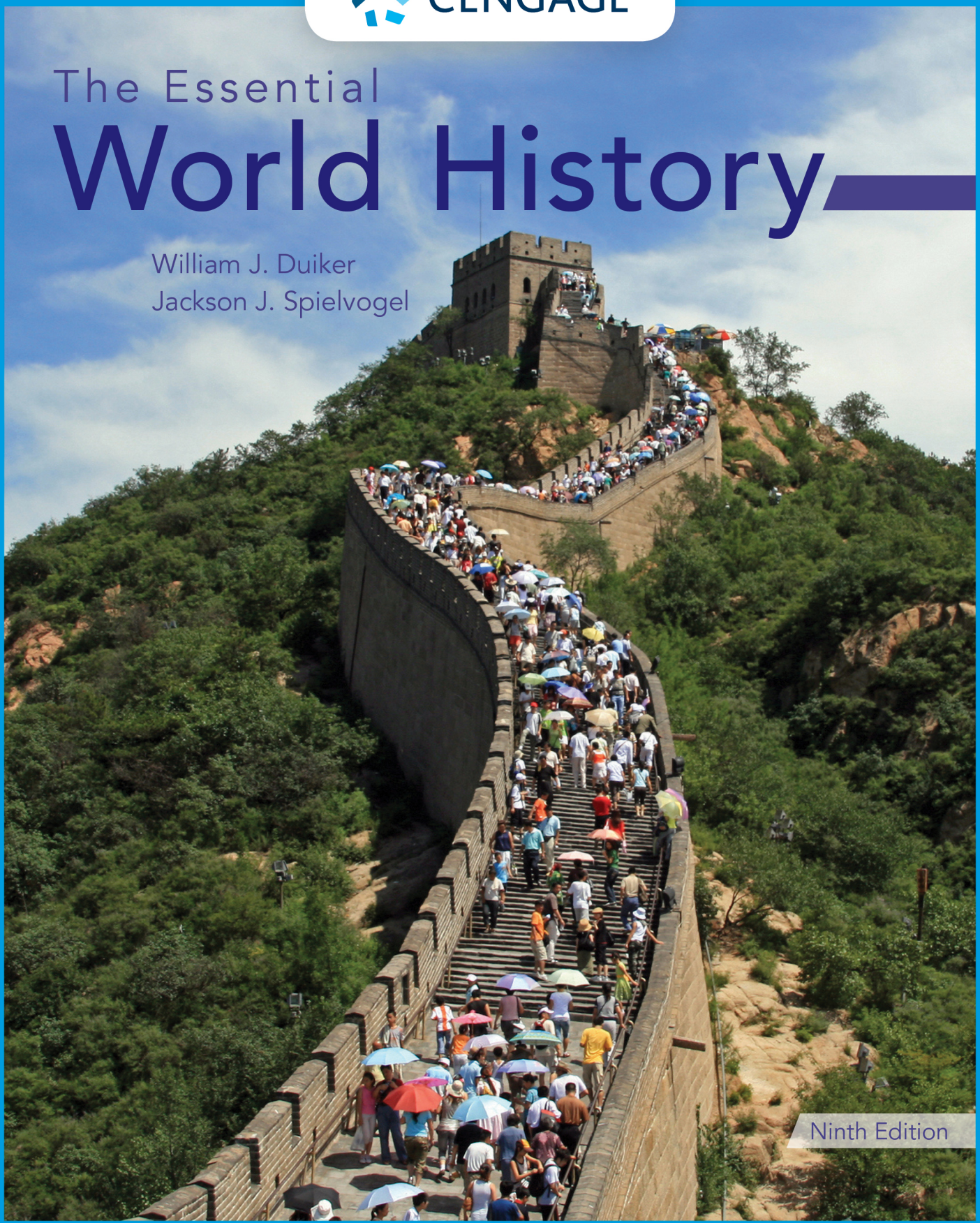
The Essential World History

William J. Duiker
Jackson J. Spielvogel



Ninth Edition

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THE ESSENTIAL WORLD HISTORY

William J. Duiker
The Pennsylvania State University

Jackson J. Spielvogel
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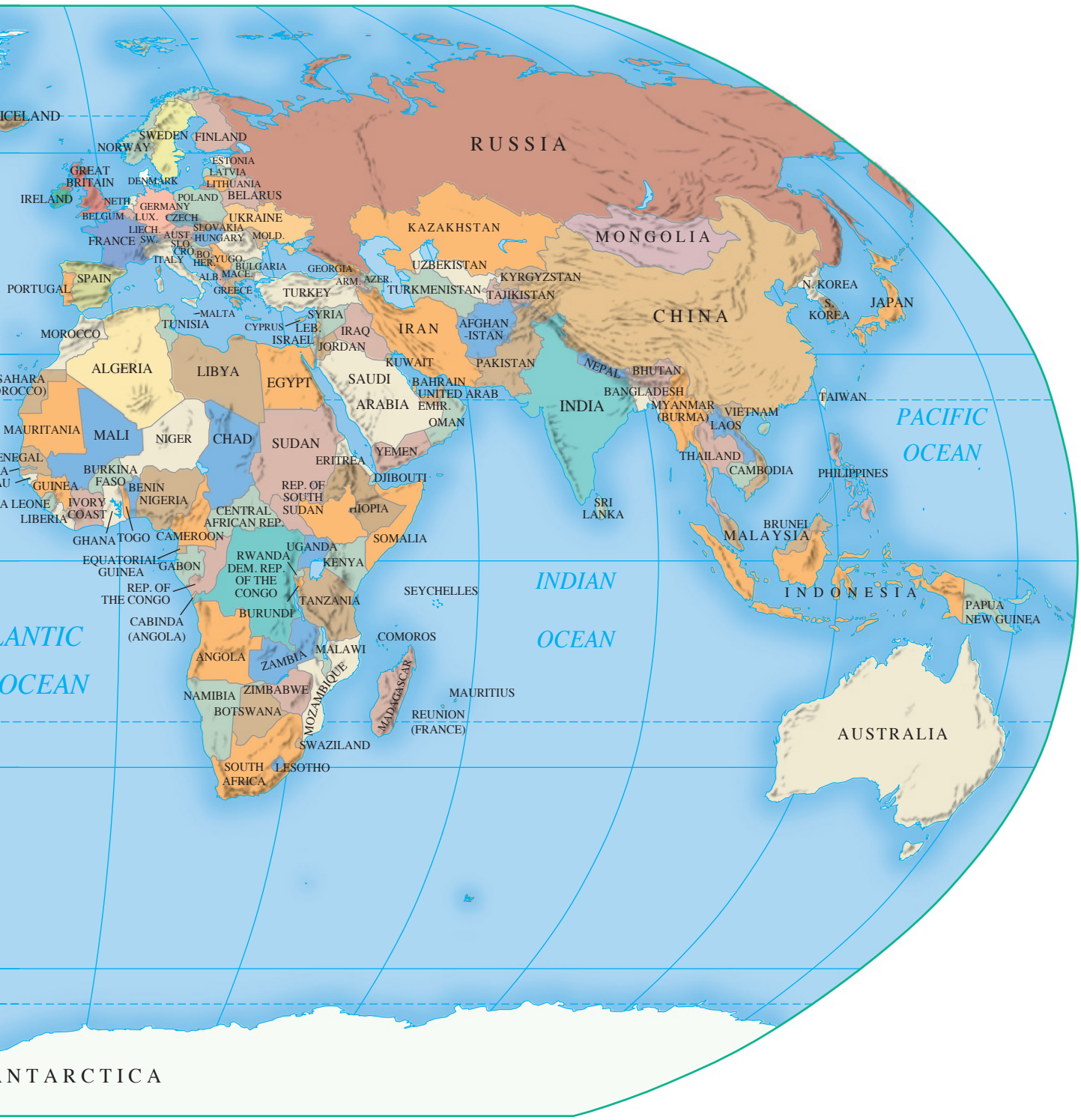
Australia • Brazil • Mexico • Singapore • United Kingdom • United States



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The Essential World History,
Ninth Edition
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Jackson J. Spielvogel

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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.

BRIEF CONTENTS

CONTENTS

MAPS

DOCUMENTS

CHAPTER 16

CHAPTER 17

CHAPTER 18

CHAPTER 19

CHAPTER 20

CHAPTER 21

CHAPTER 22

CHAPTER 23

CHAPTER 24

CHAPTER 25

CHAPTER 26

CHAPTER 27

CHAPTER 28

CHAPTER 29

CHAPTER 30

FEATURES

OPPOSING VIEWPOINTS

COMPARATIVE ESSAY

COMPARATIVE ILLUSTRATION

FILM & HISTORY

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 human beings in a few widely scattered areas of the globe began to master the art of cultivating food crops. As food production increased, the population in those areas rose correspondingly, and people began to gather in larger communities. They formed governments 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 in nature, 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 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 sole 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 been not in the West, but in East Asia or the Middle East. 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 spread over the globe. During recent generations, however, that dominance has gradually eroded, partly as a result of changes taking place within Western societies and partly because new centers of development are emerging elsewhere on the globe—notably in Asia, with the growing economic strength of China and India and many of their neighbors.

