

Social Formation in World History: **Theories and Tools**

COURSE CODE: B21HS31AN



SELF LEARNING MATERIAL
ANCILLARY COURSE
FOR UG PROGRAMMES



SREENARAYANAGURU
OPEN UNIVERSITY

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The State University for Education, Training and Research in Blended Format, Kerala

SREENARAYANAGURU OPEN UNIVERSITY

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To increase access of potential learners of all categories to higher education, research and training, and ensure equity through delivery of high quality processes and outcomes fostering inclusive educational empowerment for social advancement.

Mission

To be benchmarked as a model for conservation and dissemination of knowledge and skill on blended and virtual mode in education, training and research for normal, continuing, and adult learners.

Pathway

Access and Quality define Equity.

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MESSAGE FROM VICE CHANCELLOR

Dear

I greet all of you with deep delight and great excitement. I welcome you to Sreenarayanaguru Open University.

Sreenarayanaguru Open University was established in September 2020 as a state initiative for fostering higher education in open and distance mode. We shaped our dreams through a pathway defined by a dictum 'access and quality define equity'. It provides all reasons to us for the celebration of quality in the process of education. I am overwhelmed to let you know that we have resolved not to become ourselves a reason or cause a reason for the dissemination of inferior education. It sets the pace as well as the destination. The name of the University centres around the aura of Sreenarayanaguru, the great renaissance thinker of modern India. His name is a reminder for us to ensure quality in the delivery of all academic endeavours.

Sreenarayanaguru Open University rests on the practical framework of the popularly known "blended format". Learner on distance mode obviously has limitations in getting exposed to the full potential of classroom learning experience. Our pedagogical basket has three entities viz Self Learning Material, Classroom Counselling and Virtual modes. This combination is expected to provide high voltage in learning as well as teaching experiences. Care has been taken to ensure quality endeavours across all the entities.

The university is committed to provide you stimulating learning experience. All the UG programme are benchmarked with similar programmes of other state universities in Kerala. The curriculum follows the UGC guidelines of having three disciplines in a bundle and therefore, it allows two ancillary disciplines as mandatory requirement of the programme. The present material caters to the syllabus of Social Formation in World History as an ancillary course. It has adequate space for disseminating the basics of the discipline for a new learner with the required emphasis on the formation of ideas and institutions including the cultural identities in the global backdrop. The purpose of the course is to expose learners to the basic threads in the evolution of social and political ideas and entities. We assure you that the university student support services will closely stay with you for the redressal of your grievances during your studentship.

Feel free to write to us about anything that you feel relevant regarding the academic programme.



Wish you the best.

Regards,
Dr. P.M. Mubarak Pasha

01.05.2023

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BLOCK - 01

Theoretical Framework for Evolution and Transition of Societies

Unit 1

Modes and Means of Production

Learning Outcomes

After completing this unit, the learner will be able to:

- ▶ familiarise with the modes and means of production
- ▶ analyse changes in means and modes of Production
- ▶ examine the impact of industrialisation on means and modes of production
- ▶ explore technology-based production

Prerequisites

Imagine a small village in ancient times where people lived in harmony with nature, relying on hunting and gathering for their survival. This was the mode of production envisaged under the term primitive communism where resources were shared equally among all members of the community. With the development of agriculture and domestication of animals, early humans started cultivation. It led to the emergence of the slave mode of production, where the means of production, such as land and tools, were privately owned by slave-owning individuals or the state, and slaves were forced to work in these properties to produce goods and services for their owners. Eventually, the slave mode gave way to the feudal mode of production. In the feudal mode, land was owned by feudal lords who provided protection and land to the peasants in exchange for their labour. Peasants worked in the land and produced goods, which were then exchanged for protection and other necessities provided by the feudal lords. With the rise of capitalism, the means of production were privately owned by individuals or corporations, and workers were hired to produce goods and services in exchange for wages. The goal of capitalism was to maximize profits for the owners leading to the exploitation of workers.

Finally, the socialist mode of production emerged, where the means of production were collectively owned by the state or the workers themselves, with the goal of producing goods and services for the benefit of society as a whole. In essence, modes of production refer to the different ways in which societies have organized themselves to produce goods and services for their survival and prosperity, from the primitive communal mode to the capitalist and socialist modes of production.



Keywords

Modes of Production, Means of Production, Industrialisation, Technology, Inequality, Social stratification

Discussion

Throughout history, societies have undergone various transitions that have had a significant impact on their way of life, including changes in their mode of production. Mode of production refers to the dominant way in which goods and services are produced in a society, such as hunting and gathering, agriculture, industrialization, and digitalization. These changes in mode of production have been driven by technological advancements, social and political transformations, and environmental factors.

For instance, the transition from hunting and gathering societies to agricultural societies marked a significant turning point in human history. This transition allowed for more permanent settlements and the development of new technologies, such as the plough and irrigation systems. With the advent of agriculture, societies became more complex, hierarchical, and specialized, with new forms of labour, and trade.

Similarly, the industrial revolution in the 18th and 19th centuries marked another significant transition, with the rise of factories and mass production. The development of new technologies such as steam engines and machines drastically increased productivity, allowing for the production of goods on a large scale. This led to the growth of urban centers, the rise of wage labour, and the emergence of new social classes.

In recent years, we have witnessed yet another transition, with the rise of the digital age and the increasing importance of information and knowledge-based production.

This has led to the growth of the service sector, with the rise of industries such as finance, technology, and healthcare.

By understanding these historical transitions and their impact on societies, we can better understand the roots of modern-day economic systems. Thereby we can discern the challenges facing the world and opportunities available. For instance, we can gain insights into issues such as income inequality, globalization, and environmental sustainability by examining how they relate to different modes of production and the economic systems that have emerged from them. This understanding can also inform policy decisions and strategies for addressing these challenges.

1.1.1 Modes and Means of Production

Modes of production refer to the various ways in which societies organize themselves to produce the goods and services necessary for their survival and prosperity. In other words, it refers to the social and economic systems that govern the production, distribution, and consumption of goods and services within a society. The concept of modes of production is central to the study of social and economic history, as it helps us to understand how different societies have developed over time, and how they have organized their economic and social structures to meet their material needs. Examples of modes of production include primitive communism, slavery, feudalism, capitalism, and socialism.

Means of production refer to the physical and non-human inputs used in the production process of goods and services. This can include

raw materials, tools, machinery, buildings, and other physical infrastructure used in the production process. The means of production are controlled and owned by individuals or groups within a society, and have significant impacts on the distribution of wealth, power, and social relations within that society. For example, in capitalist societies, the means of production are privately owned by individuals or corporations, which can lead to significant income inequality and social stratification. In contrast, in socialist societies, the means of production are collectively owned and controlled by the state or the workers themselves, with the goal of creating a more equitable distribution of resources and power.

According to Karl Marx, human history has undergone different modes of production - Asiatic mode of production, ancient mode of production, feudal mode of production and capitalist mode of production. He emphasizes the coexistence of multiple modes of production within a society. However, one dominant mode would influence the others. Asiatic mode of production was characterized by communal ownership of land and primitive communities organized based on kinship relations. In this mode, the state controlled the essential economic resources and directly appropriated labour and production. It served as a transitional form from classless to class societies, with emerging forms of exploitation and the state.

The ancient mode of production was defined by slavery as the system of production. Masters owned slaves and appropriated the products of their labour, while the slaves were deprived of their means of reproduction. Marx and Engels viewed the feudal society as an intermediate stage between the ancient slave society and the capitalist era, where feudal lords exploited their serfs through land rent appropriation. Marx viewed capitalism as a

stage characterised by private ownership of the means of production and exploitation of the working class.

As conceptualised by Marx, the mode of production is driven by forces of production, including human labour and the means of production, such as technology and resources. These productive forces function within the relations of production, including property ownership, social rules, laws, customs, and power dynamics between different classes. When tension or contradiction arises between the productive forces and relations of production within a society, it signals a revolutionary change from one mode of production to another. Marx argued that inherent contradictions and inequalities within capitalism would eventually culminate in a proletariat revolution. It would further pave the way to establishing communism, where the means of production are collectively owned, and exploitation of labour is eliminated.

1.1.2 Changes in Modes and Means of Production

1.1.2.1 Hunting-Gathering

In early societies, people relied on hunting and gathering as their primary means of survival. They hunted animals for meat, fish in rivers and oceans, and gather plants, fruits, and the surrounding environment. This mode of production is known as the hunter-gatherer mode of production.

Hunter-gatherer societies were characterized by low levels of productivity and a lack of permanent settlements. People would move around in search of food and resources, often living in small groups of extended family members. The division of labour was also limited, with men typically responsible for hunting and women responsible for gathering. As human societies developed and



populations grew, new modes and means of production emerged. One of the most significant developments was the transition to agriculture, which began about 10,000 years ago in the Middle East. Agriculture allowed people to produce surplus food, which in turn led to the development of specialized occupations, trade, and the growth of permanent settlements.

1.1.2.2 Agrarian Mode of Production

Transition to agriculture was a major turning point in human history. It provided a more reliable and efficient means of producing food, which in turn led to population growth and the development of more complex social and economic relations. The domestication of plants and animals led to the development of settlements, cultivation of crops along with hunting and gathering. The growth of agrarian settlements led to the surplus production by the farmers. There also appeared new and specialised works like crafts and trading. It led to the development of trade networks, which allowed the exchange of goods and ideas between different regions.

The growth of permanent settlements in early civilizations, such as Mesopotamia, Egypt, and China, resulted in the development of social hierarchies and political systems. These societies had complex social structures, including rulers, bureaucrats, and priests. They also developed writing systems for recording laws and religious texts. Agrarian societies often had social inequality, with a small elite controlling resources. The transition to agriculture marked a significant milestone in human history, paving the way for the emergence of more complex societies and economies.

1.1.2.3 Feudalism and Guild System

Feudalism was a social, economic, and

political system that existed in Medieval Europe. It was based on the exchange of land ownership and labour for protection and loyalty, with a hierarchical system of lords and vassals. The primary mode of production under feudalism was agriculture, with landowners (lords) providing land and protection to peasants (serfs) in exchange for their labour and a share of their crops.

By the end of the Medieval period, trade and commerce began to play a crucial role in the economy. This was especially true in urban centres, where new means of production emerged. One of the most important of these was the guild system, which allowed craftsmen and merchants to regulate trade and set prices.

Guilds were organizations of craftsmen and merchants who worked in the towns and cities of medieval Europe. They set standards for quality, regulated prices, and provided support to their members in various ways, such as offering training and apprenticeships. The guild system allowed craftsmen to control their trade and protect their interests, while providing a sense of solidarity and support.

The growth of towns and cities led to the emergence of a new social class-the bourgeoisie-who were primarily involved in trade and commerce. This class of people had significant economic power and played an important role in the development of the modern capitalist economy.

Thus, medieval Europe was characterised by the socio-economic system called Feudalism. It gave birth to new social inequalities and economic relations. The growth of towns and cities and the emergence of new means of production, such as the guild system, paved the way for the development of new economic and social systems that would eventually lead to the modern era.

1.1.3 Industrialisation

Transition from the medieval period to modern period in European history was marked by historical processes such as Renaissance, Reformation, geographical expeditions and scientific discoveries. This process promoted individual reasoning and the scientific temper. It also signalled a lot of changes in the production and distribution of goods and services. The Industrial Revolution was a period of significant change in the mode and means of production, as well as in social and economic structures. It began in Britain during the second half of the 18th century and later spread to other parts of Europe and North America. The Industrial Revolution represented a major shift from agrarianism to industrial capitalism, as new technologies such as the steam engine, power loom, and spinning jenny allowed the mass production of goods in factories.

One of the most significant effects of the Industrial Revolution was the growth of urbanization. With the emergence of factories as the primary means of production, people began to move from rural areas to cities in search of work. It led to the growth of new industrial centres and the decline of traditional rural economies. The rise of industrial capitalism also led to the growth of a new middle class, made up of factory owners, managers, and other professionals. This middle class played an important role in shaping new social and economic structures.

The Industrial Revolution also had a significant impact on traditional artisanal crafts. As mass production became possible, the value of traditional crafts declined, and many skilled craftsmen were forced to seek work in factories resulting in the decline of traditional guilds and the emergence of new labour movements focused on protection of rights of the working class. Industrial

revolution, thus led to the emergence of new ideologies. In the 18th and 19th centuries, it also resulted in the colonization, exploitation and mutual conflicts among the European nations. It represented a major shift in the mode and means of production, as well as in social and economic structures. It marked the beginning of modern industrial capitalism and had far-reaching effects on the world economy and societies.

1.1.4 Technology Based Production

In the 20th century, new modes and means of production emerged due to technological advancements, globalization, and changing consumer demands. A major shift was the rise of service sectors, which replaced traditional manufacturing as the main source of economic activity in many countries. It was accompanied by the growth of information technology, including computers and the internet, which transformed the transport and communication and the operation of business firms.

The rise of global trade and commerce also had a significant impact on production, as companies began to outsource manufacturing to countries with lower labour costs and favourable regulatory environments. It led to the growth of international supply chains and the development of new business models, such as just-in-time manufacturing and lean production.

These changes in the mode and means of production had far-reaching social and economic consequences. On the one hand, they created new opportunities for innovation and entrepreneurship, as well as higher levels of productivity and efficiency. On the other hand, they led to the displacement of traditional industries and the loss of jobs for many workers, particularly in developed countries where manufacturing had previously been a major source of employment.



Furthermore, globalization and the growth of service industries have contributed to income inequality, as high-skill jobs in the service sector tend to pay more than low-skill jobs in manufacturing and agriculture. This has led to a widening gap between the rich and poor in many countries. To sum up, the 20th century witnessed significant changes in

the mode and means of production, driven by technological advancements, globalization, and changing consumer demands. These changes had both positive and negative impacts on societies and economies around the world, and continue to shape our world today.

Recap

- ▶ Modes of production refer to the various ways in which societies organize themselves to produce the goods and services necessary for their survival and prosperity.
- ▶ Means of production refer to the physical and non-human inputs used in the production process of goods and services.
- ▶ Changes in modes and means of Production-Hunting-gathering, Agrarian mode , Feudalism and Guild System
- ▶ Industrialisation: Growth of urbanisation and impact on traditional artisanal crafts
- ▶ Technology Based Production: In the 20th century, new modes and means of production emerged due to technological advancements, globalization, and changing consumer demands.
- ▶ Rise of service sectors, replaced traditional manufacturing as the main source of economic activity in many countries. It was accompanied by the growth of information technology, including computers and the internet, which transformed the transport and communication systems and the operation of business firms.

Objective Questions

1. What is meant by mode of production?
2. What is meant by means of production?
3. What mode of production is associated with the development of agriculture?
4. What was a common mode of production during the guild system?
5. What did industrialization lead to?
6. Which are the modes of production mentioned by Marx?
7. What caused changes in modes and means of production in the 20th century?
8. What replaced traditional manufacturing as the main economic activity in many countries?
9. What technological advancements transformed transportation and communication?
10. Which social class emerged with the growth of towns and cities?

Answers

1. The social and economic systems that govern the production, distribution, and consumption of goods and services within a society
2. Physical and non-human inputs used in the production process of goods and services
3. Agrarian mode of production
4. Craftsmanship
5. Urbanization
6. Asiatic, Ancient, Feudal and Capitalist modes
7. Technological advancements
8. Service sectors
9. Computers and the internet
10. The bourgeoisie

Assignments

1. Analyze the impact of industrialization on urbanization and traditional artisanal crafts. How did the growth of industries and factories affect the economic and social landscapes of societies?
2. Investigate the changes in modes and means of production brought about by technological advancements, globalization, and changing consumer demands in the 20th century. Examine the rise of service sectors and the transformation of transportation, communication, and business operations.

Suggested Readings

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Unit 2

Private Property-Surplus-Appropriation

Learning Outcomes

After completing this unit, the learner will be able to:

- ▶ explore the concept of private property with its advantages and disadvantages
- ▶ develop an awareness on the influence of surplus resources on society
- ▶ analyse the role of appropriation in shaping the economic, political and social system

Prerequisites

In the early days of human history, people lived in small communities, and their survival depended on their ability to find food and shelter. Hunting and gathering were the main means of subsistence, and resources were shared in the group. But as time went on, people began to settle down and cultivate the land, and a new way of life emerged. With the development of agriculture, individuals could produce more food than they needed for immediate consumption. This surplus production allowed for the growth of trade and exchange, as people began to specialize in different skills and goods.

The growth of trade and exchange led to the concept of private property, where individuals accumulated resources and wealth to protect their assets and ensure their well-being. This led to social inequality, with those with more resources exerting greater control over others. This led to the formation of a social class, with some individuals and groups appropriating resources and land through conquest, colonization, and exploitation.

Private property, surplus, and appropriation continue to shape our world and our economic systems. The way in which we produce, distribute, and consume goods and services are deeply tied to these concepts, and understanding their historical roots can help us better address the challenges facing our world today.

Keywords

Private property, Surplus, Appropriation, Economic system, Political system, Social system



Discussion

1.2.1 Private Property

Private property, originating from Plato, refers to the ownership of legal property by non-governmental entities, differing from public and collective property. It has been a controversial issue since capital became the factor of exploitation for property owners. Karl Marx, a socialist scholar and philosopher, opposed private property, calling for nationwide upheaval to change the capitalistic system. He motivated socialist political movements in opposition to capitalism, arguing that private property led to the majority becoming 'proletarian' workers and the minority becoming 'bourgeois'. His main concern was the private property in production, which alienated workers and violated their freedom.

Private property has been a defining feature of most economic systems throughout history, including capitalism and socialism. It has allowed individuals and groups to accumulate wealth and exert control over resources, often at the expense of others. The accumulation of private property has also been a key factor in the rise of social inequality and the emergence of social classes, as those who control resources often have greater power and influence.

However, the concept of private property has also been the subject of much debate and controversy throughout history. Some have argued that private property is a natural right, while others have questioned its legitimacy and called for more equitable distribution of resources. Debates about private property continue to shape our economic and political ideologies.

1.2.1.1 Emergence of the Concept of Private Property

The concept of private property has been a fundamental part of human societies for thousands of years. However, the exact emergence of the concept is difficult to pinpoint, as it has evolved and changed over time in different cultures and societies.

In ancient societies, such as Mesopotamia, Egypt, and Greece, land ownership was typically related to social status and power. Kings, rulers, and wealthy elites controlled the majority of the land and resources, while ordinary citizens were often relegated to working as tenant farmers or labourers. There were also examples of private property ownership among the wealthy elite, such as large estates and properties owned by powerful individuals or families.

The concept of private property as a legal right emerged more prominently in medieval Europe. Feudal lords controlled vast tracts of land, but over time, some began to grant portions of their land to tenants in exchange for rent or other services. This led to the development of a system of land tenure, where individuals were granted legal ownership of specific parcels of land.

The rise of capitalism and the Industrial Revolution in the 18th and 19th centuries also played a significant role in the development of private property rights. As new technologies and methods of production emerged, individuals and businesses began to accumulate wealth and resources, leading to the rise of the bourgeoisie class. They sought to protect their wealth and property through legal means, leading to the development of property laws and protections.

The concept of private property has emerged and evolved over time in different

cultures and societies, and has become a fundamental feature of modern economic systems. In many countries, individuals have legal rights to own and control property, including land, houses, businesses, and other assets. These rights are protected by laws and regulations, and individuals can use their property for personal use, rent or lease it to others, or sell it for profit.

1.2.1.2 Role of Private Property on the Evolution of Society

Private property has played a significant role in the evolution of society, shaping the way individuals and communities use and allocate resources. While it has brought many benefits, such as encouraging innovation and investment and promoting economic growth. It has also contributed to social inequality and environmental concerns. As societies continue to evolve, it will be important to find ways to balance the benefits of private property with its potential drawbacks, in order to create a more equitable and sustainable future. Here are some key ways in which private property has influenced the development of society.

i. Encouraging Innovation and Investment

Private property offers individuals a strong incentive to invest in and improve their property, as they have vested interests in its productivity and value. This leads to innovation and economic growth, as individuals can control their resources and take risks. For example, a farmer can increase the value of their land by purchasing better equipment, improving irrigation, or investing in new seeds, which not only increases the land's value but also the farmer's income, promoting economic growth.

ii. Efficient Allocation of Resources

Private property grants individuals control over their resources, such as land, capital,

or other assets. This allows them to allocate resources in ways that benefit them the most, based on their needs and desires. For instance, a business owner owning a small factory can decide to invest in new machinery, hire more workers, or expand the factory to increase production. Alternatively, he can sell the factory and use the proceeds to invest in other business opportunities.

Also, private property rights enable individuals to exchange resources with others in the market, creating a more efficient allocation of resources. For instance, a farmer selling excess grain to a baker can generate income and allocate resources to their most productive use. This leads to a dynamic and flexible economy, where resources are constantly flowing to their most productive use, increasing economic growth and prosperity.

iii. Economic Growth and Development

The protection of private property rights is crucial for economic growth and development. It incentivizes individuals to invest in and develop their property, leading to increased economic activity and job creation. Secure property rights provide legal protection against theft, damage, or seizure, giving them confidence to invest in their property and improve productivity. This confidence in the protection of property allows individuals to access credit and finance investments, enabling them to start businesses, invest in new technologies, or expand operations. Secure property rights also attract foreign investment and promote international trade, allowing individuals and business men to buy and sell goods and services with confidence, knowing their property rights will be respected and enforced.

iv. Social Inequality

The accumulation of private property



can lead to social inequality, as those who own more resources have greater power and influence in the society. This can create disparities in wealth and opportunity, which can have negative effects on social cohesion and stability. When a few individuals or groups own a significant portion of the wealth and resources in a society, they can use that power to influence political decisions, shape public policy, and control economic opportunities. It would lead to an unequal distribution of wealth and opportunities, where the rich become richer and the poor become poorer. The resulting social inequality leads to a range of negative consequences for society, including increased crime rates, reduced social mobility, and decreased trust in institutions. It can also lead to the formation of social and economic classes, where individuals are stratified based on their wealth and status, leading to deeper social and economic disparities.

Furthermore, social inequality can also have a negative impact on economic growth and development. When a significant portion of the population is excluded from economic opportunities due to their lack of resources, it can lead to a loss of human capital and a reduction in productivity. In the long run, it affects the economic growth and development of a country, as it can limit the potential for innovation and entrepreneurship. While private property has many advantages, such as incentivizing investment and innovation, it can also lead to social inequality when wealth and resources are concentrated in the hands of a few individuals or groups. This can have negative effects on social cohesion, stability, and economic growth and development. Therefore, it is important to strike a balance between the benefits of private property and the need for social and economic equality.

v. Environmental Concerns

Private property can lead to environmental

exploitation, as owners seek to maximize profits while ignoring the environment. Unsustainable practices like deforestation, overfishing, and pollution can have long-term negative effects on society and the environment. Private agricultural property ownership also leads to forest clearing, soil erosion, drought, and loss of biodiversity. Factories discharge pollutants into the air and water, causing public health and environmental degradation. Overuse of natural resources reduces economic opportunities, quality of life, and social inequality. Governments must establish regulations and incentives to encourage sustainable practices and protect the environment for present and future generations.

1.2.1.3 Private Property and Economic System

Private property is closely linked to the economic system of a society. In fact, the concept of private property is a fundamental pillar of the capitalist economic system. In a capitalist economy, individuals or corporations have the right to own and control private property, including land, buildings, and other assets. When people own their own businesses or land, they are motivated to make improvements that will increase its value and productivity, which can lead to innovation and economic growth. Moreover, the ownership of private property allows individuals to use and exchange their resources as they see fit, based on their own needs and desires. This leads to a more efficient allocation of resources, as individuals are motivated to use them in ways that maximize their benefits.

The protection of private property rights is also linked to economic growth and development. When individuals have secure property rights, they are more likely to invest in and develop their property, leading to increased economic activity and job creation.

In capitalist systems, private property is seen as a critical driver of economic growth and development. However, the accumulation of private property can also lead to social inequality, as those who own more resources have greater power and influence over society. This can create disparities in wealth and opportunity, which can have negative effects on social cohesion and stability. Moreover, the pursuit of profits through the exploitation of private property system can lead to unsustainable practices that harm the environment and society in the long run.

The concept of private property is deeply intertwined with the economic system of a society. While it provides individuals with incentives to invest and innovate, it can also lead to social inequality and environmental degradation if not regulated properly. It is essential for governments to establish policies and regulations that balance the benefits of private property ownership with the broader social and environmental impacts of the economic system.

1.2.1.4 Private Property and Social System

Private property is a central concept in the social system of any society. The ownership and control of property are closely linked to the distribution of wealth, power, and resources in a society, which can have significant social implications. It creates economic incentives for individuals to invest in and improve their property, leading to economic growth and development.

The protection of private property rights affect access to resources and opportunities. When certain groups are systematically excluded from the ownership of private property, they may also be excluded from the economic and social benefits that come with it. It leads to social unrest and conflicts over resources and opportunities. Furthermore, the

exploitation of private property can also impact social systems by creating environmental degradation, loss of traditional lands and cultures, and other negative consequences that can disproportionately affect marginalized groups. It gives way to social tensions and fractional conflicts in the society.

Socially, it is important for societies to enlist policies and regulations that balance the economic benefits of private property ownership and the broader social and environmental system. It would ensure the compatibility of private property ownership with the broader goals of social justice, equity, and sustainability.

1.2.1.5 Private Property and Political System

Private property ownership can also have significant implications on the political system of a nation. The ownership and control of property influences the distribution of power and resources within a society, which in turn shape the political ideas and institutions. Private property can provide economic and social power to those who control it, and they enable them to handle political power as well. Individuals or groups with significant property holdings may have greater influence over political decision-making, either directly or through the use of their resources to influence elections and public opinion. This can lead to a concentration of power in the hands of a few, and can undermine democratic governance and accountability.

Furthermore, the protection of private property rights is often enshrined in laws and regulations, and it has important implications on the functioning of the political system. Property owners may have the ability to challenge government decisions with their property rights, and it would limit the ability of governments to regulate and intervene in the



economy and society. In addition, the unequal distribution of private property ownership creates social and economic disparities that can render into political inequalities as well. Groups that are systematically excluded from private property ownership may also be excluded from political power and decision-making, leading to marginalization and disenfranchisement. In short, the role of private property ownership in the political system is complex, and it can have both positive and negative implications. It is important for societies to establish policies and institutions that ensure that private property ownership does not undermine the principles of democracy, equality, and social justice. This can help to ensure that private property ownership is compatible with a healthy and functioning political system that serves the needs of all members of the society.

1.2.2 Surplus

Surplus production has also played a significant role in the development of economic systems, as the accumulation and exchange of surplus resources have allowed the growth of markets and the development of monetary systems. The distribution of surplus resources and the control of surplus production have been major factors in the development of political systems, as those who control surplus resources often have greater political power and influence.

The concept of surplus production is closely linked to the development of agriculture and the transition from hunter-gatherer societies to settled agricultural societies. In hunter-gatherer societies, individuals would typically produce only what was needed for immediate consumption, as they lacked the means to store and preserve surplus resources. However, with the development of agriculture, societies were able to produce more food than was necessary

for immediate consumption, leading to the emergence of surplus production.

Surplus production allowed the specialization of labour, as individuals could focus on producing goods or services that were in demand in exchange for surplus resources produced by others. This specialization led to the growth of trade and exchange, as individuals could exchange their surplus resources for goods and services produced by others. The accumulation of surplus resources has also been closely tied to the emergence of social inequality and the development of social classes. Those who control surplus resources, like land or other means of production, often have greater power and influence within society. It leads to the concentration of wealth and resources in the hands of a few, while others may struggle to access the resources they need for subsistence.

1.2.2.1 Role of Surplus Resources on Social System

Surplus refers to the excess of resources or goods beyond immediate needs, such as food, labour, or products. It significantly impacts social systems through its distribution, which is a crucial aspect of policy making and social inequality. A fair distribution of surplus benefits the entire community, ensuring everyone has enough to eat. However, if given to a select group, it can lead to disparities in wealth and power. Surplus can also influence the development of social systems, providing individuals and communities with the resources they need to innovate and create new systems.

However, when a society lacks surplus, it can create significant challenges, as individuals and communities may struggle to survive. Surplus resources also have a significant impact on social class, which is a hierarchical structure where individuals are

grouped based on their social, economic, and political power. The distribution of surplus resources can influence the distribution of power within social classes.

A society with a surplus of resources allows individuals to accumulate wealth and power, leading to the minority dominating the majority and greater access to essential resources like education and healthcare. This leads to social and economic mobility. Conversely, without a surplus, social classes may be rigidly defined, creating a lower class of marginalized individuals who lack access to resources. The distribution of surplus resources also affects social mobility, as individuals may have more opportunities to move up the social ladder through education and entrepreneurship. Surplus plays a crucial role in shaping social systems, influencing distribution, development, and innovation. The presence or absence of surplus can impact a society's ability to develop and thrive, while the absence can create rigid social hierarchies and limit opportunities for advancement.

1.2.2.2 Surplus and Economic System

Surplus plays a fundamental role in economic systems, as it refers to the excess resources or goods beyond what is needed to meet immediate needs. In economics, surplus can take many forms, such as a surplus of goods, a surplus of labour, or a surplus of money. Surplus plays a crucial role in economic systems, impacting production, distribution, consumption, and overall stability. Understanding the presence and distribution of surplus resources is essential for the economists and policymakers seeking to build sustainable and equitable economic systems. The existence of surplus can have significant implications for economic systems, particularly with regard to production, distribution, and consumption.

i. Production

A surplus of resources can enable increased production of goods and services, because it provides manufacturers with the raw materials they need to create more products. In the case of steel, for example, if there is a surplus of steel available, factories can use this excess steel to produce more cars, appliances, and other goods that require steel. Increased production can have several positive effects on an economy. First, it can create more job opportunities, as manufacturers need more workers to produce more goods. This can help to reduce unemployment and boost economic growth. Additionally, increased production can lead to increased exports, as manufacturers may be able to sell their surplus products to other countries.

However, there can also be potential negative consequences of increased production. For example, if manufacturers produce too many goods, they may end up with a surplus of their own products that they are unable to sell. This can lead to a build-up of inventory and eventually result in lower profits or even bankruptcy. Overproduction can also lead to environmental issues, as the increased production of goods can contribute to pollution and resource depletion.

ii. Distribution

The distribution of surplus resources can have a significant impact on economic systems, as it can determine who benefits from the surplus and who does not. If surplus resources are distributed fairly, it can benefit the entire community by ensuring that everyone has access to the resources they need. This can help to reduce poverty, improve social mobility, and promote economic growth. For example, if surplus food is produced, and it is distributed fairly to everyone in the community, it can help to



ensure that everyone has access to adequate nutrition. This can improve overall health and wellbeing, which can lead to increased productivity and economic growth.

On the other hand, if the surplus is only given to a select group of individuals, it can lead to significant disparities in wealth and power. For example, if a surplus of money is only given to the wealthiest members of society, it can further entrench their position of privilege and make it more difficult for others to achieve economic success. This can lead to social unrest and political instability, as those who are excluded from the benefits of the surplus may feel marginalized and powerless. It can also limit economic growth, as those who are excluded from the benefits of the surplus may not have the resources they need to invest in their businesses or communities.

iii. Consumption

Surplus resources can impact consumption patterns within an economic system by affecting the availability and affordability of goods and services. This can lead to conspicuous consumption, which involves buying goods and services beyond basic needs. This can drive economic growth by increasing production and job creation. However, it can also lead to overconsumption and environmental degradation. Additionally, surplus can perpetuate social inequality and status competition

Overall, surplus resources create a more stable economic environment, reducing competition for scarce resources. Conversely, scarcity of resources can lead to more volatile and prone to disruptions, affecting the stability of economic systems.

1.2.2.3 Surplus and Political System

Surplus refers to the amount of goods or resources that are left over after all needs

have been met. In economic terms, surplus can be seen as the excess of production or consumption beyond what is necessary for survival or basic needs. Surplus can take different forms, such as agricultural surplus, industrial surplus, or financial surplus.

The distribution of surplus has been a key issue in political systems throughout history. In some societies, surplus is shared among members of the community, while in others it is concentrated in the hands of a few individuals or groups. The way in which surplus is distributed can have significant impacts on the social, economic, and political structures of a society.

The distribution of surplus and the nature of the political system are closely intertwined. In societies where surplus is concentrated in the hands of a few individuals or groups, that political system often reflects the inequality of power and wealth. Conversely, in societies where surplus is more evenly distributed, the political system may be more egalitarian and democratic.

1.2.3 Appropriation

Appropriation is the process by which individuals or groups claim ownership or control over resources or assets that were previously under the control of others. This process can take many forms, including conquest, colonization, exploitation, or even legal acquisition. Appropriation has been a defining feature of human societies throughout history, and it has played a significant role in shaping economic, social, and political systems.

In the context of colonization and imperialism, appropriation has often involved the seizure of resources and land from indigenous people by more powerful foreign forces. During the age of exploration, the

European powers appropriated resources and land from indigenous peoples in America, Africa, and Asia. This appropriation allowed Europeans to gain control over valuable natural resources such as gold, silver, and spices, as well as arable land suitable for agricultural production.

The process of appropriation had a profound impact on the indigenous people who were dispossessed from their land and resources. Many of them were forced into servitude or slavery, while others were displaced from their ancestral lands and forced to relocate. This led to the destruction of traditional societies and cultures, as well as the loss of traditional knowledge and practices. Indigenous people continue to struggle to regain control over their lands and resources, and to protect their cultures and ways of life. While appropriation has contributed to the rise of economic and political power for some, it has also led to the exploitation and dispossession of others.

1.2.3.1 Role of Appropriation in Shaping Economic System

Basically the appropriation lies the question of who owns and controls the means of production, and who benefits from the output of that production. Appropriation can take many forms, including the seizure of resources by force, the exploitation of labour, or the legal acquisition of assets. These different forms of appropriation can lead to vastly different economic outcomes, ranging from inequality and exploitation to economic growth and prosperity.

In some cases, appropriation has played a crucial role in the development of capitalist economies. For example, during the Industrial Revolution in Europe and North America, appropriation of land and resources from traditional agricultural communities was appropriated for the expansion of industrial

production. This appropriation was often accompanied by the enclosure of common lands, which forced peasants to seek work in urban factories. This process of appropriation laid the foundations for the capitalist system of production, which is based on the private ownership of the means of production and the exploitation of labour.

In other cases, appropriation has been a means of exploiting and extracting resources from less powerful regions and peoples. Colonial powers, for example, appropriated resources and land from indigenous peoples in America, Africa, and Asia, which allowed for the accumulation of wealth and power in Europe. This process of appropriation led to the development of a global economic system based on the unequal distribution of resources and power.

1.2.3.2 Role of Appropriation in Shaping Political System

Appropriation is a crucial process in shaping the political system, as it involves individuals or groups claiming ownership or control over resources or assets. This process can significantly impact the distribution of power and authority within a society. The appropriation of resources can either concentrate power in a few individuals or groups, or lead to more equitable distribution. The way resources are appropriated can also impact political institutions, decision-making rules, and law enforcement mechanisms.

In some cases, appropriation has been used to consolidate political power and control, such as in authoritarian regimes where a small elite uses resources to maintain control over the population. This concentration can hinder opposition groups' ability to gain political power and limit citizens' ability to hold leaders accountable. On the other hand, appropriation can challenge existing political structures and



promote more egalitarian governance, as seen in the civil rights movement in the United States.

The effects of appropriation on the political system are complex and sophisticated, with some cases promoting greater equality and democracy while others consolidating power and control.

1.2.3.3 Role of Appropriation in Shaping the Social System

A social system is definitely influenced by the process of appropriation. This process can have significant impacts on social relations and the distribution of power and authority within a society.

Appropriation is the distribution of

resources and assets within a society, affecting social norms, values, relationships, and structures that shape individual and collective behavior. It can either reinforce existing social hierarchies and power structures, such as the ruling class's land and resources, or challenge these structures and promote greater social equality. Movements for social justice often use appropriation to challenge power structures and assert the rights of marginalized groups, while public spaces can be used to assert marginalized groups' rights and promote inclusivity. The effects of appropriation on the social system are complex and multifaceted, with some cases reinforcing existing hierarchies and power structures while others challenge them and promote greater social equity.

Recap

- ▶ Private property is a legal and social concept that grants individuals the exclusive right to use, control, and benefit from a specific resource or asset.
- ▶ Private property is that it encourages people to invest in and improve their property.
- ▶ Private property provides individuals with a powerful incentive to invest in and improve their property.
- ▶ The protection of private property rights is an essential aspect of economic growth and development.
- ▶ The protection of private property rights affect access to resources and opportunities.
- ▶ Accumulation and distribution of surplus play a vital role in shaping the social system.
- ▶ Surplus or absence affects society's development, causing social hierarchies and limited advancement opportunities.
- ▶ Appropriation is the process by which individuals or groups claim ownership or control over resources or assets that were previously under the control of others.

Objective Questions

1. What are the important events that played a significant role in the development of private property rights?
2. What is the fundamental pillar of the capitalist economic system?
3. What do you mean by surplus?
4. Define appropriation.
5. What do you mean by Private Property?
6. How does Private property can lead to environmental exploitation?
7. How does the process of appropriation impact social relations?
8. What was the significant benefit of the distribution of surplus resources?

Answers

1. The rise of capitalism and the Industrial Revolution
2. The concept of private property
3. Surplus can be seen as the excess of production or consumption beyond what is necessary for survival or basic needs.
4. Appropriation refers to the process by which individuals or groups claim ownership or control over resources or assets.
5. Private property is a legal and social concept that grants individuals the exclusive right to use, control, and benefit from a specific resource or asset.
6. Unsustainable practices like deforestation, overfishing, and pollution can have long-term negative effects on society.
7. Appropriation can either reinforce existing social hierarchies and power structures, such as the ruling class's land and resources, or challenge these structures and promote greater social equality.
8. It can benefit the entire community by ensuring that everyone has access to the resources they need.

Assignments

1. Examine the emergence of the concept of private property in human societies. What were the key factors or historical events that led to the recognition and establishment of private property rights? Discuss any notable shifts in societal organization that accompanied the recognition of private property.



2. Evaluate the role of surplus resources in shaping social systems. How does the existence of surplus resources affect social organization, division of labor, and the emergence of specialized roles within a society? Discuss the implications of surplus for social hierarchy and the distribution of resources.
3. Examine the role of appropriation in shaping economic systems. How does the act of appropriation, such as acquiring resources or claiming ownership, influence the organization of economic activities and the distribution of wealth within a society? Discuss any potential conflicts or ethical considerations associated with appropriation.