World history, then, has been a complex process in which many branches of the human community have taken 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, when a multipolar pattern 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 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 growing 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 turns attention away from 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 vastly 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 further) have cultural interchanges 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, 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.

The second problem is a practical one. College students today are all too often 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 begin to 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 terrorism, climate change, 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 have been integrated into a chronologically ordered synthesis.

FEATURES OF THE TEXT

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 discussion in the text. The documents, appearing in two features called **Historical Voices** and **Opposing Viewpoints**, 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. Questions at the end of each source aid students in analyzing the documents.

Each chapter has a **lengthy introduction** 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. 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** reinforce the events discussed in the text.

Updated maps and extensive illustrations serve to deepen the reader's understanding of the text. **Detailed 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. A **Chapter Outline and Focus Questions**, as well as **Critical Thinking** 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 to reinforce the main themes. A focus

question entitled **Connections to Today** is intended to help students appreciate the relevance of history by asking them to draw connections between the past and present. 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 provided in parentheses in the text following the first mention of a complex name or term.

Comparative Essays, keyed to the seven major themes of world history (see p. xxxviii), enable us to more concretely draw comparisons and contrasts across geographic, cultural, and chronological lines. Some new essays have been added to the ninth edition. **Comparative Illustrations,** also keyed to the seven major themes of world history, 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 illustrations will assist instructors who wish to encourage their students to adopt a comparative approach to their understanding of the human experience. The **Film & History** feature, included in many chapters, now appears in a new, brief format.

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

To help students examine how and why historians differ in their interpretation of specific topics, new historiographical subsections were introduced in the eighth edition. Each of these sections is now preceded by the heading **Historians Debate** to make students more aware of the interpretive nature of history.

End-of-chapter elements, first added in the seventh edition, provide study aids for class discussion, individual review, and/or further research. The **Chapter Summary** is illustrated with thumbnail images of chapter illustrations. **Reflection Questions** and the **Chapter Timeline** aid students in reviewing 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. New illustrations appear in every chapter. A number of the Part I through Part V opening essays have been substantially revised, and questions relating to the issues discussed in these essays have been added in the chapters that follow. 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 features.

To keep up with the ever-growing body of historical scholarship, new or revised material has been added throughout the book on the following topics:

Chapter 1 Possible discovery of new hominids in Indonesia; Neanderthals and modern humans; cave painting; new Historians Debate section, "Why did Early Civilizations Develop?"; the Hebrew Bible, including the Documentary Hypothesis; new illustration and material on the Ten Commandments.

Chapter 2 A new opening vignette focusses on the Indus Valley Civilization; section on Indian religion and the Comparative Essay have been revised; new document "The Duties of a King."

Chapter 3 The comparative essay on metals has been revised; new document "The Mandate of Heaven."

Chapter 4 Minoan Crete; Mycenaean Greece; the so-called "Dark Age" in Greece; the *polis*; Greek cultural identity; Greek settlements abroad; the Persian Wars; role of Persian threat for a growing sense of Greek cultural identity; growing sense of Greek cultural identity due to athletic games; new document feature "The Character of Alexander"; Hellenistic political institutions.

Chapter 5 Aeneas and Romulus and Remus and the legendary founding of Rome; citizenship policy and the Roman army; Roman imperialism; comparison of Augustus and Julius Caesar; revolts against Roman rule during the *Pax Romana*; new Historians Debate section "What was Romanization?"; contacts with Han China; Roman women; revolts against Roman rule in Judaea.

Chapter 6 The section on stateless societies has been revised and repositioned in the chapter; comparative essay on the environment revised; added material on Inka civilization; new document "The Legend of the Feathery Serpent."

Chapter 7 Revised opening vignette on Muhammad; new Historians Debate question on reasons for Islamic expansion; new document "Ibn Khaldun: Islam's Greatest Historian."

Chapter 8 New document "Beware the Troglodytes."

Chapter 9 The section on Indian religion has been substantially revised; new Historians Debate section "The

Indian Economy: Promise Unfulfilled?"; much new material has been added on early statehood in Southeast Asia and the role of the region in the maritime trade network; new document "Education of a Brahmin."

Chapter 10 New material on Empress Wu; revised section on traditional society in China; new document "Confucianism and its Enemies"; section on Admiral Zheng He revised and expanded.

Chapter 11 Revised section on Japanese borrowing from China; added information on Korean technology; two new documents: "Seduction of the Akashi Lady" and "The First Vietnam War."