Suggested Readings

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Unit 3

Class Formation and Consciousness

Learning Outcomes

After completing this unit, the learner will be able to:

- ▶ develop an awareness on the class formation in the evolution of society
- ▶ assess the factors that influenced the process of class formation along with its implications
- ▶ familiarise themselves with the concept of class consciousness and its influence on the economic and social system

Prerequisites

In the past, there was a society where everyone worked hard to make a living. Some people worked in fields, others in factories, and some were business owners. Over time, people started to notice that some people had more money and power than others. Those who had more money and power tended to live in big houses and had more resources at their disposal.

Over time, people formed groups based on their economic position, with those with more money and power forming one and those with less. These groups developed interests and needs, fighting for their best interests. This led to class consciousness, where people became aware of their position in society and the different interests and needs of their group. Those with less money and power realized they needed to work together for change, while those with more money and power defended their interests more strongly.

Gradually, this struggle between different classes became more intense. Those who had less wanted to improve their situation, while those who had more wanted to maintain their position of power. This is what we call class formation. It is the process by which society becomes divided into different social classes based on factors like wealth, occupation, and social status. In the end, the struggle between these classes led to important changes in the kingdom. The people who had less, were able to form a powerful movement and fight for their rights, while those who had more were forced to acknowledge the needs of the less fortunate. This is the power of class consciousness and class formation – they allow people to come together and fight for what they believe in, leading to important changes and progress in society.



Keywords

Class formation, Evolution of society, Consciousness, Technology, Workers, Exploitation

Discussion

1.3.1 Class Formation in the Evolution of Society

Class formation is an important concept in the study of the evolution of society. It refers to the process by which society becomes divided into distinct social classes based on factors such as wealth, occupation, and social status. Such divisions led to the development of different classes with their own interests and beliefs, which can lead to conflicts and struggles between classes.

Consider the example of the Industrial Revolution in Britain. It was a period of rapid industrialization and urbanization that occurred in the late 18th and early 19th centuries. It brought about significant changes in the economy, social structure, and cultural life of British society. As a result of the Industrial Revolution, new industries like textiles, iron, and coal mining emerged, and there was a significant increase in the number of factory workers. It led to the formation of a new working class that was distinct from the traditional artisan class.

The new working class was made up of factory workers who worked for long hours in poor working conditions for meagre wages. They had little control over their work and workplace where they were often subjected to harsh treatment by their employers. Meanwhile, the owners of the factories and the wealthy middle class who were investors gained significant profits and gained political power. The emergence of the new working class led to significant social and economic inequalities between different classes. The working class had little political power or social status, while the wealthy owners of

factories had significant influence over the government and society as a whole. This division between the working class and the owners of the means of production led to significant conflict and struggle between classes. Workers formed unions and called for strikes and protests to demand better working conditions, higher wages, and political representation. Meanwhile, the owners of the factories and their allies sought to maintain their power and influence in the society.

Class formation can also be a catalyst for social change and progress. The development of distinct social classes can lead to the emergence of new ideas and movements aimed at challenging existing power structures and promoting greater equality and justice.

1.3.1.1 Factors Influenced the Process of Class Formation

The process of class formation is a complex and dynamic phenomenon that has been influenced by a wide range of factors throughout history. While these factors have varied from one society to another, they have all played a role in shaping the class structures of the societies in which they have occurred. Some of the key factors that have influenced the process of class formation as part of the evolution of society include the following.

i. Economic Factors

The development of economic systems has been a key factor in the formation of classes throughout history. With the rise of agriculture and the formation of settled communities, societies began to produce surplus food and other goods. It led to the emergence of classes based on ownership of land and control over production. In early agricultural societies,

the ruling class consisted of landowners who controlled the means of production, while the lower classes were consists of farmers and labourers who worked on land. As societies became more complex, different types of economic systems developed, each with its own class structure.

Feudalism emerged in medieval Europe as a system in which landowners held power over serfs who worked on the land. Under this system, social status was determined by birth, and there was little mobility between classes. Capitalism, on the other hand, emerged during the Industrial Revolution as a system centred around private ownership of the means of production and the pursuit of profit. Under capitalism, there emerged a new middle class of entrepreneurs and business owners, as well as a working class of wage earners who sold their labour in exchange for a wage.

Socialism, meanwhile, emerged as a reaction against the exploitative practices of capitalism, with the goal of creating an equitable society through collective ownership of the means of production. Socialism is focussed on eliminating class distinctions altogether, with workers and the state jointly controlling the means of production. Each of these economic systems has its own class structures, with some classes holding more power and wealth than others. The relationship between economic systems and class structures is complex and dynamic, with changes in one often influencing the other. For example, the rise of capitalism led to the emergence of a new middle class and the decline of the aristocracy, while the development of socialism has often been associated with the rise of a new ruling class of party officials.

ii. Political Factors

The concentration of political power

in the hands of a few individuals or groups has often resulted in the formation of ruling classes that exercise control over the rest of the population. In monarchies, for example, the ruling class consisted of the king or queen and their aristocratic supporters, who held power over the rest of the population. The aristocracy often owned vast estates and controlled politics, while the lower classes had little or no political influences and were subjected to the rule of the monarch and the aristocracy.

In dictatorships and autocratic governments, the ruling class consists of dictators and their allies, who control key institutions and use influence to maintain power and suppress dissent. This class often suppresses lower classes' rights and freedom, intensifying divisions and social unrest. In democratic societies, political power is more evenly distributed, but there can still be significant differences in power and influence between different classes.

iii. Cultural Factors

Cultural achievements have historically been a key component in shaping class structures, with individuals and groups striving to gain recognition and respect through their achievements. This has led to the formation of cultural elites closely tied to the ruling class. In ancient societies, such as Egypt and Greece, art, literature, and philosophy were highly valued, and those who excelled in these areas were often elevated to high social status. In feudal societies, the ruling class included members of the cultural elite, such as knights and poets, who received patronage from the ruling class, reinforcing their social status and influence. In modern societies, higher education is highly valued, and individuals with advanced degrees are often considered members of a cultural elite, with access



to highly paid jobs and influential social networks. These cultural elites can reinforce existing class divisions and inequalities.

iv. Technological Factors

Advancement in technology has led to the emergence of new industries and economic systems, which in turn has given rise to new classes of people with distinct roles and identities. During the Industrial Revolution in the 18th and 19th centuries, the development of machinery and other labour-saving devices led to the emergence of a new working class that was distinct from the traditional artisan class. The working class consisted of factory workers and other labourers who were employed in the new industries that emerged during the industrial revolution. These workers often worked for long hours in dangerous and unhealthy conditions, and they were paid relatively low wages compared to other classes of people.

Development of communication technology, such as the internet and social media, facilitated the formation of new classes based on access to information and knowledge. In today's society, individuals with advanced degrees in science, technology, engineering, and math (STEM) fields often enjoy highly paid jobs and significant social influence. This has given rise to a new class of people, sometimes called the 'technocratic elite,' who are highly educated and skilled in these fields. Technology has also influenced the formation of new classes based on access to digital and technological resources. The digital divide, which refers to the gap between those who have access to technology and those who do not, has led to the emergence of new classes of people who are either digitally excluded or included.

v. Environmental Factors

The availability of natural resources and

the physical environment of a region have often determined the types of economic and social systems that have emerged, which in turn have influenced the formation of classes.

Environmental factors have significantly influenced the formation of classes throughout history, influencing the economic and social structures of societies and the control of natural resources. Agriculture, abundant natural resources, and climate have all played a role in shaping these structures. In regions with harsh or unpredictable climates, tight-knit communities with social solidarity form, while coastal regions with good harbors have trade and commerce as primary economic activities. Environmental factors also influenced class formation through health and disease, leading to specialized classes of healers and doctors and skilled laborers and athletes in regions with harsh physical environments.

1.3.1.2 Implications of Class Formation on Society

Class formation can have significant implications for society as a whole, as it often leads to the development of social and economic inequalities. Some classes may have more access to resources and opportunities than others, which can lead to unequal distribution of wealth and power. This can create a sense of injustice and frustration among the lower classes, who may feel that their opportunities for social and economic mobility are limited. The formation of different classes can also create tensions and conflicts between them. This can happen when one class feels that it is being exploited or oppressed by another, leading to struggles for power and resources. These conflicts can manifest in various forms, from labour strikes and protests to political revolutions and armed conflicts.

Moreover, class formation can also have

wider implications for the overall functioning of society. When one class dominates others, it can lead to a lack of diversity and pluralism in decision-making processes. It would lead to biased policies and practices and neglect the broader interests of society as a whole. There would be social and economic problems such as poverty, inequality, and underinvestment in public goods and services. Finally, class formation can also impact the social and cultural fabric of the society. When classes become more stratified, it can lead to the development of distinct cultural identities associated with each class. This can result in the emergence of cultural divides between different classes, which can further exacerbate tensions and conflicts.

1.3.2 Class Consciousness

Class consciousness refers to the awareness that individuals have of their position in society and their relationship to other classes. This awareness is shaped by a range of factors, including social and economic conditions, cultural norms, and political ideas. It can be influenced by personal experiences, education, and exposure to different ideas and perspectives. Members of different social classes may have different levels of consciousness and different understandings of their place in society. Members of the ruling class have a strong sense of entitlement and privilege, while members of the working class may have a greater awareness of their exploitation and oppression.

Consciousness can also be shaped by cultural and political ideas that are dominant in a society. For example, in a society that values individualism and competition, members of different classes may have different ideas about the role of government in the society and the importance of social programs such as healthcare and education. Similarly, in a

society that emphasizes equality and social justice, members of different classes may have different ideas about how to achieve these goals and how much responsibility individuals and the government should have in promoting them. Differences in consciousness can lead to significant conflicts and struggles between classes. Members of different classes may have different ideas about how to bring about change and what issues are most important to address. For example, members of the working class may prioritize issues such as workers' rights and economic inequality, while members of the ruling class may prioritize issues such as maintaining their power and protecting their wealth.

1.3.2.1 Class Consciousness in the Evolution of Society

Class consciousness refers to the awareness of an individual's social class and their shared interests with others. It is crucial in society's evolution and plays a vital role in social movements and the struggle for social and economic justice. Members of a particular social class may develop class consciousness due to shared experiences and conditions, while ruling class members may develop it based on their interests in power, wealth, and fear of losing their position.

Class consciousness can lead to social and political change, as members of a class become aware of their shared interests and experiences, leading to organizing and mobilizing for change. This can lead to the formation of social movements and collective action strategies, such as strikes, protests, and direct action. Class consciousness has played a significant role in historical movements for social and economic justice, such as the labour movement in the 19th and early 20th centuries and the civil rights movement in the 1950s and 1960s.



1.3.2.2 Class Consciousness and Economic Systems

Economic systems can shape the way in which individuals perceive their class position, which can in turn influence their class consciousness. For example, in a capitalist system, the focus on individual ownership and competition can lead to a greater emphasis on individual achievement and success. This can result in a greater sense of individualism and a weaker sense of collective identity among members of the working class. On the other hand, members of the capitalist class may have a strong sense of class identity and a greater awareness of their position and power within society.

In a socialist system, collective ownership and cooperation are prioritized, leading to a stronger sense of collective identity among the working class. Capitalists may also have a stronger sense of class identity, but often oppose it. The development of class consciousness is influenced by the structure of economic systems. In a system with high inequality and a large gap between the rich and poor, there may be a greater sense of class consciousness among the working class due to the stark contrast between their lives. Conversely, in a system with greater equality and a smaller gap, there may be a weaker sense of class consciousness due to less pronounced differences between the rich and poor.

1.3.2.3 Class Consciousness and Social System

In any society, there are certain social hierarchies and structures that determine the

status and power of individuals and groups. These structures are often based on factors such as race, gender, religion, and ethnicity, as well as economic class. Members of different social classes often have different experiences and perspectives on the social system. For example, members of the working class may view the social system as one that is designed to benefit the wealthy and powerful at their expense, while members of the ruling class may view the social system as necessary for maintaining order and stability.

Class consciousness can also be influenced by social movements and activism. When members of a particular class become aware of their shared experiences and interests, they may come together to challenge the existing social system and demand change. This can take the form of protests, strikes, or other forms of collective action. During the civil rights movement in the United States, African Americans who were previously marginalized and oppressed by the social system came together to demand equal rights and opportunities. Through their collective action and consciousness, they were able to bring about significant changes to the social system, such as the Civil Rights Act of 1964. Similarly, the labour movement in many countries was able to challenge the power and influence of the ruling class by mobilizing workers and demanding better working conditions, wages, and benefits. Through their collective action and consciousness, workers were able to gain more power and influence in the social system.

Recap

- ▶ Class formation refers to the process by which society becomes divided into distinct social classes based on factors such as wealth, occupation, and social status.
- ▶ The development of economic systems has been a key factor in the formation of classes throughout history.
- ▶ The political organization of societies has been another important factor in the formation of classes throughout history.
- ▶ Technological developments have played a crucial role in the evolution of class structures by creating new industries, economic systems, and types of work.
- ▶ Climate and geography have also played a role in shaping the economic and social structures of societies.
- ▶ Class formation can also have wider implications for the overall functioning of society.
- ▶ Class consciousness and economic systems are closely intertwined in the evolution of society.
- ▶ Class consciousness is also closely linked to the social system of a society.

Objective Questions

1. What is class formation?
2. Give an example of a society with prominent class formation.
3. Name a social class that emerges during class formation.
4. What is class consciousness?
5. What do you mean by 'technocratic elite'?
6. What paved the way for the emergence of a new working class that was distinct from the traditional artisan class?
7. In which year the Civil Rights Act was passed?

Answers

1. Process of categorization of society based on the factors such as wealth, occupation and social status
2. Feudalism



3. Bourgeoisie
4. Awareness that individual have of their membership in a particular social class and their interests with other members of that society
5. Highly educated and skilled new class of people
6. Development of machinery and other labour-saving devices
7. 1964

Assignments

1. Development of technology and means of production contribute to class formation. Discuss.
2. Can you provide examples of societies where class formation was particularly prominent and influential?
3. What are the different social classes that typically emerge during the process of class formation?
4. Class formation led to social unrest and conflict. Evaluate the statement and provide examples to support your answer.
5. How does class consciousness intersect with different economic systems, such as capitalism or socialism?

Suggested Readings

1. Bourdieu, P., *Distinction: A Social Critique of the Judgment of Taste*, Routledge, 1984.
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Unit 4

Societies and Social Change

Learning Outcomes

Upon the completion of this unit, the learner will be able to:

- ▶ familiarise themselves with the concept of social change
- ▶ evaluate the causes of social change
- ▶ analyse the theories of social change

Prerequisites

Society is like a complex web where humans interact by sharing certain values and following certain norms. It includes the beliefs we all have, how we behave, and the way our society is structured. Societies are not static, as it is subjected to continuous changes and evolution, and this process is called social change. Social change occurs when there is an alteration happen in different factors that influence how society functions. For example, new technologies, political movements, shifts in the economy, cultural exchanges, and environmental influences can all cause changes in society. Sometimes, these changes happen at a slow pace taking a long time, while other times, they occur suddenly due to some influential events or revolutions. Social change affects many aspects of society, like how people act, the roles that different genders play, how families are structured, how the economy functions, and even the overall way society is organized. In this unit, we will explore the multifaceted nature of societies and the forces that propel social change. By examining historical events, contemporary examples, and social theories, we will be able to gain insights into how our communities are shaped and pave the way for a deeper understanding of the world we live in.

Keywords

Social change, Cyclical theory, Evolutionary theory, Technology, Economy



Discussion

1.4.1 Social Change

Social change is a complex and ongoing process that is shaped by a variety of factors, and it is often difficult to predict or control its outcomes. Social change refers to the process by which societies undergo significant alterations in their structures, values, beliefs, and behaviours over time. It involves the transformation of the social order, including changes in cultural norms, institutions, and relationships among individuals and groups.

Social change can occur at various levels, from the micro-level of individual behaviour and interactions to the macro-level of entire societies or even global systems. It can be driven by a range of factors, including technological advancements, economic developments, political movements, demographic shifts, and cultural transformations.

Social change can have both positive and negative effects on societies. Positive social changes can lead to greater freedom, equality, and justice, while negative social changes can lead to social unrest, conflict, and inequality. For instance, the civil rights movement in the United States led to significant social change by advocating for greater equality and rights for minorities, while the rise of authoritarianism in some countries led to restrictions on freedom and increased political polarization.

Social change encompasses alterations to the social structure and relationships within a society. These changes may manifest in various forms, such as changes in the distribution of age, demographics, birth rates, and shifts in the dynamics between employers and workers, particularly in relation to increased union activity. Cultural changes, on

the other hand, may involve the introduction and widespread adoption of new technologies, the emergence of new words within a language, evolving concepts of morality, and the development of novel forms of music and art. These two forms of change often intersect, and it is important to recognize that significant changes typically involve both social and cultural transformations. Sociologists use the term 'socio-cultural change' to refer to changes that occur in both social and cultural domains.

1.4.1.1 Characteristics of Social Changes

The key characteristics of social change are as follow:

- ▶ Social change is a universal phenomenon that affects all societies.
- ▶ Social change occurs on a societal or community-wide level, rather than just within small groups of individuals.
- ▶ The pace of social change is not uniform across a society and may vary across different periods or ages, with changes happening more rapidly than in the past.
- ▶ Social change is a fundamental law of nature.
- ▶ It is not possible to accurately predict specific social changes.
- ▶ Social change often follows a chain-reaction sequence, where one change leads to another.
- ▶ Multiple factors interact to bring about social change.
- ▶ Social changes generally involve the modification or replacement of existing social structures, values, and behaviours.

1.4.1.2 Causes of Social Change

Social change is a complex phenomenon that can be caused by a range of factors. Some of the main causes of social change include the following.

i) Technological Advancements

Advances in technology have significantly impacted human societies, transforming living and working conditions, and influencing social structures and behaviors. Rapid technological innovation has led to significant changes in social, economic, and political systems. These advancements have revolutionized communication, transportation, industrial processes, and the development of new products and services. Social media platforms have also transformed communication and business, enabling global connections and sharing of information. Automation and artificial intelligence have replaced human jobs, causing shifts in the labour market and wealth distribution.

Remote work and the gig economy have altered traditional work structures, creating new opportunities and challenges for workers and employers. These changes can have both positive and negative consequences, with some opportunities for innovation, economic growth, and social connection while others contribute to social and economic inequality, job displacement, and other negative consequences.

ii) Economic Developments

Changes in the economy can have a significant impact on social structures and relationships. Economic changes can alter the types of jobs available, the distribution of wealth and income, and the overall functioning of markets and institutions. These changes can lead to both positive and negative social consequences. For example, shifts in the types of jobs available can impact the skills and education needed for success in the labour market. As new industries emerge and existing ones decline, workers may need to adapt to new roles and acquire new skills to remain competitive. This can create

opportunities for some workers, while leaving others behind, leading to income inequality and social tension.

Changes in the distribution of wealth and income can also have a profound impact on social structures and relationships. Inequality can undermine social cohesion and create social and economic barriers between different groups. When wealth is concentrated in the hands of a small percentage of the population, it can lead to political and economic power imbalances, which can have far-reaching social consequences. Economic changes can also impact the functioning of markets and institutions, such as the availability of credit or access to healthcare. These changes can impact social structures by creating new forms of economic inequality or limiting access to essential services and resources. Changes in the economy can impact social structures and relationships in complex ways.

iii) Political Movements

Political movements and changes in government policies have the potential to bring about significant social change by challenging existing power structures and promoting new ideas and values. Political movements can mobilize people around a particular issue or set of issues, and can provide a platform for marginalized groups to have their voices heard.

Political movements and government policies can bring attention to social injustices and pressure for change. For instance, the civil rights movement in the 1950s and 1960s challenged segregation and discrimination, leading to significant changes in African Americans' legal and social status. Governments can create laws, regulations, and policies that reinforce or challenge existing power structures and social norms. Political movements and social activism can influence



policymakers and shape the political agenda, sometimes leading to the formation of new political parties or movements.

iv) Demographic Shifts

Changes in population size, age distribution, and migration patterns can have a significant impact on social structures and cultural norms. These changes affect the size and composition of social groups, labour availability, and cultural practices. As populations grow, new social groups may emerge, leading to changes in social norms and cultural practices. Age distribution also affects these structures, as different age groups have different needs and preferences, affecting the availability of goods and services and resource distribution.

Migration patterns significantly impact social structures and cultural norms by introducing new ideas, practices, and beliefs. These changes can affect cultural norms, labour availability, and resource availability. Population size, age distribution, and migration patterns affect these norms in complex ways.

v) Environmental Factors

Environmental crises, like natural disasters and climate change, significantly impact social structures and force people to adapt to new circumstances. Natural disasters cause widespread destruction, displacement, and migration, leading to changes in social structures and relationships. Climate change affects natural resources and ecosystems, such as droughts and floods, affecting agricultural production and food security. These crises challenge existing power structures and promote new ideas and values. Climate change has led to a growing awareness of environmental sustainability and the need for collective action to address global challenges. This has led to the emergence of new social movements and political initiatives promoting

environmental sustainability and combating climate change.

vi) Cultural Transformations

Changes in cultural norms and values can have a significant impact on social structures and can bring about social change. Cultural norms refer to the unwritten rules and expectations of behaviour that are shared by members of a particular society or group, while values refer to the beliefs and attitudes that underpin these norms.

Changes in cultural norms and values can lead to social change, such as gender roles and sexuality. Gender equality has led to changes in social structures, such as women's participation in the workforce, family structures, and laws and policies related to gender equality. Similarly, changes in attitudes towards sexuality can also bring about social change, such as same-sex marriage, adoption laws, and increased protection against discrimination for LGBTQIA+ individuals.

Social change is often the result of complex and intertwined factors, and understanding the causes and effects of social change is an ongoing area of research in fields like sociology and anthropology.

1.4.1.3 Theories of Social Change

There are four broad theories of social change such as:

- i. Evolutionary Theory of Social Change
- ii. Cyclical Theory of Social Change
- iii. Functionalist Theory of Social Change
- iv. Conflict Theory of Social Change

i) Evolutionary Theory of Social Change

Evolutionary theories of society are based on the idea that societies develop and

change over time. This idea is rooted in the assumption that societies move from simple or basic to more complex forms of organization. There are three main forms of evolutionary theory: linear or unilinear evolution, universal evolution and multilinear evolution.

a. Linear or Unilinear Evolution: It is a theory that suggests that societies develop through a series of stages, moving from simple to complex forms of organization. Early 19th century human society theory posits social change as progress towards better, more positive, and beneficial civilization levels through a fixed sequence of stages.

b. Universal Evolution: Universal evolution is similar to linear theory but does not view each society going through the same fixed stages of development. This theory suggests that societies evolve independently, with each culture developing along its unique path to civilization. Therefore, the theory acknowledges the differences in culture and societies, recognizing that not all societies develop in the same way.

c. Multilinear Evolution: Multilinear evolution is a modern anthropologist's perspective on social change as flexible, open-ended, and not a universal law. This theory sees social change as a process that takes place in many different ways and does not follow the same direction in every society. It posits that societies develop from small-scale to large-scale, with varying rates, directions, and natures. Change does not necessarily indicate progress, and its direction can be negative or positive depending on the social and cultural context.

ii) Cyclical Theory

The cyclical theory is a theory of societal development that suggests that civilizations go through a repetitive process of birth, growth,

maturity, decline, and death in the same way as living beings. This theory was popularized by ancient Greek philosophers, such as Plato and Aristotle.

The cyclical theory suggests that civilizations progress through a series of predictable cycles, characterized by distinct stages of growth and decline. These cycles are similar to the life cycle of a living organism, with birth and growth representing early stages, maturity and stability representing middle stages, and decline and death representing later stages. Once a civilization reaches its peak, it begins to decline and eventually collapse, often due to factors like social unrest, environmental degradation, economic instability, and external threats. This theory challenges the idea of linear progress and suggests that civilizations can rise and fall regardless of their technological advancement or cultural sophistication.

iii) Functionalist Theory

Functionalist or structural-functionalism theories, which focus on social order and stability, are often criticized for their limited ability to explain social change. They argue that society is an organism with various parts working together to maintain stability and order. Each part of a society has a specific function, and if one part fails to perform its function, it can disrupt the overall functioning of the society. Functionalists see society as at equilibrium, with each part contributing to its well-being. Change is seen as a gradual process that does not disrupt the overall functioning of society.

However, external factors like globalization and technological advancements can influence society, while internal factors like social movements and political changes can also lead to changes. Despite its limitations, functionalist theories have significantly



contributed to understanding how different aspects of society work together to maintain social order and stability. This focus on the function of different aspects of society has also helped identify areas for reform or improvement in institutions.

iv) Conflict Theory

Conflict theories emerged as a response to functionalist theories, which argued that institutions and practices are maintained by powerful groups for their own benefit, leading to social inequality and conflict. These theorists believe that conflict is necessary for change, and that social change occurs when different groups struggle for power and resources. Karl Marx, a key thinker in conflict theory, argued that society's history is a history of class struggle, with the bourgeoisie exploiting the proletariat and eventually leading to a revolution. Other theorists, like Max Weber and C. Wright Mills, expanded on Marx's ideas, arguing that cultural and political power also contribute to maintaining social inequality and conflict.

v) Marxist Interpretation of Social Change

Karl Marx and Friedrich Engels were German philosophers and social theorists who developed various theories of historical and social change. Their materialist conception of history, also known as Historical materialism, argued that a society's mode of production determines its organization and development, rather than ideas or consciousness. They also developed dialectical materialism, which posits that history develops dialectically through a succession of opposing theses and antitheses.

Marx and Engels also introduced the idea of stages of economic development, which build on one another due to technological and social arrangements. They argued that societies pass through various social-economic systems,

such as slavery, feudalism, capitalism, and communism, and each stage develops due to conflict with the previous one.

Economic determinism, another key theory, posits that economic relationships, such as business ownership or worker, are the foundation for political and societal arrangements in society. This theory divides members into conflicting economic classes, whose political control is determined by their influence in the economic system.

The Marxist gravediggers thesis, also known as the gravediggers argument or dialectic theory of history, is based on the 'Communist Manifesto' quote, "What the Bourgeoisie produces, above all, are its own grave diggers." The theory posits that the internal contradictions of capitalism will lead to its inevitable destruction, with the proletariat pushing more people into the proletariat until the proletariat overthrows the bourgeoisie and establishes communism.

vi) Technological Theory

Technology, the use of knowledge to create tools and utilize natural resources, significantly impacts social relations in a society. Marxist theory argues that technological development determines the mode of production and the relationships and institutions that constitute the economic system. The invention of the steam engine during the Industrial Revolution in the 18th century led to the rise of factories, increased efficiency, reduced costs, and new employment forms. The current era of rapid technological change, digital technology and automation, has transformed work and the economy, resulting in the gig economy and increasing polarization of the workforce. Marxist theory argues that changes in technology not only impact the economic structure but also have wider social and political implications.

The dominance of a particular mode of production shapes social relations, power structures, and institutions like the state, legal system, and cultural norms. To understand social change, it is essential to analyze the underlying technological changes that drive economic development and shape social relations.

vii) Multiple Causation Theory

The statement “historical change is complex and likely due to multiple causes related to political, economic, social, cultural, and environmental events, as well as significant individuals” suggests that historical change is not the result of a single cause or factor but rather the result of a combination of factors that interact in complex ways.

Max Weber, a sociologist, argued that historical events are the result of the convergence of independent causal chains that have developed without connection or direct import. This means that historical events are not determined by a single cause or factor but by multiple causal chains that interact in unpredictable ways. For example,

the outbreak of World War I was the result of a combination of factors such as the arms race, alliances, imperialist policies, and the assassination of Archduke Francis Ferdinand.

viii) World-Systems Theory

The world-systems theory is an approach to understanding world history and social change, emphasizing the importance of analyzing the global economic system and its impact on social relations and historical change. It divides the world into core countries, semi-periphery countries, and periphery countries, with core countries focusing on high-skilled, capital-intensive production, and semi-periphery and periphery countries on low-skilled, labour-intensive production. Sociologist Immanuel Wallerstein developed the theory, which traces historical change to the global economic system and its impact on social relations. The theory highlights the shifting centers of economic power within the world-system, with the Netherlands being the center in the 17th century, followed by Britain in the 19th century, and the United States after World War I.

Recap

- ▶ Social change refers to the process by which societies undergo significant alterations in their structures, values, beliefs, and behaviours over time.
- ▶ Social change can have both positive and negative effects on societies.
- ▶ Advances in technology have had a profound impact on human societies, transforming the way people live and work, and leading to significant changes in social structures and behaviours.
- ▶ Evolutionary theories of society are based on the idea that societies develop and change over time.
- ▶ There are three main forms of evolutionary theory: linear or unilinear evolution, universal evolution, and multilineal evolution.
- ▶ The cyclical theory is a theory of societal development that suggests that civilizations go through a repetitive process of birth, growth, maturity, decline, and death in the same way as living beings.



- ▶ Changes in technology have a significant impact on the social relations of a society.
- ▶ In Marxist theory, changes in technology have a significant impact on the social relations of a society.
- ▶ Multiple Causation theory suggest “historical change is complex and likely due to multiple causes related to political, economic, social, cultural, and environmental events, as well as significant individuals”
- ▶ World-systems theory emphasizes the importance of analyzing the global economic system and its impact on social relations and historical change.

Objective Questions

1. What are the causes of social change?
2. What is the evolutionary theory of social change?
3. How does conflict theory explain social change?
4. What is the Marxist interpretation of history and social change?
5. How does technological theory explain social change?
6. What is multiple causation theory in relation to social change?
7. How does world-systems theory view social change?
8. How do demographic shifts contribute to social change?

Answers

1. Technological advancements, economic developments, political movements, demographic shifts, environmental factors, and cultural transformation
2. Society progresses through stages of development over time
3. Social change results from power struggles and conflicts between different social groups
4. Social change is driven by class struggle and the transition between different modes of production
5. Technological advancements drive societal transformations and shape social structures
6. Social change is influenced by a combination of various factors, including technology, economics, politics and culture.
7. Social change is driven by global interconnectedness and the dominance of certain core nations over peripheral ones
8. Changes in population size, composition, and distribution can lead to shifts in societal norms, values, and institutions

Assignments

1. Choose two theories of social change discussed in this unit. Compare and contrast the two theories, discussing their key concepts, assumptions, and explanations of how social change occurs. Provide examples to illustrate each theory.
2. Critically evaluate the strengths and limitations of social theories in explaining social change. Support your arguments with scholarly views and provide proper citations.

Suggested Readings

1. Blau, P. M., & Duncan, O. D., *The American Occupational Structure*, Wiley, 1967.
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BLOCK - 02

Slave Society

Unit 1

Slave as Commodity and Source of Labour

Learning Outcomes

After completing this unit, the learner will be able to:

- ▶ acquaint with the social formation in early societies
- ▶ identify the savagery, slave mode of production with the material understanding of the past
- ▶ analyze the process of rise of indentured labour, bondage and evolution of class society
- ▶ conceptualize the primary production system and varied forms of slaves and slave-owning

Prerequisites

Have you heard of Abraham Lincoln? Other than being the 16th President of the USA, he is also known as the emancipator of the slaves of the USA through his famous ‘emancipation proclamation’. Slavery is a very ancient social institution. First time in history, the countries of the Ancient East witnessed the transition from the primitive community to the slave-owning society. It predominated in ancient Mesopotamia, Egypt, India and China in between the fourth millennium BCE and second millennium BCE. The slave-owning mode of production existed in Transcaucasia. From the eighth or seventh century BCE to the fifth or sixth centuries CE, a powerful slave-owning state existed in Khorezm (present northeast part of Uzbekistan). The culture or civilization achieved in the slave-owning countries of the ancient East greatly influenced the development of the peoples of European countries.

In ancient Greece, the slave-owning mode of production reached its height in the fifth to fourth centuries BCE. Subsequently, slavery developed in the regions of Asia Minor and Macedonia. The slave-owning system reached its height in Rome between the second century BCE and Second century CE. This unit mentions the origin of slavery that determined vivid ways of approaches in history.

Keywords

Slavery, slave body, *Scalve*, Bondage, Indentured labour, Enslavement, *Dasa*, *Adima*



Discussion

Historically, slavery deals with the socio-economic factor of a pre-modern class society. In earlier societies, slavery was concentrated in a single crucial sector of the economy. Agriculture, the primary production unit required labour which continued to be the sphere of 'free' labour. It was organized on the base of small communes. In ancient Graeco-Roman society, slavery broke out of its narrow sphere and came to dominate the entire economy.

Slavery was legally permitted by European international law until the late 19th and early 20th centuries. It was crucial for the economy of European countries, particularly the United States, and was criticized by countries that made significant income from cheap labor. The American Civil War was a result of the desire to abolish or maintain slavery, and European movements against it led to the formulation of first agreements on slavery abolition.

Features of slavery have been subjected to detailed studies. Evolution of slavery in human society took place in different forms and levels. The 'ideal slave' was an inhuman creature with no civic or even biological personality. The slave body was treated like a piece of property. Hence the bodily representation of slaves was the only important matter in those societies. Contemporary historical and sociological platforms discuss the arena of 'slave body' and its historical tasks. However, there were different levels of slavery, a kind of hierarchy in which slaves were divided based on their qualities and physique. Slavery was the social position of an individual in which one was bonded to an elite person or an institution.

2.1.1 Definitions

Etymological Roots: The English word 'slave' originates from the Middle

English *slave*. It comes from the Old French *esclave* and which in turn comes from the Medieval Latin usage *sclavus*. *Sclavus* originated from early Greek *sklabos* which comes from *sklabenoi* of Slavic origin. It is historically connected to the Old Russian Slovene, an Eastern Slavic tribe.

Slavery is a term used to denote the condition in which a human being is owned by another as a private property. In other words, slavery is a state of being in which a person is held in servitude as the property of another person, and whose labour (and often also whose body and life) is subject to the owner's volition and control. Slavery was a form of dependent labour in ancient period performed by a non-family member. A slave had no personal liberty and was deprived of the right to freedom of movement. Chattel slavery is a system of slave mode whereby a person is treated as a commodity that may be bought and sold just like any other form of property. Chattel slavery denotes the enslaving and owning of human beings as property, able to be bought, sold, and forced to work without wages, as distinguished from other systems of forced, unpaid, or low-wage labour. The terminology "chattel slavery equated human beings with livestock, furniture, and any other portable personal property. Chattel could be inherited, sold, or transferred without permission, in the case of the enslaved person." Sociology defines slavery that goes to the understanding of social stratification; 'social stratification has taken many forms throughout history, including slavery, the estate system, indentured servitude, the caste system, and the class system.'

2.1.2 Origin of Slavery

Slavery must have emerged in some hunter-gatherer culture, particularly as hereditary slavery. Increasing socio-economic

conditions with agricultural patterns led to mass chattel slavery. When the world's first city-state emerged in Mesopotamia in the sixth millennium BCE, where land ownership and the early stages of technology resulted in war, the prisoners of war were forced to work which gradually led to slavery. The city-state of Athens is recorded to have used around 30,000 slaves in its silver mines. In Roman mythology, the reference to slavery goes likewise: The goddess Mater Matuta has a temple in Rome. Mater Matuta was the principal deity of Matralia, an annual festival celebrated on June 11, the date of her temple's foundation. For present purpose two features of the Matralia are noteworthy: one is the rule that the festival was open only to women of free birth and that slave women were specifically excluded from participation in worship; the other is that during the religious ceremony, a slave girl was ritually beaten in, and then expelled from the temple by the female celebrants.

In Indian history, Rig Vedic have terms such as *dasa*, *dasi* and *dasyu* has been interpreted as 'servant' or 'slave.' Establishment of the institutions in ancient India were based on texts such as *Arthashastra*, *Manusmriti* and *Mahabharata* referring the presence of enslavement in course of war or as a result of debt. "slavery and empire-formation tied in particularly well with *iqta* and it is within this context of Islamic expansion that elite slavery was later commonly found. It became the predominant system in north India in the 13th century and retained considerable importance in the 14th century. Slavery was still vigorous in 15th century Bengal, while later it shifted to the Deccan where it persisted until the 17th century. It remained to a lesser extent in the Mughal provinces throughout the 17th century and had a notable revival under the Afghans in North India again in the 18th century.

2.1.2.1 Slave as Commodity

Two broad types of slavery which have played a role within the historical socio-economic formations can be discerned. The first type is 'patriarchal' slavery or the household slavery which appears in pre-class societies. Patriarchal slavery has its own independent features and the productive relationships of the kinship units to which it is attached. The second type is far more complex and its effects on the socio-economic formations are far more profound. This type, which may be called 'commodity' slavery, appears only in societies of a class nature where the means of production are comparatively well-developed. Commodity slavery involves the concentration of slaves in productive tasks which are incapable of accomplishment on the household level. It produces a surplus product and this product is large enough to be at least partially available for redistribution and exchange. Slave labour was the basic force of society and its existence.

The slave society split into two basically opposed classes: slaves and slave-owners. Slave body worked as a commodity which was associated with the factor that was the labour source. Slavery Convention of 1926 in Geneva, which was an international treaty to 'suppress the Slave Trade and Slavery' defines slavery 'as the status or condition of a person over whom any or all of the powers attaching to the right of ownership are exercised, and 'slave' means a person in such condition or status.' 'Enslavement' means the exercise of any or all of the powers attached to the right of ownership over a person and includes the exercise of such power in the course of trafficking in persons, in particular women and children. The terms slave master and slave owner refer to those individuals who enslave others as their own property.



Manumission means the release of a person from slavery by the person who owns them. One of the earliest examples of manumission comes from inscriptions on the temple of Apollo in Delphi. Beginning as early as 200 BCE, and continuing into about 100 CE, there is evidence of enslaved people being freed by manumission. Carved onto the temple walls are inscriptions for individuals who were granted written manumission from slavery.

Slaves were often referred to as 'the bodies', in early periods. As mere bodies, they were treated cruelly. Slaves had no control over their own bodies. Slaves could also act as surrogate bodies for their owners to accomplish various acts of violence on others.