Chapter 12 Monks as missionaries, particularly St. Patrick; Charlemagne as emperor; new Historians Debate section "What was Feudalism?"; peasant women; role of agriculture in the development of trade in the High Middle Ages; Bernard of Clairvaux; the Fourth Crusade; new material in Historians Debate section "What were the Effects of the Crusades?"

Chapter 13 The Fourth Crusade; new Historians Debate section "Why did the Eastern Roman Empire (Byzantine Empire) Last a Thousand Years Longer Than the Western Roman Empire?"; the English use of the longbow; the Great Schism; new C-head section "The Artist and Social Status"; new document feature "The Genius of Michelangelo."

Chapter 14 Revised introduction; new document "For God, Gold, and Glory in the Age of Exploration." New information on maritime trade in Asia and the motives for European exploration.

Chapter 15 Luther; the Jesuits; women and witchcraft; the Thirty Years' War; new document feature "The Destruction of Magdeburg in the Thirty Year's War."

Chapter 16 New document "A Portrait of Suleyman the Magnificent;" added discussion on Ottoman technology; revised and expanded section on Safavid Persia; revised comparative essay on war; new Historians Debate section "The Ottoman Empire: A Civilization in Decline?"

Chapter 17 New Historians Debate section "The Qing Economy: Ready for Takeoff?" New Opposing Viewpoints document "The Debate over Christianity."

Chapter 18 Women and the Scientific Revolution; Rococo art; global trade; the consumer revolution; new Historians Debate section "Was There an Agricultural Revolution?"; Jamestown; the Seven Years' War; new document feature "Frederick the Great and His Father"; the Three Estates; the French clergy; the Reign of Terror.

Chapter 19 New document feature "The Steam Engine and Cotton"; early railroad transportation; the Industrial Revolution on the Continent; British policies in India.

Chapter 20 Latin America; the United States; new document feature "A Radical Critique of the Land Problem in Mexico"; new Film & History feature, *Suffragette;* Courbet; Impressionism; Mary Cassatt; Japanese influence in the arts.

Chapter 21 Revised opening vignette on Cecil Rhodes; new Film & History vignette *A Passage to India*; revised discussion on colonial policies in Africa; new Historians Debate section "Imperialism: Drawing up the Balance Sheet."

Chapter 22 Two new Historians Debate sections "Was the October Revolution a Success or a Failure?" and "The Meiji Restoration: A Revolution from Above?" New documents "An Insignificant and Detestable Race" and "The Rules of Good Citizenship in Meiji Japan."

Chapter 23 New document "The Reality of War: The Views of British Poets"; life in the trenches; the end of World War I; the Great Depression.

Chapter 24 New opening vignette on Lenin and the East; revised section on the early Nanjing Republic; new Historians Debate section "Taisho Democracy: An Aberration?"; revised 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 Soviet economy; naval battles, including Battle of North Atlantic and Battle of Leyte Gulf; new B-head section "The Impact of Technology"; Japan and war crimes.

Chapter 26 New opening vignette on the rise of the Iron Curtain; new information on the Soviet takeover of Eastern Europe; new Film & History vignette *Bridge of Spies;* new information on the collapse of Soviet power in Eastern Europe; new closing section on "The Revenge of History."

Chapter 27 New document feature "One Day in the Life of Ivan Denisovich"; sections on Eastern Europe moved to Chapter 26; revised section on the collapse of the USSR; substantial updating and revision of material on contemporary China.

Chapter 28 French politics and immigration; France and terrorism; Germany, Great Britain and Brexit, Poland, Czech Republic, and Russia; the European Union; Canada; Argentina and Mexico; the Women's Movement; terrorism; immigration; new document feature "The West and Islam"; the environment; technology; new C-head section on "Art in the Contemporary World."

Chapter 29 New opening vignette on terrorism in West Africa; substantial revisions and updating of contemporary situation in Africa; new document on the OAU; fully revised an updated material on politics, economics, religion, and the recent crisis in the Middle East; new material on the Syrian civil war; revised Comparative Essay "Religion and Society."

Chapter 30 Revised opening vignette; revised section on communalism in India; new document "The Golden Throat of President Sukarno"; current conditions in South Asia, Southeast Asia, Japan, and the Little Tigers substantially revised. New Historians Debate section "The East Asian Miracle: Fact or Myth?"

Epilogue New material on the global economy.

Instructor Resources

MINDTAP MindTap for *The Essential World History* 9e is a flexible, online learning platform that provides students with a relevant and engaging learning experience that builds their critical thinking skills and fosters their argumentation and analysis skills. Through a carefully designed chapter-based learning path, MindTap supports students as they develop historical understanding, improve their reading and writing skills, and practice critical thinking by making connections between ideas.

Students read sections of the ebook and take Check Your Understanding quizzes that test their reading comprehension. They put higher-level critical thinking skills into practice to complete chapter tests. They also use these skills to analyze textual and visual primary sources in each chapter through an autograded image primary source activity and a manually graded short essay in which students write comparatively about multiple primary sources.

Beyond the chapter-level content, students can increase their comfort in analyzing primary sources through thematically-organized primary source autograded activities that span the text. They also practice synthesizing their knowledge and articulating what they have learned through responding to essay prompts that span broader themes in the book.

MindTap also allows instructors to customize their content, providing tools that seamlessly integrate YouTube clips, outside websites, and personal content directly into the learning path. Instructors can assign additional primary source content through the Instructor Resource Center and Questia, primary- and secondary-source databases located on the MindTap app dock that house thousands of peer-reviewed journals, newspapers, magazines, and books.

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Instructor's Companion Website The Instructor's Companion Website, accessed through the Instructor Resource Center (login.cengage.com), houses all of the supplemental materials you can use for your course. This includes a Test Bank, Instructor's Manual, and PowerPoint Lecture Presentations. The Test Bank contains essay, multiple-choice, true-or-false, and historical identification questions for each chapter. The Instructor's Resource Manual includes instructional objectives and focus questions, chapter summaries, suggested lecture topics, map exercises, discussion questions for the primary sources, topics for student research, relevant websites, suggestions for additional videos, and online resources for information on historical sites. Finally, the PowerPoint Lectures are ADA-compliant slides that collate the key takeaways from the chapter in concise visual formats perfect for in-class presentations or for student review.

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THEMES FOR UNDERSTANDING WORLD HISTORY

AS THEY PURSUE THEIR CRAFT, historians often organize their material according to 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. Thinking about these themes will help students to perceive the similarities and differences among 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 covered by that chapter. For example, the comparative essay in Chapter 6 deals with the human impact on the natural environment during the premodern era, while the essay in Chapter 30 discusses the same issue in the contemporary world. Each comparative essay is identified with a particular theme, although many essays touch on multiple themes.

We have sought to illustrate these themes using 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?

Art & Ideas

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 encompasses the ideas and experiences of ordinary people. Today, the media have embraced the term *popular culture* to describe the current trends and fashionable styles.

Religion & Philosophy

3. ***Religion and Philosophy*** Throughout history, people have sought to find a deeper meaning to 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 & Exchange

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.

A NOTE TO STUDENTS ABOUT LANGUAGES AND THE DATING OF TIME

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 in parentheses in the text. 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 most 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 2000. 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 Christ (assumed to be the year 1). An event that took place 400 years before the birth of Christ would commonly be dated 400 B.C. (before Christ). Dates after the birth of Christ are labeled as A.D. These letters stand for the Latin words *anno domini,* which mean "in the year of the Lord" (or the year of the birth of Christ). Thus, an event that took place 250 years after the birth of Christ is written A.D. 250, or in the year of the Lord 250. It can also be written as 250, just as you would not give your birth year as A.D. 2000, but simply as 2000.

Some historians now prefer to use the abbreviations B.C.E. ("before the common era") and C.E. ("common era") instead of B.C. and A.D. 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 B.C.E. and 1950 B.C. are the same year, as are A.D. 40 and 40 C.E. In keeping with the current usage by many world historians, this book will use the terms B.C.E. and C.E.

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 B.C.E." refers to the fourth period of 100 years counting backward from 1, the assumed date of the birth of Christ. Since the first century B.C.E. would be the years 100 B.C.E. to 1 B.C.E., the fourth century B.C.E. would be the years 400 B.C.E. to 301 B.C.E. We could say, then, that an event in 350 B.C.E. took place in the fourth century B.C.E.

The phrase "fourth century C.E." 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 B.C.E. refers to the years 1000 B.C.E. to 1 B.C.E.; the second millennium C.E. 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, on the other hand, uses a different system in which the year 1 is the equivalent of the Western year 3760 B.C.E., considered by Jews to be the date of the creation of the world. Thus, the Western year 2018 is the year 5778 on the Jewish calendar. The Islamic calendar begins year 1 on the day Muhammad fled from Mecca, which is the year 622 C.E. on the Western calendar.

PART I

THE FIRST CIVILIZATIONS AND THE RISE OF EMPIRES (PREHISTORY TO 500 C.E.)

FOR HUNDREDS OF THOUSANDS OF YEARS, human beings lived in small groups or villages, surviving 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 world 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 B.C.E. all shared several basic characteristics. Perhaps most important was that each developed in a river valley that provided the agricultural resources needed to maintain a large population.