The Roman slavery in the mid and late republic was certainly due in part to economic demand. But it is noticeable that between master and slave is not one of economic performance or production, but rather one that is grounded on the social differentiation. Slavery is defined here not as an economic category but as a state constituting a relationship between persons of different social rank, inferior and superior, which itself depends on the exercise of force or power. Economic demand may seem as an unavoidable concept for rationalizing the early growth of slavery at Rome, for most usually and understandably slavery is thought of in economic terms, as a means of providing owners with an involuntary labour supply for the realization of profits from the intensive raising of crops. Many of the sources of slave commodification are indirect consequences of the American Revolution and the revolution led to the development of the domestic slave trade and decreasing agricultural production.

Gender views relate the women's body and its commodification. In pre-modern period, women experienced even worse conditions as products of the slave trade. The idea of black

bodies being commodities became literal when it was brought to the point of enslaved African women. Female bodies were treated with less respect than that of a male mainly because they were not typically capable of working in the field.

2.1.2.2 Slavery as Source of Labour

In ancient times slaves were employed for domestic services and also for skilled jobs and professions. Greek slaves in particular might be highly educated and worked as teachers, accountants, and physicians. Unskilled slaves worked on farms, in mines, and at mills. These manual or unskilled slaves were regularly punished by the slave owners.

The most well-known type of chattel slavery (ownership of people or slaves as property) was a peculiar feature of medieval society. In the Middle Ages, slavery served as a primary source of forced labour for agriculture, household upkeep, and the production of goods. As it was in ancient Greece and Rome, the system continued to exist in Italy, Russia, France, Spain, and North Africa. Bonded labour or bonded slavery occurs when individuals sell their freedom as collateral for a loan or when they inherit a debt from a relative. Forced labour is also called slave labour that the labour performed involuntary.

The slave-labour dimension underwent changes since 1500 CE, in the context of the advent of European colonialism. The Europeans who colonized America in the 16th and 17th centuries frequently brought both enslaved and free African laborers along with them. The legal and social status of these early Africans in America was generally more fluid when compared to the fixed new world chattel slavery in later centuries. In addition, many early Africans in America came from African port cities involved in European trade and later

the trans-Atlantic trade. These Africans were known as Atlantic Creoles. These Atlantic Creoles had been trading and settling along the African Atlantic coast since the 15th and 16th centuries.

Some Atlantic Creoles had even lived in Europe and trade exchanges also influenced their European identities. For example, the Portuguese sailors in African port cities often adapted their Iberian culture to West African contexts, and they became known as Lacados. The offspring of Portuguese and African sexual relationships and intermarriage, who permanently settled in African regions, became known as the Euro-Africans.

Industrial revolution in Britain was characterised by market logic of capital growth dependent on free wage labour, driving out archaic forms of coercion, whether of slavery or serfdom. With the development of metropolitan British industrial capitalism, production of guns, sugar and cotton established a connection with slavery and coerced labour regimes of exploitation. This coerced labour had been visible from the mid 18th to the 20th century in Britain. Though the slave trade was abolished in 1807, the form of

coerced labour continued.

In Seljuk and the Ottoman Empire, the system of slavery was part of the society. In all the medieval and early modern empires, there existed slavery as a force of labour. According to International Labour Organisation, nearly fifty million people were living in modern slavery in 2021, as reported by the *Global Estimates of Modern Slavery*. Of these people, 28 million live as forced labourers and 22 million were trapped in forced marriage.

In brief, the private sphere formed the basis of a significant development of commodity production and exchange. In early Greece, the private sphere formed the basis of the development of commodity development. Thus, slavery, arose as a major institution during that period. Slaves were treated as commodities. During the medieval and ancient periods the slave factor played a significant role in the economic progress of the society. The slaves became a legally unrecognized group. Early 19th century onwards several attempts were made to eradicate of slavery all over the world. However, slavery continued to exist in the 19th and 20th century in different forms.

Recap

- ▶ The 'ideal slave' was considered an inhuman creature with no civic or even biological personality.
- ▶ Chattel slavery is a system of slave mode whereby a person is a commodity that may be bought and sold just like any other form of property.
- ▶ Slavery developed earlier in ancient Greece and subsequently in the States of Asia Minor, Macedonia.
- ▶ The city-state of Athens used around 30,000 slaves in its silver mines.
- ▶ Slavery Convention of 1926 in Geneva was an international treaty to 'Suppress the Slave Trade and Slavery'.
- ▶ In ancient times slaves had no control over their own bodies.



- ▶ Women experienced even worse conditions as products of the slave trade.
- ▶ The development of the domestic slave trade and decreasing agricultural production are consequences of the American Revolution.
- ▶ Seljuk and Ottoman Empire promoted the slave system as a legal and economic part of the society.
- ▶ Slave-labour dimension changed since 1500 CE, with the advent of European colonialism.

Objective Questions

1. Where was the practice of slavery found during the ancient period?
2. Which work describes 'slavery as a nascent and sporadic factor in the preceding stage'?
3. Give the name of the system in which a person was treated as a commodity that may be bought and sold just like any other form of property?
4. Which term is used to describe slaves in *Rigveda* ?
5. Write any two indirect consequences of slave commodification of the American Revolution?
6. Which term was used to describe the African port cities in America?
7. When was slave trade abolished in Great Britain?
8. What is the key matter in the inscriptions on the temple of Apollo in Delphi?
9. Which UN organ is concerned with the welfare of labourers?

Answers

1. Greece
2. *The Origin of the Family, Private Property and the State*
3. Chattel slavery
4. *Dasa, dasi* and *dasyu*
5. Domestic slave trade and decreasing agricultural production
6. African Creoles
7. 1807
8. Manumission
9. International Labour Organisation

Assignments

1. Trace the origin and growth of slavery in the ancient world.
2. Discuss different types of slavery.
3. Write the changing nature of slavery in ancient and medieval traditions.

Suggested Readings

1. Barker Hannah, *Slavery in Medieval Europe*, Oxford University Press, 2019.
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2. Payyappilly, Ignatius, 'Man Slaving to Divine: A Socio-religious Custom Gleaned from the Nineteenth Century Palm Leaves,' *Artha Journal of Social Sciences*, 2012.
3. Sanal, Mohan P., 'Modernity of Slavery: Struggles against Caste Inequality in Colonial Kerala', Oxford University Press, 2015.
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5. Williams, Eric, *Capitalism and Slavery*, University of North Carolina Press, 2021.



Unit 2

Greece - Athens and Sparta

Learning Outcomes

By undergoing this unit, the learner will be able to;

- ▶ explore the social milieu of ancient Greek society
- ▶ identify the form of slavery, democracy and civilization of ancient Rome
- ▶ analyze the process of myriad nature of Spartan military
- ▶ conceptualizes the selfhood of male and female slaves

Prerequisites

Greek philosopher Aristotle classifies slaves into two groups: slaves by nature and slaves by law (*Politics*). The first category are the captives by birth; whereas the second were the captured or acquired after a war or piracy. They were otherwise free human beings who became slaves by chance. Due to their physical abnormalities, Aristotle thought that natural-born slaves belonged to a lower human race. As Aristotle failed to understand, slaves were not kept as slaves because of their physically deformed bodies; rather, they were kept as slaves because they were forced to perform physically taxing work.

The idea that slaves were inferior people permeated the entire classical civilization of Greece, Athens, and Sparta. The significance of classical civilization and this historical continuity were prerequisites for the strong legacy of slavery in the New World. Roman law served as the foundation for the legal systems of modern European nations. Some of these states passed laws managing slavery irrespective of race, as if it were the same as Roman slavery.

Debtors were compelled to work for affluent landowners during the early Roman Republic in order to pay off their debts. Similar to Greece, the demand for slave labour surged once this practice was made illegal. Demand for agricultural workers increased as the Romans expanded their conquests into other parts of Italy and enlisted peasants. A never-ending supply of war captives were available for the affluent to utilize as slaves during the same conflicts that sent peasants into fight.

Keywords

Oikos, Athenian society, Pre-slave, Punic, Byzantium, Manumission

Discussion

2.2.1 Slave System in Greece

The word ‘slave’ did not exist in the Greek language; instead, there were various terms for different types of dependent and enslaved individuals, many of which were also used to refer to free individuals. The world has incorporated traditional reliance and solidarity structures. The terms ‘slave’ and ‘household’ are two; and Oikeus (plural *oikeis*) member of the household (*oikos*), is one of the most confusing ones.

In a strict sense, it could refer to any member of the family, whether they are slaves or free, or anyone who helps out around the house on a regular basis, as demonstrated by Homer. *Oikets* only started to be used to refer to slaves in the 5th century BCE. In contrast to his or her status as a foreigner, the slave was depicted as an integral part of home. By the 4th century, it did not always refer to domestic slaves. Furthermore, it can be challenging to separate the meaning of *oikets* from that of *doulos* in the sources (‘The slave and the household’ (*oikos*), ‘Otherness and domination’); the two terms frequently appear to be employed interchangeably.

Oikets became a crucial word for slaves during the Hellenistic era. These alterations may signify a shift in the role and functions of the *oikos* on a social and political level, as well as a clearer distinction between the free and unfree, but they also demonstrate that the Greeks were not always keen on using terms like ‘slave’ in their original sense. These phrases were first used to describe things and creatures in the 5th century, gradually the usages were used to describe slaves. The frequency with which an *oikogens* appear

as a descriptor in manumission or sale paperwork illustrates the importance of an *oikogens*. Similar distinctions can be found in various historic slave regimes. *Oikogens*, like other names derived from *oikos*, appears to emphasize the slave’s status as a household member as opposed to his or her status as property; yet, it maintains this sense across time, albeit occasionally having a negative tone. Slaves were frequently referred to as *pais* (Greek for “boy”), as well as its diminutives *paidion*, *paidarion*, and *paidisk*. These terms convey paternalistic ideas of slaves and treat them on par with family minor children, however the slaves being portrayed here are not necessarily children. They are most typically used in comedic contexts as words referring to the domestic setting.

The ancient Greeks were the first to use slaves on a large scale in all sectors of production. However, social distinction, surpluses, formation of state, and warfare restricted the impact of slave labour in Greece. The First slaves in a patriarchal society were women. Following a war, a group would massacre males and capture women and children. The availability of armed forces in society made enslavement more challenging. Men could fight, making it impossible to imprison them indefinitely. Slave women could be forced to form new bonds within the group, like having children. Men were less likely to have fictitious ties to the enslaving groups than women.

In the palaces of the Mycenaean society, there were at least 550 female slaves working as weavers. Domestic labour and the production of textiles were performed by women. In both Archaic and Classical Greece, slaves were



largely used in agriculture, mining, and the manufacture of handicrafts. Some historians contend that the significance of slavery in Greek agriculture was overestimated and that the agrarian economy was supported by free peasants.

2.2.1.1 Slave Markets in Greece

Apart from its essential social significance both within and outside of Greek culture, the availability of slaves was a key component of the ancient economy. There were slave markets everywhere in Greece. Slaves were traded all over the regions adhering to the Black Sea, the Adriatic, the Eastern Mediterranean, and North Africa. The same is true of its traditional centers, including Athens, Aegina, Corinth, Chios, and other places. Slaves were frequently found among the spoils of war. They were considered as booty which included animals and other items.

There are ten such civilizations, cultures, or societies which had practiced chattel slavery throughout all of recorded human history. Among these, Ancient Greek Civilization which existed from around 600 BCE to 300 CE, was such a civilization. Aristotle (384–322 BCE), attempted to rationalise chattel slavery on the basis of reason, but failed miserably to persuade even his own, more enlightened contemporary intellectuals.

2.2.2 Slavery in Athens

Athens was the capital of ancient Greece and it was at the heart of ancient Greece. Slaves' historical roots in Athens between the 5th and 4th centuries BCE are somewhat unclear. Rarely do the slaves attested on inscriptions of Athens appear to be in Greek. Instead, they originated from places like Thrace, on the periphery of the Greek world, and from the western Persian Empire provinces like Phrygia and Caria.

Athens, the most populous and well-known city-state in Greece, saw the second crucial development. The social structure of Athens was profoundly altered by Solon's elimination of debt bondage. Athenian citizens could no longer be forced into slavery after 594 BCE, which left a shortage of labour for landlords. To work on their estates, they started importing slaves. It is crucial to remember that slavery is not a necessary consequence of a labour shortage, but that it was the solution chosen by the ancient Greeks in the context of their particular historical situation. Slaves were employed in the 8th century BCE, according to Homeric evidence, and it's possible that this trend continued till the 6th century CE.

The increase of slave labour throughout the Classical Period was crucial to Athens success because it gave the governing elite access to resources and free time for cultural pursuits. The Laurium silver mines, the richest source of silver in ancient Greece, are said to have employed between 60,000 and 11,000 slaves from Athens. These mines were state-owned, and the silver they produced contributed significantly to Athens economic dominance in the Aegean. Along with accomplishing numerous domestic and menial activities, slaves also predominated the creation of handicrafts, worked as police officers and prison wardens.

2.2.2.1 Peloponnesian War (431–404 BCE)

The 5th century was a period of recurrent conflicts. The peloponnesian war was an ancient Greek war fought between Athens and Sparta and their respective allies. Athens suffered a severe setback and was on the verge of losing the majority of her citizens. Slaves were employed to fight in the navy throughout these conflicts, occasionally in exchange for the promise of freedom. According to Greek historian Thucydides, when a Spartan fort

was built close by, almost 20,000 slaves from Athens fled.

2.2.3 Slave System in Sparta

Sparta employed unusual instances of slave labour during the so-called dark ages. Helotry (slavery), a type of slavery where slaves were held by the state, was instituted by the Spartans when they conquered Laconia and Messenia. Laconians and Messenians started working as helots (slaves), doing household chores, caring for animals, and working in fields. Sparta conquered them and split their territory into *kleroi* (agricultural land), which were farmed by the helots.

Due to Spartan society's aristocratic structure, the '*kleroi*' were distributed unequally, with the nobility possessing larger estates. The helot distribution was regulated by the state, which assigned a specific number to each household based on their need for labour. Family bonds were made possible through helotry (slavery), and children born to helots (slaves) were treated equally to their parents. As a result, Sparta was eventually able to satisfy its demand for slave labour from Laconians and Messenians. But the only way to keep such a big populace in line was to use overwhelming force. Spartan residents were outnumbered by the slaves, and due to their military expertise, they were prepared to hold the slaves in captivity for many generations.

Due to the undeveloped Spartan economy, poor trade, and underdeveloped handicraft production, helotry, a rudimentary form of slavery, was common in Sparta. A vigorous trading network, property development, and petty-commodity manufacturing were necessary for privately held slaves.

2.2.4 Slavery in Ancient Rome

The majority of scholars agree that slavery existed in Italy, the centre of the Roman

Empire, throughout the late Republic and early Empire. There were many slaves who lived in these cities. The Roman elites may have had several hundred slaves labouring alone in their houses in Rome. A number of slaves were employed in the agriculture sector which was the base of the economy. Despite the existence of huge slave-run farms in numerous Empire provinces, it appears that agricultural slavery was primarily an Italian phenomenon. Italy was a slave society, but many of its neighbouring provinces mostly maintained their pre-slavery social order serf-like strata.

Roman law recognized slaves as property, with the term '*servus*'. The master's authority over slaves was absolute, and they were commodities to be bought and sold. Legal deprivation denied them a place in society, making them mere objects with no rights. The state's degradation of slaves through law and institutions was crucial to cope with the large slave population in Roman society.

2.2.4.1 Slave Population in Rome

The rise in slave population is calculated mostly based on inferences drawn from Rome's military past. Even before the First Punic War started in 264 BCE, the Roman forces engaged in frequent and fierce battles, and in Italy, there is an increase in the number of slaves by 220 BCE. In the 2nd and 1st century BCE, Rome continued to engage in numerous wars, which greatly expanded her empire. By the time of Augustus Caesar, there were around 1.5 million slaves in Rome.

The Romans had a life expectancy of between twenty and thirty years. According to several historical analogies, the impoverished population in general and slaves in particular tend to live shorter lives on average than slaveholders due to dietary and environmental disparities. However, this is not guaranteed.



For instance, the Roman elites resided in cities, where living conditions were exceedingly ill due to communicable diseases and subpar sanitation, and had a shorter life span.

It is very common that these slaves made an attempt to escape or to leave the slave dome, when they were manumitted. Many of these slaves spent their life in a slave dome until they died. The number of manumissions, escapes, and deaths per year depend on the total number of slaves. Consequently, before we can explore how much the slave population lost in these three ways, we need at least a rough estimate of the total number of slaves in the Empire. However, it might be challenging to determine how many slaves there were in a prehistoric community.

In Marxian terms, the ruling class ‘extracts surplus’ from a subjugated class through the organisation of labour. The term ‘surplus’ denotes the requirement of employees, as on an ancient farm, to create more than they consume in order to support a governing class that does not itself grow and collect food. A state is a slave society when its elites primarily ‘extracts surplus’ from slaves on its farms, mines, or workshops.

2.2.4.2 Manumission in Ancient Rome

According to their status at death, historians often refer to freed men and women as ‘ex-slaves’ or ‘freed persons’. Cicero suggested in a political address in 43 BCE that ‘frugal and hard-working’ captives often gained their freedom within six years. According to Henrik Mouritsen, a social historian, between one-quarter and one-third of this household died free, while the remaining members passed away as slaves.

The monumental change from being a non-person to becoming a slave was marked by rites, just like other life transitions like

birth, death, puberty, and marriage. Most manumission procedures required publicity, including this one. This served as a means through which masters both demonstrated their generosity and ensured slaves that they would honour the manumission. Rome, in contrast, was a free society of slaves.

The Roman slaves who were set free kept close ties with their former owners and were granted citizenship. The Roman ex-slaves were reborn into society with civic rights and a fictitious family link to their former owner, thereby ending their natal estrangement, according to Orlando Patterson’s description of slavery as social death. They had the option to acquire land and to intermarry, which they frequently did. While they had certain political and legal hardships, their offspring did not. In contrast to Athens’ reticence, Rome was willing to broaden its citizenship, and this was consistent with that. In brief, ex-slaves from modest backgrounds were more successfully and quickly assimilated into the lower classes in Rome than in Athens. On the other hand, wealthy and successful former slaves encountered the same issues when attempting to fit in with the snooty upper echelons, whether in Athens or Rome.

2.2.4.3 Slave Resistance

Slaves were widely spread and mingled with slaves from various regions, which prevented familial connections and acts of solidarity. They had no families, spoke several languages, and had no sense of identity. They had no other connections than their master, to whom they were subject. Slaves had no personal identification and were addressed by the names that their owners had given them. This arrangement made it impossible for slaves to develop a feeling of identity or of belonging. Slaves made several attempts to escape, especially in unsettling circumstances. Roman slaves were from a variety of

geographical origins, making it challenging to identify them. It was challenging to locate a slave who could have fled in a diverse state. Aside from individual fleeing, there were small-scale organised uprisings, but modern sources seldom ever mention them. In the late republic, there were three significant slave uprisings.

2.2.4.4 Slave Revolts

Slave uprisings were rare and only occurred in actual slave civilizations. They were widespread in slave communities under favourable conditions, with the only successful uprising in history being the one that led to Haiti's creation. Slave revolts had a significant impact on people's hopes, concerns, and attitudes, similar to murders committed by slaves. However, neither slave revolts nor their absence reveal the true feelings of slaves towards their masters. Although slaves in uprisings often killed their masters, this does not mean they always harbored the desire to act on it.

In 130 BCE, slaves in Athens' mining district, Laurion, murdered their masters and captured Sounion before destroying the surrounding area. This uprising had no precedents in Athens or Greece, but shared similarities with the anarchy and Roman Sicily's slave revolt in the second century BCE. Slaves escaped from their owners, and city-state wars could facilitate escape. For example, after the Spartans built a fort at Decelea, over 20,000 talented slaves fled Athens.

Major Roman slave revolts were mainly a feature of the late Republic (133-30 BCE): the first Sicilian revolt lasted from 137 to 132 BCE, the second Sicilian slave war from 104 BCE to 100 BCE, and Spartacus' rebellion from 73 BCE to 71 BCE. Even as early as the second century BCE and as late as 27

CE, we hear of insurrections. There were thousands-strong armies of rebel slaves took part in each of these uprisings. Over the course of several years, each inflicted defeats on the regular Roman army formations. The Romans were successful only after devoting the same remarkable military resources to battling their own slaves as they generally did to significant foreign battles. The revolts' geographic spread was similarly astounding. Sicily, a sizable and wealthy island filled with famous and populated Greek and Phoenician towns, served as Rome's first overseas colony and was a significant grain supplier.

2.2.5 Differences in Slave System

Slavery in Rome was different from that of Greece in numerous ways. The distinction between a slave and a citizen was less distinct in Rome than it was in Greece. The Greek cities zealously maintained their citizenship and granted citizenship to any foreigners. As a result, former slaves continued to be classified as metics, or resident foreigners, with little chance of ever achieving political rights in the cities where they lived. The Roman free men and free women, however, were allowed to become citizens. As a result, while Greek slavery was 'closed', the Roman system of slavery is frequently referred to as 'open'. This does not suggest that slavery in Rome was more tolerable than slavery in Greece. It is difficult to estimate the percentage of Greek or Roman slaves who were liberated or compare the standard of living for slaves in Greece and Rome.

2.2.6 Decline of Classical Slavery

A precise time frame for the abolition of traditional slavery is impossible. None of the Roman Empire's successor kingdoms had a slave population, and in the decades that followed the fall of the Empire, the significance of agricultural slavery in



particular significantly declined. However, even centuries after the fall of the Western Roman Empire, slaves were still a part of all these communities.

Even after slavery was completely abolished in some central European regions much later in the Middle Ages, it persisted in others. For instance, the medieval Mediterranean provided the setting for slavery to flourish due to conflicts and hostilities between Islamic and Christian nations. Conflicts like these were uncommon in the classical world since they introduced the element of religious difference to the definition and institution of slavery.

The eastern, Greek-speaking portion of the Empire, which historians regard as the

Byzantine Empire even though its inhabitants continued to identify as Romans, fared better. Even sections of Italy, Spain, and North Africa were successfully recaptured by the Byzantine Empire in the 6th century CE. In the middle of the 7th century CE, Muslim invaders captured Syria and Egypt, forcing the Byzantines to abandon those lands. Up until 1452 CE, the Byzantine Empire's remaining extensive territory was primarily in modern-day Turkey and the Balkan Peninsula. The centuries from 400 to 700 CE also saw a fundamental decline of slavery. The dozen or more smaller states that ruled what had once been the Western Roman Empire were societies with slaves but not slave societies. The Byzantine Empire too became less dependent on slaves; in particular, their role in agriculture faded.

Recap

- ▶ The word 'slave' did not exist in the Greek language; instead, there were various names for different types of dependent and enslaved individuals.
- ▶ Slavery originates from places like Thrace, on the periphery of the Greek world, and from the Western Persian Empire provinces.
- ▶ Slaves were traded all over the Black Sea, the Adriatic, the Eastern Mediterranean, and North Africa at the edge of Greek culture.
- ▶ The Peloponnesian War (431–404 BCE), a protracted conflict between Athens and its empire on the one hand and the Peloponnesian League led by Sparta on the other.
- ▶ The Roman ex-slaves were reborn into society with civic rights and a fictitious family link to their former owner.
- ▶ Major Roman slave revolts were mainly a feature of the late Republic.
- ▶ The Roman Empire had societies with slaves but not slave societies.
- ▶ In decline stages, The Byzantine Empire too became less dependent on slaves; in particular, their role in agriculture faded.
- ▶ In Sparta, slavery was also an essential part of the society's economy.
- ▶ In Rome, slavery was widespread and served many purposes, including agricultural labor, domestic service, and skilled trades.

Objective Questions

1. Who classifies slaves into two groups: slaves by nature and slaves by law?
2. What is the meaning of the word *Oikos*?
3. Which Roman statesman suggests that the hard-working captives gained their freedom within six years?
4. Who is the author of '*An Essay on the Principles of Population*' ?
5. Who attempted to rationalise chattel slavery on the basis of reason, but failed miserably to persuade even his own, more enlightened contemporary intellectuals?
6. Who records that after the Spartans built a fort nearby at Decelea with more than 20,000 slaves?
7. When did *Oikets* start to be used to refer to slaves in the fifth century BCE.?

Answers

1. Aristotle
2. Member of the household
3. Cicero
4. Thomas Malthus
5. Aristotle
6. Thucydides
7. 5th century BCE.

Assignments

1. Compare and assess the slave system of Greece and Athens.
2. Analyse the manumission mode of Rome. Describe the features of the Roman slave- holder system.
3. Discuss the factors that led to the decline of slavery in Greece and Rome.

Suggested Readings

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2. Forsdyke Sara, *Slaves and Slavery in Ancient Greece*, Cambridge University Press, 2021.
3. R. Zelnick-Abramovitz, *Not Wholly Free: The Concept of Manumission and the Status Manumitted Slaves in the Ancient Greek World*, Brill, Leiden, 2005.

Unit 3

American Practices

Learning Outcomes

After completing this unit, the learner will be able to;

- ▶ understand the American slave culture
- ▶ identify the property rights, liberation and religious nature that connected to slavery
- ▶ analyze the process of material production with slave society
- ▶ conceptualize the peculiar feature of American slavery

Prerequisites

The Colonies of Britain in the Americas (The North and South America was generally called the Americas) were another region which precipitated slavery and popularized it since its discovery by Columbus. From the time of its creation in 1776 until 1865, the legal institution of human chattel slavery was common in the United States of America, mainly in the South. In the Americas, slavery was established during European colonization. For the first time practiced in the Thirteen Colonies of Britain which later became the USA. An enslaved individual was regarded by the law as property that might be purchased, sold, or given away. Until its abolition, slavery persisted in the southern states of the USA. Many of the economic and social functions of slavery were carried out through segregation, sharecropping, and convict leasing in the decades following the end of Reconstruction era.

By the time of the American Revolution (1775–1783), the position of those who were enslaved as a racial caste with African origin had been institutionalized. Abolitionist laws were approved in the majority of Northern states both during and soon after the Revolution, a movement to do away with slavery emerged. The most divisive topic during the framing of the constitution of the United States (1789) was concerned with the slavery. The three-fifths clause, which increased the congressional representation and Electoral College votes of slaveholding states, granted slave owners disproportionate political power even though the Constitution's framers avoided using the word 'slavery' in its text.



According to the Constitution's Fugitive Slave Clause, if a slave escaped to another state, that state was obligated to hand the slave back to his owner. The Fugitive Slave Act of 1793, passed by the Congress, put this phrase into effect. By 1805, all Northern states had some kind of slavery abolished; although, in certain cases, the process was sluggish, and a small number of slaves were still present in the Northern states as of the 1840 census. Philanthropists and charity organizations bought and emancipated some slaves, while some slave owners, mostly in the Upper South, freed their own.

From the beginning of Columbus' voyage, till the end of the nineteenth century, it is estimated that among the Americans five million peoples were slaves. This type of slavery generally coexisted with the enslavement of Africans, which resulted in a catastrophic reduction in the native population. The population fall throughout the 16th and 17th centuries was nothing short of catastrophic in the Caribbean basin, the Gulf Coast, northern Mexico, and what is now the United States Southwest. Calamities like war, hunger, and enslavement, followed by epidemics, led to depopulation. Majority of the captives were women and children, leading to modern-day sex trafficking.

Keywords

White people, Lowcountry, Indentured slaves, Ku Klux Klan, Colonial Economy

Discussion

Slavery was a topic that was frequently discussed in the 1800s and earlier in the United States. In the Southern states of the USA, slaves toiled in the cotton and tobacco plantations. In the northern factories, textiles were produced using the cotton from the South produced with the labour of slaves. Slavery had a considerable cultural impact in various places. There had been slaves in the colonies since the 1600s. However, most of the northern states' population believed that nobody should own another human being.

By the time of the outbreak of the Civil War in 1861, the situation had become more difficult. Some individuals considered it cruel to own another person and treat them like property. Unfortunately, a lot of slave owners did not value non-white people as people. Some people thought that since slavery taught

Africans about Christianity and Western culture, it was beneficial for them. Some slaveholders did not consider themselves to be ruthless or avaricious. Some slave owners were friendly to them, treating them like family members. Even so, they would not release their slaves. System of slavery affected Africans in North America for more than 200 years. Slavery had a profound impact on men and women who worked in plantations, southern slave owners, northern abolitionists who battled to abolish slavery, and many others all over the USA. It was a tragic period in American history. Slavery existed on the continent as early as the seventeenth century.

The Africans weren't always pushed into forced labour in the beginning. Indentured servants were employed by the British colonists to help in their stores and in their farms. Indentured slaves were recruited from the other colonies of Britain and were

transported to the Colonies on contract which was seldom kept. They were taken to North America promising better pay and working conditions where they worked for four to seven years. Africans were brought to North America as indentured servants. Some indentured servants from Europe chose to immigrate to North America. As a kind of retribution for sins, others were made to travel to the continent. The indentured labour who could not not compromise with the working conditions and living circumstances gradually adapted themselves to the circumstances. In the long run they developed a composite culture of their own.

Some settlers attempted to use the native tribes for slave labour. Unlike the Africans, it was hard to enslave these folk. In order to subjugate the natives, the Europeans adopted different tactics including biological warfare like spreading of smallpox in the New Land. As a result, a number of indigenous tribes were depopulated. By 1600 CE, the British colonies in America were in need of more human resources. It led to the enslavement of more and more Africans and their transportation to the Americas. Between 1700 and 1775 CE, the 13 British colonies received between 600,000 and 650,000 Africans as slaves as a result of the Afro-American slave trade.

West and west-central Africa provided the majority of the continent's enslaved Africans. Some were taken as prisoners in conflicts. Others were labelled as criminals and sold as slaves. While some others had to accept it due to the debts which they were unable to pay. Captives were purchased by the Europeans from African vendors. The hostages were then transported across the Atlantic by the buyers. The Africans had to go across the Atlantic Ocean in appalling circumstances. The Middle Passage is the current name for the route. They travelled through a voyage of sickness,

brutality, and death. The African prisoners were frequently tied together and transported. The trip often went on for several months. Throughout the Middle Passage, numerous individuals perished from disease, infection, and starvation. Scurvy, diarrhea, malaria, mumps, and measles were all frequent ailments that blighted the slaves. Between 6% and 11% of the prisoners did not reach the destination as most of them perished at sea. The African immigrants in America faced a terrifying new life vary to undergo a lifetime of oppressive labor, encounter strangers with alien languages and customs, and give up their independence.

2.3.1 Virginian Experiences

This issue of enslavement of Africans was specifically mentioned at the first General Assembly in 1619 in English America, which prompted the firm to send as many additional colonists as they could. The civic commonwealth doctrine, which emphasized the usefulness of reformed labourers to the commonwealth, was strengthened by the rising shipment of paupers and indentured servants. The swift adoption of commodified African labourers by the English planters to Bermuda in the years just before 1619 was a reflection of the Portuguese empire's well-established and well considered trade, as well as the racial ideas that underpinned it. The Planters and investors in Virginia believed that investing in Transatlantic slave trade was necessary to secure the future of the colonies.

2.3.2 Slavery in the Lowcountry

Slavery was legal in the South Carolina Lowcountry, as it was in other colonies like Virginia and Maryland, but the majority of slaves were in the Lowcountry where there existed Charles Town Colony. The slaves were employed to cultivate crops, construct buildings, and worked in barns and in mines.



They had a significant role in the growth and development of the colonies. Sugar cultivation was impossible without slave labour. Paid or hired labourers were too expensive to avail, which increased the demand of the slaves.

Lowcountry proprietors started bringing slaves from Africa as the original native, slaves perished from illness, hard labour, old age, or other causes. The large interior acreages required an increasing number of slaves due to the high demand. The Royal African Company was founded by the English businessmen to conduct slave trade between the colonies in North America and the west coast of Africa. In South Carolina, planters often paid 100 to 200 pounds for a slave. Slaves toiled in appalling conditions in rice fields along the coast. The labour was challenging, hazardous, and nasty. During this period the infections including yellow fever, malaria, and others were widespread.

Charleston was the busiest port in the colonies of North America in the middle of the 18th century. However, relying solely on a single crop presented challenges. The availability of rice fluctuated from year to year, causing fluctuations in price. The price went up high when the supply was reduced. Slaves were required for cultivation of rice in great quantities. Growers paid high prices for their labour, supplies, and land. Only those growers who had easy access to loans, credit, and money managed to survive as a result. They acquired tiny parcels and consolidated them to create large estates. Thus was born the southern plantation system, where affluent landowners employed sizable slave populations to cultivate cash crops. According to historian Henry C. Dethloff, who wrote the article 'The Colonial Rice Trade,' "Fortunes may be earned and lost in a season. Market factors, milling expenses, and

agricultural techniques also played a role in the concentration of landholdings, large-scale, mass production, and marketing strategies, as well as the growth of the slave system."

2.3.3 Technology and Slavery

By 1720, farmers had a network of constructed ponds, canals, and dams for irrigating their paddy fields. Slaves in the paddy fields created a reserve system that made irrigation easier. This rice could be cultivated even when there was scarce rainfall. In 1750 a new system of irrigation developed in which fresh water from the coastal rivers was forced back upstream by ocean tides, boosting the water level and opening floodgates. The gates were shut as the tides died down, maintaining a reservoir and a steady flow of usable fresh water. This new technology brought fresh areas under rice cultivation. The land owners needed a large number of slaves for the application of the new technique. In South Carolina, African slaves outnumbered white residents by the first decade of the 1700s.

2.3.4 Colonial Economy

The colonial economy was built on a system based on slavery. The bankers in all the colonies lent credit to growers and middlemen using rice as collateral, laying the foundation of a national banking and credit system. By charging taxes, levies, and tolls for the transport of the commodity, the cultivation of rice also helped the colonial government financially. The city of Charleston soon became one of the richest cities in the colonies. In contrast to Europe's chaotic medieval cityscapes, the town was constructed on a modern grid system. Visitors were enchanted by the opulent residences, churches, and public structures. Agricultural output promoted more and more commercial activities throughout the colonies.

2.3.5 Abolition of Slavery

In 1787 the Constitution was ratified and slavery in the United States was in danger. A number of Northern states took action to end slavery, including Virginia, where legislation had already been passed and prohibited the importing of slaves. The economic factors were also unfavourable to slavery. Cash crop plantations in the Caribbean were in direct competition with the American exports of slave-grown goods like rice and tobacco. However, the Southern planters battled to keep slavery alive because they thought it was essential to keep slavery for the wellbeing of their plantations and way of life. After gaining independence from Britain, the former colonies had their own modes of economic growth. For instance, New York benefited from international trade, European immigration, and a developing manufacturing sector, whereas South Carolina relied on the export of rice and indigo. The states of New England had a strong anti-slavery movement, and Southern states like Georgia viewed Northern abolitionists as a threat. The nascent nation was threatened by secessionist tendencies particularly those between the Northern and Southern states.

2.3.6 Trade and Politics

The Northern states started outlawing slavery around the time of the Constitutional Convention. Slavery was outlawed in the Northwest Territory (Illinois, Indiana, Michigan, Ohio, and Wisconsin) by the Northwest Ordinance of 1787. As a result, the nation was divided into slave states and free states. The Southern States clung tenaciously to the institution because they saw it as essential to their economic development. However, even in the North, the end of slavery was not always implied by the abolition of slavery by law or by a provision in a state constitution. Some Northerners kept employing unpaid ‘servants’, making them work for free.

Additionally, fugitive slave laws to legalize fugitive slaves were enacted by a number of Northern states. Additionally, the Congress members did not feel the need to create new federal laws pertaining to slavery because the Constitution had postponed a ban on the slave trade until 1808. As a result, legal slavery persisted across the South, and the politicians in the North said nothing about the existence of slavery in their own states. Early in the nineteenth century, the Congress focused on the westward extension of the nation’s borders. For instance, in a wide area that was formerly known as the Yazoo, the federal government established territories comprising millions of acres of territory for settlement west of Georgia. This land was purchased by the settlers and hopeful farmers. Eventually, Alabama and Mississippi emerged from the Yazoo.

The promise of rich soil for rice, indigo, sugarcane, and cotton sparked the land rush. Slave labour was necessary to grow these crops on a vast scale. These goods’ shipment to Europe boosted US economic growth and attracted foreign capital. While the Northern ship owners gained indirectly from the slave trade and the export of Southern cash crops to European markets after the import of slaves was outlawed and the Southern planters relied on slave labour. Cotton was sold by New York merchants for a profit, and New England textile mills used the same product as a raw material. The core of the country’s economy, the banking and credit system, was backed by agriculture based on slave labour. This was a major factor that lawmakers in the North decided to reject a proposed law outlawing slavery in the Yazoo region. The subject of outlawing slavery in new areas, west of the Mississippi River was delayed as a result of this.



2.3.7 Slavery and Development

For new states to flourish and for the country to get to the Mississippi River basin, it was necessary to buy frontier territory, which required credit and loans. However, ownership of the area beyond the Mississippi was still disputed in the early 1800s. The present-day states of Minnesota, Iowa, Missouri, Arkansas, and Texas, as well as the western territories, were still subjected to English, French, and Spanish claims. The majority of Northerners believed that prohibiting or opposing slavery in the area would be detrimental to the American interests. It would deter habitation and growth in the area, allowing adversaries to annex a valuable chunk of land. As a result, the growth of the United States as a continental power would be hampered. Jefferson supported a number of justifications for preserving slavery, and the institution was allowed to exist in the Yazoo region.

The slave owners provided financial assistance and slaves to build universities in Virginia and the rest of the South. The University of Virginia, Duke University, and Brown University have all worked on the initiatives that examine their ties to slavery and how slaves influenced their creation and expansion. Some people have even built monuments to honour their involvement with slavery. For instance, the Brown University includes a monument commemorating the transatlantic slave trade, which depicts a broken chain attached to a ball that is mostly hidden, symbolizes a history that is both weighty and somewhat hidden.

2.3.8 Civil War

In 1861, the Civil War broke out. Slavery and the right to own slaves caused tension between the North and South. The Southern states saw their right to decide whether to maintain slavery as their birthright. They

disagreed with the federal government's decision to enact laws on slavery and asserted their belief in states' rights. The Southern political elites were anxious about a federal prohibition on slavery after Abraham Lincoln was elected president in 1860. Actually, Lincoln did not advocate for the nationwide abolition of slavery. He only formally opposed slavery in recently created states and territories.