The emergence of these sedentary societies had major effects on the social organizations, religious beliefs, and ways of life of the peoples living in them. As populations 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; 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 every ancient society.

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

Erich Lessing/Art Resource, NY

I.1

success, and a 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 a means of communication and as an avenue of creative expression.

From the beginnings of the first civilizations around 3000 B.C.E., 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 B.C.E. Between 1000 and 500 B.C.E., the Assyrians and Persians amassed empires that encompassed large areas of the Middle East. The conquests of Alexander the Great in the fourth century B.C.E. 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 B.C.E., the Qin and Han Dynasties of China created a unified Chinese empire.

At first, these new civilizations had relatively little contact with peoples in the surrounding regions. But evidence is growing that a regional trade had started to take hold in the Middle East, and probably in southern and eastern Asia as well, at an 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 show us the nature of these first encounters, but the results probably varied widely according to time and place. In some cases, the growing civilizations found it relatively easy to absorb the isolated communities of agricultural or food-gathering peoples 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. At least initially, the relationships were mutually beneficial because each needed goods produced by the other. As early as 3000 B.C.E., nomadic peoples in Central Asia also served as an important link for goods and ideas transported over distances between sedentary civilizations. Overland trade throughout southwestern Asia was already well established by the third millennium B.C.E.

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 their problems, including negotiations, conquest, and alliances 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.

CHAPTER 1

EARLY HUMANS AND THE FIRST CIVILIZATIONS

Chapter Outline and Focus Questions

1-1 *The First Humans*

Q 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*

Q What are the characteristics of civilization, and where did the first civilizations emerge?

1-3 *Civilization in Mesopotamia*

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

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

Q 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*

Q 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*

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

Source: Essam Al-Sudani/AFP/Getty Images

1.1 Excavation of Warka Showing the Ruins of Uruk

Critical Thinking

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

Connections to Today

Q *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 civilization. As 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 civilizations.

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 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 civilizations.

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?

The earliest humanlike creatures—known as **hominids**—lived in Africa some 3 million to 4 million years ago. Called *Australopithecines* (aw-stray-loh-PITH-uh-synz), or "southern ape men," 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* ("skilled 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 often surrounds those discoveries. The contention 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.

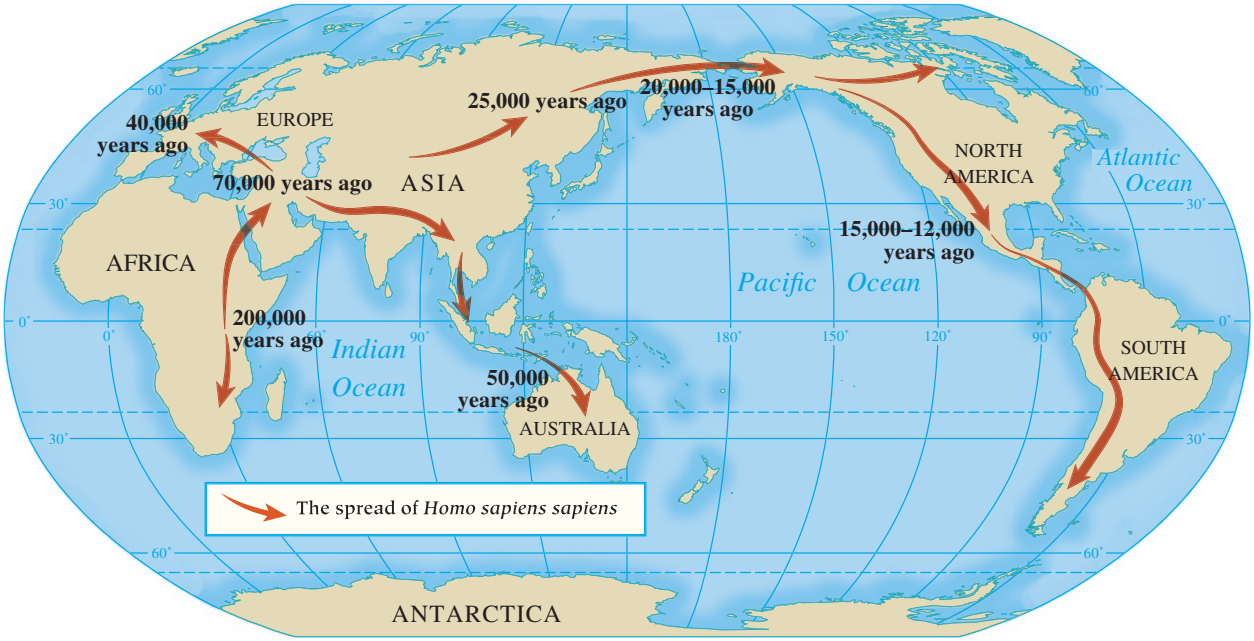
A new phase in early human development occurred around 1.5 million years ago with the emergence of *Homo erectus* ("upright human"). As a more advanced human form, *Homo erectus* made use of larger and more varied tools and was the first hominid to leave Africa and move into Europe and Asia.