Nevertheless, after Lincoln became the elected president, eleven Southern states formally broke away from the Union. They established the Confederate States of America, which had its own legislature, president, and the capital. Lincoln made the decision to enter the war and made an effort to keep the nation together. The war started with the Confederate attack on Fort Sumter, which was being held by the US troops in Charleston, South Carolina's harbor. The Confederate forces were defeated in April 1865, ending a four-year conflict which began in 1861. The southern states were compelled to join the Union. The thirteenth Amendment to the Constitution outlawed slavery. As a result, there were many recently freed African Americans living in the South. Their rights, as well as the reconstruction of the South's legal system and economic system, occupied the US government for decades and continue to influence modern politics.

2.3.8.1 The Civil War Amendments

The issue of slavery and the recently freed slaves brought significant legal changes. According to the Fourteenth Amendment all people born in the United States had US citizenship. Therefore, African Americans had the right to 'equal protection' under the law and were considered as citizens. As a result of the 15th Amendment, African Americans acquired the right to vote. Before the federal government allowed the former Confederate

states to rejoin the Union and they had to adopt these amendments. They did so gradually, with Georgia being the last to rejoin in 1870.

The Civil War amendments established the framework for the contemporary legal system in the same way that slavery aided in the development of the US economy. This implies that any state or local government that creates legislation must abide by the rules established by the Constitution and its amendments. For instance, the Supreme Court's justices have cited the equal protection clause of the fourteenth Amendment thousands of times in their rulings. In the United States, everyone enjoys the same legal rights as everyone else, which is known as equal protection. In this way, the institution of slavery and its aftereffects can be seen as the source of the principles of equal civil rights, the right to vote, the right to self-defense in the court against criminal charges, and the rights of citizenship.

There were mainly four ideas developed by the Revolutionaries during the period of the American Revolution. Their key concepts were mainly based on slaves' property rights. The first of them was the existence of property rights supported by individual labour. The second was that aristocratic system gave rise to an impure political organisation where a select few used the state's coercive powers to benefit themselves, leading to the unnatural concentration of wealth in a small number of hands. The third was the presence of property rights was necessary for civilization, which has been accepted since the Roman Republic. The fourth, republics were representational political systems with majority rule for passing legislation.

2.3.9 Reconstruction

By the beginning of the 19th century, about four million slaves were freed. The 'Freedmen's Bureau' was a brand-new

organisation created by the federal government. This organisation assisted freed slaves in acquiring property, starting enterprises, and obtaining training for employment. As an occupying army, the United States also dispatched its soldiers into the Southern States. The freedmen received parcels of certain captured Southern farms. Both the US Congress and the Southern legislatures' elections for African American men were successful. Laws ensuring equal access to transportation, public accommodation, and education have been passed by Southern States.

Reconstruction opponents in the South retaliated by passing legislation known as 'Black Codes' that limited African Americans' ability to vote, run a business, receive an education, and use public facilities. Military governors in the South and the federal government, both proclaimed the Black Codes to be unlawful. However, some were reestablished when Reconstruction ended in 1877. Confederate veterans formed the Ku Klux Klan (KKK) to protest against the federal Reconstruction regulations after the Civil War. The KKK has persisted into the present day in some capacity. Threats, assault, and murder were used by the group as a form of intimidation against both white individuals who supported integration and the African Americans who were asserting their legal rights. Reconstruction left behind a significant legacy in the subject of states' rights. The Southern and conservative politicians developed a strong stance against federal policies and the federal government's general authority. These politicians didn't advocate for or recommend a return to slavery that was abolished.

However, they did assert that they were advancing the fundamental purpose of the Constitution, a division of powers that gave the power to decide on civil rights mostly to



the states. Sharecropping in the South, the Civil War left a trail of extensive destruction. Farms, railroads, factories, homes, and other structures were all destroyed. The Southern economy suffered without slave labour to drive trade and agriculture, which was essential. It used to be the richest region of the nation, but in the years following the war, it turned into the poorest.

The cotton industry continued to be strong. However, the system of plantations based on slavery was abolished. When freedmen tried to start their own farms, they encountered rules and traditions that made it impossible for them to acquire land. To purchase homes, property, or necessary equipment, they struggled to obtain loans or other forms of assistance from banks or the government.

Instead, they were forced to work for plantation owners for low pay under a system of labour contracts. In the South, a sharecropping system also developed over time. Instead of being the proprietors, black families were renters on farming estates. They raised crops and used a portion of the annual harvest to pay their rent. They relied on merchants who advanced tools, seeds, and other necessities on credit and kept their consumers in a lifetime of debt. A nationwide financial crisis occurred in 1873. As unemployment increased and businesses shuttered their doors, many banks failed. The politicians from the North diverted their focus from the challenges of the freedmen to economic considerations. The State legislatures in the South started drafting new laws that weren't always in accordance with the Constitution's post-Civil War amendments. This led to fresh conflicts over voting and civil rights as well as fresh divisions in the nation that persist even today.

Modern United States of America

The South continued to lag behind the

northern, mid-western, and western regions of the country even 150 years after the Civil War. According to the US Census Bureau report 2016, the South had higher poverty rates, while the North had better incomes and industrial productivity. The United States experienced a severe recession in 2008. The economy shrank, and numerous banks became bankrupt. The nation's largest rise in families living in poverty during the recession was seen in the South. Even though a variety of variables were involved in these issues, slavery and the conflict that abolished it continue to have a significant impact on the area.

2.3.10 Decline of Slavery in America

The 13th amendment of the U.S Constitution passed by the Congress on January 31, 1865 and ratified on December 6, 1865. As a result slavery was abolished in the United States. The decline of slavery in America was the result of a complex interplay of economic, political, social, and moral factors. They can be summed as the following:

1. **Economic Reasons:** The rise of industrialization and capitalism meant that slavery was no longer an economically sustainable system.
2. **Abolitionist Movement:** The abolitionist movement gained momentum in the 18th and 19th centuries, with activists like William Lloyd Garrison, Frederick Douglass, and Harriet Beecher Stowe advocating for the end of slavery.
3. **Political Factors:** The Civil War and the Emancipation Proclamation played a significant role in the decline of slavery, as many slaves were freed when the Union Army swept through the Confederate states.
4. **Religious and Moral Reasons:** The idea of slavery as morally wrong gained

traction among religious groups, especially Quakers and other religious minorities, who played a significant role in the abolitionist movement.

- 5. International Pressure:** Many countries, including Great Britain and France, had already abolished slavery by the mid-1800s, and there was growing international pressure on the United States to follow suit.

2.3.11 History and Legacy

The debate over whether to keep or abolish slavery was solved with the end of the Civil War. Legally, slavery was abolished by the

13th amendment. However, a lot of businesses made it through the war and expanded ties to slavery. The insurance companies, the plantation owners, estate owners and mining companies etc., found it difficult to compromise with the abolition of the slavery. It caused them great financial problems. Since the abolition, attempts were adopted by the government to abolish other forms of slavery through acts like the Brussels Conference Act. A series of cases of human trafficking and slave trading came up. However, the measures taken by the U.S government and a number of human right measures could chain such activities.

Recap

- ▶ In America, slavery was established during European colonization.
- ▶ Seven slave states formed the Confederacy to stop the spread of slavery.
- ▶ In 1787, the year the Constitution was ratified, slavery in the United States was in danger.
- ▶ Cash crop plantations in the Caribbean were in direct competition with the American exports of slave-grown goods like rice and tobacco.
- ▶ The cotton industry continued to be strong, and the system of plantations based on slavery was abolished.
- ▶ The decline of slavery in America was the result of a complex interplay of economic, political, social, and moral factors.
- ▶ The abolitionist movement gained momentum in the 18th and 19th centuries, with activists like William Lloyd Garrison, Frederick Douglass, and Harriet Beecher Stowe advocating for the end of slavery.
- ▶ Great Britain and France had already abolished slavery by the mid-1800s, and there was growing international pressure on the United States to follow suit.
- ▶ Legally slavery was abolished by the Thirteenth Amendment of the Constitution.
- ▶ Threats, assault, and murder were used by the group Ku Klux Klan as a form of intimidation against both white individuals who supported integration and African-Americans who were asserting their legal rights.



Objective Questions

1. In which election did Abraham Lincoln win, leading to the formation of the Confederacy by seven slave states?
2. When was the Slavery Abolition Act implemented in the USA?
3. Which two coastline areas were considered part of the Lowcountry?
4. Who authored the article titled 'The Colonial Rice Trade'?
5. Which organization aided freed slaves in obtaining property and starting businesses?
6. Which racial group was formed in opposition to the anti-slavery movement?
7. What were the two political factors that contributed to the abolition of slavery?
8. Which organization was founded just before the American Civil War to ensure the well-being of slaves?
9. When did slavery was abolished in the United States?
10. When did the Civil War break out ?

Answers

1. 1860
2. 1865
3. Georgia's and South Carolina's
4. Henry C. Dethloff
5. 'Freedmen's Bureau'
6. Ku Klux Klan
7. The Civil War and the Emancipation Proclamation played
8. Aetna Insurance
9. 1865
10. 1861

Assignments

1. Discuss the economic aspects of plantation slavery in America, focusing on its impact on the economy.
2. Conduct an analysis on the works and contributions of the abolitionist movement, highlighting key figures, strategies, and achievements.
3. Provide a comprehensive description of Abraham Lincoln's role in the emancipation of slaves, emphasizing his actions, policies, and significance in the process.

Suggested Readings

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Unit 4

Surplus and Urbanization

Learning Outcomes

After completing this unit, the learner will be able to:

- ▶ explore the relation between slavery and surplus extraction
- ▶ identify the urbanism connected to slave society
- ▶ analyze the process of American material culture
- ▶ conceptualize the historical nature of surplus production and urbanisation

Prerequisites

‘Uncle Tom’s Cabin’ is the bestseller among the novels written on slavery. Slavery has been depicted in various literary forms and films. Slavery created a social structure that was deep-rooted in racial inequality and discrimination. Enslaved individuals were considered as property rather than human beings and had no legal rights or protections. They were forced to live and work under brutal conditions, with no personal or political freedoms. In urban areas, enslaved people often worked in skilled or semi-skilled trades, such as blacksmithing, carpentry, or domestic service. While it provides some opportunities for social mobility and slaves were still seen as inferior and were relegated to the lower classes of society.

This social structure not only created a division between enslaved people and their owners, but also between the white people of different socio-economic groups. Wealthier white families were able to purchase more slaves and maintain a higher social status, while poorer whites often resented the competition for jobs and resources. Overall, the social structure created by slavery was deeply unequal and influenced the development of urban areas in the United States. The legacy of slavery and racial inequality continues to impact American society even today.

Keywords

Surplus extraction, Urbanization, Enslavement, Civil War, Domestic Trade, Transatlantic slavery

Discussion

2.4.1 Slavery and Surplus Production

While slavery did create surplus through the forced labour of enslaved individuals, it is important to recognize that this surplus was extracted by exploiting the labour and lives of people who were treated as property, rather than through ethical means. Additionally, while slavery did contribute to urbanization in some areas, such as the growth of port cities in the American South. It also created social and economic inequalities that continue to have an impact on these communities today. It is essential to acknowledge the full scope and impact of slavery on history and work towards restorative justice and reconciliation with affected communities.

Domestic slave trades (internal slave traders) brought terrible additional levels of agony to add to the mental and physical hardships of enslavement through their ability to split families apart. These cruel exchanges were essential to the growth of several significant slave economies, most notably the flourishing 19th century slave economy in Brazil and the United States. Enslaved individuals were sometimes moved during these forced migrations by sea, river, or railway. More frequently they were marched over long distances, while being chained together in coffins to places where there was a particularly high demand for labour and slaves.

The grassroots of villages and plantations were more significant in both the purchasing and selling phases of these activities, though major urban centres played key roles. Slave-exporting regions typically had a naturally rising population, which resulted in a surplus of enslaved individuals for far-off markets. This aspect, however, was also very important for the continuation of large-scale activity.

The potential for domestic slave traffics was constrained in many areas of America by the prevalence of sugar plantations. Anti-slavery movement was active in bringing attention to the suffering caused by these domestic exchanges. The slave society had terminated, or nearly ended, its involvement in the African slave trade. Domestic trade peaked in the British Caribbean from 1807 to 1833, in North America from 1807 to 1865 (the abolition of US slavery), and in Brazil from 1850 to 1888 (the end of slavery). All slave regimes engaged themselves in the local selling of slaves within neighbourhoods.

The bulk of Africans who were forcibly transported across the Atlantic to work in the New World—and their descendants after them—ended up residing, working, and dying in the numerous plantations that supported the local economies during the colonial era and a large portion of the 19th century. However, a small portion of this group was subjected to slavery in cities. The relevance of slavery and their concerns have not yet been subjected to detailed studies. Our knowledge about transatlantic slavery has been produced out of local, regional and national studies.

Richard Wade, an American historian, who wrote '*Slavery in the Cities: The South 1820-1860*'. In this book he states the challenges and expense of keeping slaves under control in the urban South and explains its waning in the area. He developed the argument that slavery was incompatible with urban settings and so could not be sustained in it. Since the 1990's all the literature on slavery presented the view that urban slavery must be taken into account to comprehend the practice of slavery fully.

2.4.2 Economy Built on Slavery

It took a lot of labour to create a commercial operation out of the wilderness. The American



colonies had agricultural economies for the most of the years in the 1600s, largely supported by indentured servitude. Most employees were unemployed, impoverished labourers from Europe who, like other immigrants, had come to North America in search of a better life. They were given food and housing, basic education, and maybe a trade in return for their labour. The British economy had improved by 1680, and there were more jobs available there. Slavery in the colonies had evolved throughout this period into a morally, legally, and socially acceptable institution. Enslaved Africans became more popular as the number of European labourers arriving in the colonies decreased.

Property owners in the southern colonies started constructing plantation farms for cash crops like rice, tobacco, and sugarcane, a business that required increasing numbers of labour due to the favourable climate and abundant land availability. Rich planters turned to traders to fill the demand, who brought ever-increasing amounts of human chattel, primarily from West Africa, to the colonies. The cotton industry which existed from the end of 18th century was the most profitable business for a while in America, at least till the beginning of the Civil War. Slave auctions became a new industry as more imported Africans were brought into slavery. These open marketplaces, where people were treated like animals and sold to the highest bidder after being examined, turned out to be an increasingly successful business. A talented, physically fit slave might earn up to \$2,000 by the middle of the 19th century, however pricing varies state by state.

2.4.3 Decline of Slavery

The following are pointed out as factor that led to the decline of slavery:

1. **Economic Factors:** The theory suggests that the decline of slavery was due to economic factors such as the increased availability of wage labor, industrialization, and the expansion of capitalism. As these economic systems developed, they undermined the profitability of slavery.
2. **Political Factors:** Another theory argues that the decline of slavery was due to political factors such as the influence of abolitionist movements, which pushed for the abolition of slavery in various countries around the world.
3. **Social Factors:** Another theory suggests that changes in social attitudes towards slavery played a key role in its decline. As public opinion shifted and people began to view slavery as immoral and unjust. Simultaneously, pressure increased on governments to abolish it.
4. **Military Factors:** Some scholars argue that military conflicts resulted in the decline of slavery. For example, the American Civil War was a significant factor in the abolition of slavery in the United States. The legislation in connection with the Civil War was directed towards the abolition of slavery, legally.
5. **Technological Factors:** Finally, some commentators credit technological innovations such as the cotton gin, which made cotton production more efficient and less reliant on slave labor, for the decline of slavery.

2.4.4 Rise of Modern America – Slavery, Surplus Extraction and Urbanization

The history of slavery in America is closely linked to the extraction of surplus labour and resources from slaves by their owners. This

excess production created wealth for slave-owning societies, which was often invested in urban centers, leading to the growth and development of cities in America. As slavery was an economic system, it relied on the surplus extraction of labour from slaves to continue to generate wealth for their owners. Slave labour was primarily used in agricultural production, with many plantations located in rural areas. The generation of huge profit by the slave owning societies in the South resulted in the formation of affluent states of the South.

Slavery and urbanization share a complex relationship. The growth of urban centers provided new markets for the goods produced by the slaves, leading to an increase in demand for their labour. At the same time, the surplus extraction of labour from slaves created wealth that could be reinvested in urban areas, leading to the development of infrastructure and institutions that supported urbanization. However, the growth of urbanization and industrialization also contributed to the decline of slavery in America. The development of factories and the introduction of new technologies made free labour more efficient and less expensive than slave labour, leading to a decline in the economic viability of slavery.

The conditions of slave labour in cities evolved as a result of owners and slaves making accommodations to one another

and this increased slave bargaining power. Slaves took advantage of the chaotic nature of urban life to seize a greater degree of economic freedom, and domestic servants, who were heavily represented among urban slaves, always had more clout. Masters used this strategy to make rebellion, including individual emancipation, less likely. This line of reasoning could lead one to properly infer that urbanisation decreased the ability of slave-owners to extract slave income, allowed for the improvement of free labour over enslavement, and reduced the urban demand for slaves.

Despite many criticisms, the idea that urbanisation and slavery were incompatible remains crucial. But in order to fully analyse the origins of urban demand for slaves and the institutional underpinnings of urban-rural disparities in demand elasticity for slaves. Further research on the influence of urbanisation on slavery must address the significant institutional problems that have been raised. Claudia Dale Goldin, *Urban Slavery in the American South 1820-1860: A Quantitative History*, has greatly improved the definition of the economic content of an important historical subject, much like so many other 'new' economic historians. One can only regret that in specifying her model and in exploring the meaning of her results, she lashed herself too tightly to the quantifiable, did not consider more carefully the implications of 'traditional' interpretations.



Recap

- ▶ In urban areas, enslaved people often worked in skilled or semi-skilled trades.
- ▶ This social structure created divides not only between enslaved people and their owners, but also between white people of different socio-economic statuses.
- ▶ Fierce exchanges were essential to the growth of several significant slave economies, most notably the burgeoning 19th-century slave economy in Brazil and the United States.
- ▶ Enslaved individuals were sometimes moved during these forced migrations by sea, river, or railway and sometimes they were made to march on foot slave-exporting regions typically had a naturally rising population, which resulted in a surplus of enslaved individuals for far-off markets.
- ▶ Slavery in the colonies had evolved throughout the 17th century into a morally, legally, and socially acceptable institution.
- ▶ The decline of slavery was likely a result of a combination of various factors.
- ▶ The development of the domestic slave trade and decreasing agricultural production are consequences of American Revolution.

Objective Questions

1. Which part of America gained prominence through a slavery-based urban system?
2. Who is the author of the book 'Slavery in the Cities: The South 1820-1860'?
3. What was the primary cause behind the increase in the number of enslaved Africans?
4. What factors led to the development of the domestic slave trade and a decrease in agricultural production?
5. Who wrote the book 'Urban Slavery in the American South 1820-1860: A Quantitative History'?
6. Which movement pushed for the abolition of slavery in various countries around the world?
7. Which movement was active in bringing attention to the suffering caused by these domestic exchanges?

Answers

1. American South
2. Richard C. Wade
3. European colonialism
4. American Revolution
5. Claudia Dale Goldin
6. abolitionist movements
7. Anti-slavery movement

Assignments

1. Write an essay that explores the interconnected history of slave society and urban society, highlighting the ways in which these two aspects influenced and shaped each other.
2. Conduct a detailed analysis of the relationship between surplus extraction and slavery, examining how slavery served as a mechanism for extracting surplus labour and resources.
3. Provide a comprehensive description of South American slavery, discussing its origins, development, key characteristics, and legacies.
4. Explore and present an overview of the various theories of decline surrounding slavery, discussing the multiple factors and perspectives that have been proposed to explain the decline of slavery in different contexts.