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—*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 on p. 6 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 B.C.E. New genetic evidence indicates that European humans interbred with Neanderthals—and East Asian humans even more so. Neanderthals relied on a variety of stone tools and were the first early people to bury their dead. By 30,000 B.C.E., *Homo sapiens sapiens* had replaced the Neanderthals, who had largely become extinct.

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 two to three 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 world rather than in Africa alone. But the latest genetic, archaeological, and climatic evidence strongly supports the out-of-Africa theory as the



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

Q *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?*

most likely explanation of human origin. In any case, by 10,000 B.C.E., members of *Homo sapiens sapiens* could be found throughout the world. By that time, only the human species was left. All humans today—whether 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 (ca. 2,500,000–10,000 B.C.E.) 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 time they came to know which plants to eat and which animals to hunt. 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, reindeer, and fish.

Gathering wild plants and hunting animals no doubt led to certain patterns of living. Paleolithic people probably lived in small bands of twenty or thirty. They were nomadic, moving from place to place to follow animal migrations and vegetation cycles. Over the years, their 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. Because 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.

Some groups of Paleolithic people 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. 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 light and heat. Fire also enabled early humans to cook their food, which made it taste better, last longer, and, in the case of some plants such as wild grain, easier to chew and digest.

The making of tools and the use of fire—two important technological innovations of Paleolithic peoples—remind us how adaptation is crucial to human survival. 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 contains more than 300 paintings of lions, oxen, owls, bears, and other animals. Most of these are animals that Paleolithic people did not hunt, which suggests that the paintings were made for religious or even decorative purposes. 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 to apply their paints.

1-1c The Neolithic Revolution, ca. 10,000–4000 B.C.E.

The end of the last ice age around 10,000 B.C.E. was followed by what is called the **Neolithic Revolution**, a significant change in living patterns that occurred in the New Stone Age. 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.

A Revolution in Agriculture The biggest change was the shift from gathering plants and hunting animals for sustenance (food gathering) to producing food by systematic agriculture (food production). Planting grains and vegetables provided a regular supply of food, whereas the domestication of animals such as sheep, goats, cattle, and pigs added a steady source of meat, milk, and fibers such as wool for clothing. Growing crops and taming food-producing animals created new relationships between humans and nature, something historians have described as an agricultural revolution (see the Comparative Essay "From Hunter-Gatherers and Herders to Farmers," p. 8). 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 and enabled them to give up their nomadic ways of life and live in settled communities. The increase in food supplies also led to a noticeable expansion of the population.

Systematic agriculture developed independently in different areas of the world between 8000 and 5000 B.C.E. Inhabitants of the Middle East began cultivating wheat and barley and domesticating pigs, cattle, goats, and sheep by 8000 B.C.E. From the Middle East, farming spread into southeastern Europe and by 4000 B.C.E. 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 River Valley of Egypt by 6000 B.C.E. and soon spread up the Nile to other areas of Africa. In the woodlands and tropical forests of Central Africa, a separate farming 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 B.C.E. By 5000 B.C.E., rice was being cultivated in Southeast Asia, and from there it spread into southern China. In northern China, the cultivation of millet and the domestication of pigs and dogs seemed well established by 6000 B.C.E. 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 B.C.E.

Consequences of the Neolithic Revolution Growing crops on a regular basis gave rise to more permanent settlements that historians refer to as *Neolithic* farming villages or towns. Although they appeared in Europe, India, Egypt, China, and Mesoamerica, the oldest and most extensive Neolithic villages were in the Middle East. Çatal Hüyük (chaht-ul hoo-YOOK) in modern Turkey had walls that enclosed thirty-two acres, and its population probably reached 6,000 inhabitants during its high point from 6700 to 5700 B.C.E. People lived in simple mud-brick houses that were built so close to one another that there were few streets. To get to their homes, people had to walk along the rooftops and enter their homes through holes in their roofs.

Religious shrines housing figures of gods and goddesses have been found at Çatal Hüyük, as have many 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.

The Neolithic agricultural revolution had far-reaching consequences. Once people settled in villages or towns, they built houses for protection and other structures to store goods. As organized communities stored food and accumulated material goods, they began to engage in trade. People also began to specialize in certain crafts, and a division of labor developed. Pottery was made from clay and baked in a fire to make it hard. The pots were used for cooking and to store grains. Stone tools became more refined as flint blades were used to make sickles and hoes for use in the fields. Vegetable fibers from such plants as flax and cotton were used to make thread that

COMPARATIVE ESSAY

From Hunter-Gatherers and Herders to Farmers

Earth & Environment

Some 10,000 years ago, human beings began to cultivate crops and domesticate animals. 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 more reliable harvests. In addition, sediments carried by river waters deposited nutrients in soils, enabling farmers to cultivate single plots of ground for many years without moving to new locations. Thus, the first truly sedentary (nonmigratory) 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 made possible 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 hostile forces outside the community led to the first 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 Mediterranean, the Middle East, South Asia, China, and the Americas. We shall also raise many important questions: Why did some human communities not take the leap to farming even though they had the capacity to support agriculture? Why did other groups that mastered the cultivation of crops not take the next step and create large and advanced societies? Finally, what happened to the existing communities of hunter-gatherers who were overrun or driven out as the agricultural revolution spread throughout the world?

Over the years, many possible explanations—some biological and others cultural or environmental in nature—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 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 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.

Erich Lessing/Art Resource, NY

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

What role did agriculture play in the emergence of civilization?

was woven into cloth. Many of the food plants consumed today began to be cultivated in the Neolithic Age.

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 clothes, 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 at home, men came to play the more dominant role in society, which gave rise to the practice of **patriarchy** (PAY-tree-ark-ee), or a society dominated by men, a basic pattern that has persisted to our own times.

Other patterns set in the Neolithic Age also proved to be enduring elements of human history. Fixed dwellings, domesticated animals, regular farming, a division of labor, men holding power—all of these are part of the human story. For all of our scientific and technological progress, human survival still depends on growing and storing food, an accomplishment of people in the Neolithic Age. The Neolithic Revolution was truly a turning point in human history.

Between 4000 and 3000 B.C.E., significant technical developments began to transform Neolithic towns. The invention of writing enabled records to be kept, and the use of metals marked a new level of human control over the environment and its resources. Already before 4000 B.C.E., artisans had discovered that metal-bearing rocks could be heated to liquefy metals that could then be cast in molds to produce tools and weapons that were more useful than stone instruments. Although copper was the first metal to be used for producing tools, after 4000 B.C.E. metalworkers in western Asia discovered that combining copper and tin formed bronze, a much harder and more durable metal than copper alone. Its widespread use has led historians to speak of the Bronze Age from around 3000 to 1200 B.C.E.; thereafter, bronze was increasingly replaced by iron.

At first, Neolithic settlements were hardly more than villages, but as their inhabitants mastered the art of farming, more complex human societies gradually emerged. As wealth increased, these societies began to develop armies and wall off their cities for protection. By the beginning of the Bronze Age, the concentration of larger numbers of people in river valleys was leading to a whole new pattern for human life.

Erich Lessing/Art Resource, NY

1.3 Statue from Ain Ghazal. This life-sized statue made of plaster and bitumen was discovered in 1984 in Ain Ghazal, an archaeological site near Amman, Jordan. Dating from 6500 B.C.E., it is among the oldest known statues of the human figure. Although it appears lifelike, the features are too generic to represent a particular individual. The purpose and meaning of this sculpture may never be known.

1-2 THE EMERGENCE OF CIVILIZATION

Focus Question: What are the characteristics of civilization, and where did the first civilizations emerge?

As human societies grew and developed greater complexity, civilization came into being. A **civilization** is a complex culture in which large numbers of people share a variety of common elements. Historians have identified many basic characteristics of civilization, including the following:

1. *An urban focus.* Cities became the centers for political, economic, social, cultural, and religious development.
2. *New political and military structures.* An organized government bureaucracy arose to meet the administrative demands of the growing population, and armies were organized to acquire land and power and for defense.
3. *A new social structure based on economic power.* Although kings and an upper class of priests, political leaders, and warriors dominated, large groups of free common people (farmers, artisans, craftspeople) also existed. At the bottom of the social hierarchy was a class of slaves.
4. *The development of more complexity in a material sense.* Surpluses of agricultural crops freed some people to work in occupations other than farming. Demand among ruling elites for luxury items encouraged the creation of new products. And as urban populations exported finished goods in exchange for raw materials from neighboring populations, organized trade grew substantially.
5. *A distinct religious structure.* The gods were deemed crucial to the community's success, and a professional priestly class, serving as stewards of the gods' property, regulated relations with the gods.
6. *The development of writing.* Kings, priests, merchants, and artisans began to use writing to keep records.