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BLOCK - 03

Feudalism

Unit 1

Changes in Mode of Production

Learning Outcomes

After completing this unit, the learner will be able to:

- ▶ familiarise themselves with the concept of Feudalism
- ▶ analyse the changes in the mode of production in a feudal society
- ▶ explore the emergence of urban classes

Prerequisites

In a world filled with castles, the knights, and the kings and the queens, power and the land were the key ingredients. At the top of the social pyramid sat the king and the queen, ruling over the entire kingdom. They held authority and made important decisions for the realm. Their word was the law, and their duty was to protect and govern their subjects.

A beautiful castle standing tall and proud was the home of the noble lord or lady, who was chosen by the king or the queen to oversee a specific region called a fief. The lord or lady was like a mighty general, responsible for maintaining order and justice within their fiefdom. They protected the people, resolved disputes, and collected taxes. The hard working peasants were like the roots of a great tree, providing essential sustenance. The peasants worked on the land, toiling under the sun and the rain to grow crops and feed everyone in the kingdom. In return for their labour, they were granted small plots of the land by the lord or lady. This land, known as manor, was the center of their lives and provided them with shelter, food, and a sense of belonging.

Fierce warriors on horseback, known as the knights, were the guardians of the realm. These brave men were trained from a young age in the art of combat, chivalry, and honour. They swore oaths of loyalty to their lord or lady, ready to defend their fiefdom at a moment's notice.

The lord or lady granted the land to the knights, known as fief. In return, the knights pledged their unwavering loyalty, protecting their lord or lady in times of war and acting as their trusted advisers. It was a bond forged in honour and trust, forming the backbone of the feudal system.

Together, these different layers of society formed a tightly woven tapestry. The king and the queen ruled over the land, the lord or lady governed their fief, the knights defended their lord or lady, and the peasants worked on the land. This is the essence of feudalism.

Keywords

Feudalism, Modes of production, Lords, Feudal system, Urban class, Subsistence

Discussion

3.1.1 Feudalism

Feudalism was a system of social, political, and economic organization that dominated medieval Europe for several centuries. It was a way of structuring society that revolved around land ownership, loyalty, and the exchange of goods and services. In feudalism, the king or the queen held the highest position of authority. They granted the land, known as fiefs or manors, to the nobles, who were typically lords or ladies. In return, these nobles swore their loyalty and support to the king, providing military services and other forms of assistance when required. The nobles, in turn, divided their land into smaller portions and granted them to the knights. These knights were skilled warriors who were responsible for protecting their lord's land and providing military services whenever called upon. In exchange for their land and protection, the knights pledged their loyalty and service to the nobles.

At the bottom of the feudal hierarchy were the peasants, also known as the serfs or villeins. They were the common people who lived and worked on the land owned by the nobles. The Peasants worked on the fields, raised livestock, and performed various tasks to support themselves and their lord. In return, they were granted protection and the right to live on the land, but they were also bound to it and had to provide labour and a portion of their harvest to the nobles.

Feudalism was characterized by a system of mutual obligations and responsibilities. The nobles provided protection and resources to the peasants, while the peasants worked on

the land and provided goods and services to their lords. The knights served as the military force, defending the land and maintaining order. This system provided a hierarchical structure that ensured stability and security in a time of frequent invasions and conflicts. It also established a sense of order and a code of conduct, such as chivalry for the knights, which emphasized honour, loyalty, and noble behaviour. Feudalism began to decline in the late Middle Ages as centralized monarchies and stronger nation-states emerged. The changes in economic and social conditions, such as the growth of cities and the rise of the merchant class, also contributed to its gradual demise. Nevertheless, feudalism left a lasting impact on European history and played a crucial role in shaping medieval society.

3.1.2 Feudal Mode of Production

Feudalism emerged after the collapse of the Western Roman Empire, and it was characterized by a decentralized system of power and authority. The land was the most valuable resource, and the feudal lords were the primary owners of the land. During the period of feudalism, there were significant changes in the mode of production that shaped the social, political, and economic structures of Europe.

In the early stages of feudalism, the mode of production was primarily based on agriculture, with the peasants working on the land to produce food and other goods for their lords. As this new system developed, the feudal lords began to lose their monopoly on the means of production, as merchants and artisans began to own their own tools and workshops. As a result, trade and commerce



began to develop, a new class of merchants and artisans emerged. This led to the growth of towns and cities, and the rise of a new economic system based on commerce and trade.

At the same time, technological innovations such as the invention of the printing press and the use of gunpowder changed the nature of warfare and politics, and helped to shift power away from the feudal lords. Eventually, these changes led to the decline of feudalism and the emergence of a new mode of production, known as capitalism. In this system, the means of production were privately owned by individuals or corporations, and the goal was to maximize profits and accumulate wealth.

3.1.3 Subsistence Agriculture

In the early Middle Ages, the dominant mode of production in Europe was subsistence agriculture. It simply means that the peasants, who made up the majority of the population, produced enough food to feed themselves and their families, with any surplus going to the lord of the manor. The lord was the owner of the land and had the right to extract resources from it, including labour from the peasants. This mode of production was characterized by the collective ownership of land and the sharing of labour among members of the community. The land was typically owned by the lord, but the peasants had the right to use it for their own subsistence needs. They lived in small, close-knit communities and worked together to cultivate crops.

The peasants shared the labour involved in farming, such as ploughing, planting, and harvesting among themselves. They also shared other tasks, such as animal husbandry and woodcutting. This system of collective labour helped to ensure that everyone in the community had enough to eat and that the

land was efficiently used for cultivation. In addition to producing food for themselves, the lord and the peasants also engaged in other economic activities, such as weaving, spinning, and making pottery. These goods were typically made for local consumption and were traded within the community. An example of this mode of production in action can be seen in the village of Herisson, in France.

In the early Middle Ages, the village was a typical example of a subsistence economy. The peasants worked together to cultivate the land, using oxen to plough the fields and growing crops such as wheat, oats, and rye. They also domesticated animals such as pigs, cows, and sheep. The village was organized around a central square, where the peasants would gather to socialize and trade goods. They would bring their surplus crops and livestock to the central square to trade with other villagers. There was also a common or public oven where the peasants would cook food and a common mill for grinding grain.

In the subsistence mode of production the land was collectively owned and labour was shared among members of the community. This system would eventually evolve into the manorial system, as the population grew and new economic opportunities arose.

3.1.4 Manorial System

As the population grew in Europe during the Middle Ages, there was increasing pressure on the land to produce more food. The subsistence mode of production, where the peasants produced enough food to sustain themselves and their families, became less viable. In response, a shift towards the manorial system began to take place.

Under the manorial system, the lord of the manor granted the land to the peasants in

exchange for labour and loyalty. The peasants, known as the serfs, were bound to the land and could not leave without the lord's permission. They were required to work a certain number of days in each week on the lord's fields, as well as to perform other tasks such as repairing buildings and maintaining roads. In return, the lord provided protection and access to resources such as food and water. The manorial system was characterized by a hierarchy of power, with the lord at the top and the peasants at the bottom. The lord had the right to extract resources from the land, such as timber, minerals, and hunting rights. He also had the power to administer justice and resolve disputes among his tenants. The serfs, on the other hand, had few rights and were subject to the lord's whims and demands.

One example of the manorial system in action was the three-field system, where the land was divided into three parts. One part was sown with winter crops such as wheat, rye, or barley, the second part was sown with spring crops such as peas, beans, or lentils, and the third part was left fallow. This allowed the soil to recover and regain its fertility. The crops were shared among the community, and the lord took a portion of the harvest as a payment for the use of his land. Another example of the manorial system in action can be seen in the Domesday Book published in 1086, which records the landholdings and resources of various lords and the labour owed to them by their tenants.

Altogether, the manorial system represented a shift towards a more hierarchical, centralized mode of production, where the lord had greater control over resources and labour. This system would eventually evolve into feudalism, as the power of the lords increased and new economic opportunities arose.

3.1.5 Commercialization of Agriculture

As the population continued to grow during the High Middle Ages in Europe, the demand for food also increased. This demand, coupled with the rise of towns and cities, created new opportunities for farmers to sell their surplus crops for profit. This led to a shift towards the commercialization of agriculture, where farmers began to produce crops not only for their own subsistence needs, but also for sale in markets.

The open-field system was a response to this shift. Under this system, the land was divided into large fields that were further subdivided into strips, which were allocated to individual families. Each family was responsible for cultivating their own strips of the land and for providing labour to maintain the shared aspects of the field, such as ditches and fences. This allowed for greater specialization and the cultivation of crops that could be sold for profit, such as wheat and barley. The open-field system also allowed for greater flexibility in the use of land. Instead of being limited to a three-field system, where one-third of the land was left fallow each year, the farmers could now grow crops on all their land, maximizing their output and profits. They could also decide which crops to grow based on market demand and soil fertility.

One example of the open-field system in action can be seen in the village of Cuxham, in Oxfordshire, England. In the 14th century, the village had a total of 768 acres of arable land, divided into three open fields. Each family in the village had a strip of land in each field, and the strips were arranged in long narrow rows. The families were responsible for cultivating their strips and maintaining the shared aspects of the field. The open-field system was an important step towards the development of



capitalist agriculture, as it allowed for greater efficiency, specialization, and profit. It also laid the groundwork for the eventual enclosure of common land and the rise of private property, which would lead to the Industrial Revolution and modern capitalism.

3.1.6 Growth of Trade and Commerce

During the feudal period, the growth of trade and commerce played a significant role in shaping the mode of production. One of the main factors driving this growth was the Crusades, a series of military expeditions undertaken by the European powers to regain control of the Holy Land of Palestine from the Muslim forces. The Crusades opened up new trade routes to the east, which stimulated the growth of trade and commerce in Europe. Merchants and traders were at the forefront of this growth. They accumulated wealth through trade, buying and selling goods such as spices, silks, and precious metals. This wealth allowed them to invest in new technologies such as watermills, which allowed for the mechanization of production. Watermills could grind grain into flour much faster and more efficiently than traditional methods, which allowed surplus production.

The growth of trade also led to the development of new financial institutions, such as banks and credit networks. These institutions allowed the merchants to finance their trade ventures and invest in new technologies. They also allowed for the transfer of wealth and capital across long distances, which helped to stimulate the growth of trade. One example of the growth of trade during the feudal period can be seen in the city of Florence, Italy. In the 13th and 14th centuries, Florence was one of the wealthiest cities in Europe, in large part due to its thriving textile industry. The city's merchants and the bankers played a significant role in the growth of trade

and commerce in the region, financing trade ventures and investing in new technologies.

The growth of trade and commerce during the feudal period laid the groundwork for the development of capitalist economies in the centuries that followed. It stimulated innovation and technological advancement, and helped to break down the traditional feudal structures of European society. It also paved the way for the development of new forms of labour, such as wage labour, and the rise of the working class.

3.1.7 Emergence of the Urban Class

As trade and commerce continued to grow during the feudal period, a new urban class began to emerge. This class of people was distinct from the traditional feudal classes of nobles and the peasants and was composed of merchants, artisans, and skilled craftsmen who lived in the cities. The emergence of this new urban class was closely tied to the growth of trade and commerce. As trade increased, the demand for goods and services also increased which led to the growth of urban centres. People began to move from the countryside to the cities in search of economic opportunities, as the cities provided a place for them to sell their goods and services in the market. Merchants played a significant role in the growth of this new urban class and created job opportunities and spurred further economic growth. As the cities grew, they became centres of innovation and culture, attracting people from all over Europe.

Artisans and skilled craftsmen were also important members of the urban class. They produced goods and were able to command higher wages than their rural counterparts. This allowed them to improve their standard of living and support their families. One example of the emergence of the urban class can be seen in the city of Venice, Italy. In the

13th and 14th centuries, Venice was one of the wealthiest cities in Europe, in large part due to its thriving trade and industry. The merchants and artisans played a significant role in the growth of the urban class, creating jobs and economic opportunities for the people from all walks of life.

The emergence of the urban class during

the growth of trade helped to break down the traditional feudal structures of European society. It provided a new avenue for social mobility, allowing people to improve their economic status through hard work and innovation. It also paved the way for the development of capitalist economies in the centuries that followed, and shaped the modern world as we know it today.

Recap

- ▶ Feudalism - a way of structuring society that revolved around land ownership, loyalty, and the exchange of goods and services.
- ▶ Feudalism- a mode of distribution of means of production and mode of appropriation of the surplus.
- ▶ Two classes of the agrarian economy- the landlords and servile peasantry
- ▶ Hierarchy in feudal order- The feudal lords-knights-vassals
- ▶ The Knights-the nobles trained to arms and chivalry
- ▶ Vassal- one invested with a fief in return for services to an overlord
- ▶ Technological innovations such as the invention of the printing press and the use of gunpowder changed the nature of warfare and politics, and helped to shift power away from the feudal lords. Eventually, these changes led to the decline of feudalism and the emergence of a new mode of production, known as capitalism.
- ▶ Under the manorial system, the lord of the manor granted land to the peasants in exchange for labour and loyalty. The peasants, known as the serfs, were bound to the land and could not leave without the lord's permission.
- ▶ The growth of trade and commerce played a significant role in shaping the mode of production
- ▶ Artisans and skilled craftsmen were also important members of the urban class. They produced goods and were able to command higher wages than their rural counterparts.

Objective Questions

1. What is feudalism?
2. What was the mode of production during the feudal period?
3. What do you mean by subsistence agriculture?
4. What is the manorial system?
5. What do you mean by commercialization of agriculture?



6. What led to the growth of trade and commerce in Europe?
7. How did the emergence of the urban class impact feudal society?
8. What were the economic changes developed in urban areas during the feudal period?
9. How did trade and commerce affect the power dynamics between the urban and rural classes during feudalism?
10. What were the key factors that contributed to the rise of the urban class during the feudal period?

Answers

1. Feudalism is a system of social, political, and economic organization that dominated medieval Europe for several centuries.
2. The mode of production was primarily agrarian, with agricultural activities being the main source of wealth and livelihood.
3. A farming practice focused on producing enough food to meet the basic needs of a family or community, without generating surplus for trade or market.
4. The manorial system was a key aspect of feudalism where a lord owned a manor, and the peasants living on the manor provided labour and goods in exchange for protection and the right to use the land.
5. The commercialization of agriculture refers to the shift from subsistence farming to producing agricultural goods for the purpose of trade and profit.
6. The growth of trade and commerce was driven by factors such as the crusades, the revival of urban centers, and the expansion of long-distance trade routes.
7. The emergence of the urban class challenged the traditional feudal hierarchy by creating a new social group engaged in trade, crafts, and other non-agricultural activities.
8. During feudalism the urban areas became centers of trade, craftsmanship, and commerce, where goods were produced and sold.
9. Trade and commerce allowed the urban class to accumulate wealth and influence, challenging the traditional power held by the rural aristocracy.
10. The factors such as the growth of towns, the development of guilds, and the expansion of trade networks contributed to the rise of the urban class in feudal society.

Assignments

1. Discuss the key characteristics of feudalism as a system of social, political, and economic organization in medieval Europe. Analyze the roles of land ownership, loyalty, and the exchange of goods and services in shaping the feudal structure. Provide specific examples to support your arguments.
2. Examine the transition from subsistence agriculture to the commercialization of agriculture during the feudal period. Discuss the factors that contributed to the transformation and its impact on feudal society. Assess the consequences of this shift on the peasants, landowners, and the overall economy. Support your analysis with historical evidence and case studies.

Suggested Readings

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Unit 2

Fragmentation- Feudal Social Order

Learning Outcomes

Upon the completion of this unit, the learner will be able to;

- ▶ familiarise themselves with the concept of fragmentation in feudalism
- ▶ explore feudal social order
- ▶ develop an awareness on the social classes in feudalism

Prerequisites

In Western European Empire, feudalism was a hierarchical system where the king was at the top, followed by the lords and then the peasants. As the power of the central authority began to decline, the feudal lords began to assert their own authority over their lands and dependents. They became more interested in protecting their own interests and expanding their own territories than in serving the needs of the king or the larger society. This led to a process of fragmentation, where the feudal lords began to break away from the central authority and assert their own independence. They built castles, raised armies, and waged wars against each other, creating a complex web of alliances and rivalries.

The peasants, caught in the middle of all this, suffered greatly. They were forced to pay taxes to multiple lords, and they were caught up in violence and chaos of the feudal lords' struggles for power. Fragmentation was not just a political phenomenon - it also had social and economic consequences. The feudal lords began to build their own local economies, with their own trade networks and markets. This led to the growth of towns and cities, which became centres of commerce and industry.

However, it also led to greater economic inequality, as the feudal lords and their allies accumulated wealth and power at the expense of the peasants and other marginalized groups. By the end, fragmentation contributed to the decline of feudalism, as it weakened the power of the central authority and made it more difficult to maintain social and political order. But it also laid the groundwork for new forms of social, political, and economic organization that would emerge in the centuries to come.

Keywords

Social order, Fragmentation, Social classes, Nobility, Clergy, Peasants

3.2.1 Fragmentation in Feudalism

Fragmentation was a significant feature of feudalism, and it contributed to the instability and frequent conflicts that characterized medieval Europe. Fragmentation in feudalism refers to the process by which feudal territories were divided and subdivided over time, resulting in the emergence of multiple smaller and semi-autonomous feudal states. This fragmentation occurred due to a variety of factors, such as inheritance laws, disputes over succession, and the breakdown of the central authority.

One example of fragmentation in feudalism can be seen in the history of Germany during the medieval period. In the 10th century, the Holy Roman Empire was established, which united a number of Germanic states under a single emperor. However, over time, the power of the emperor weakened and feudal territories became increasingly fragmented. By the 13th century, Germany was divided into a patchwork of more than 300 independent feudal states, each with their own ruler and laws.

This fragmentation had a number of consequences for the people living in these feudal territories. It was difficult to establish a strong central government, resulting in frequent wars and conflicts between the different states. It was also difficult for the merchants and traders to move goods and services between different territories, which hindered economic growth.

As feudal territories were passed down from generation to generation, they were often divided among heirs, leading to the emergence of multiple smaller territories. In

addition, disputes over succession frequently arose when a lord died without leaving clear instructions on who should succeed him. These disputes could lead to civil wars and conflicts, resulting in further fragmentation of the feudal territories.

Moreover, the central authority of the king or the emperor weakened over time, resulting in the emergence of powerful regional lords who had their own armies and were often able to defy the central authority. It further contributed to the fragmentation of feudal territories, as these powerful lords were able to establish their own semi-autonomous states.

3.2.1.1 Causes of Fragmentation

i) Inheritance Laws of Feudalism

The inheritance laws of feudalism were a key factor in the fragmentation of feudal territories. Under this system, the lords owned large tracts of land, which were worked by the serfs, who were obligated to provide labour in exchange for protection and shelter. When a lord died, his land and titles were passed down to his heirs according to a set of rules that varied depending on the region and the time period.

In feudal societies, the land was typically passed down to the eldest son, who would become the new lord and ruler. Primogeniture, where the land was divided among multiple claimants, led to the emergence of smaller territories with their own lords and laws. These smaller feudal states often engaged in competition and wars. The division of land among multiple heirs also created fragmentation within each territory, as the land was further subdivided among their heirs, resulting in a fragmented feudal territory with



multiple lords and rulers vying for power and influence.

The fragmentation of feudal territories had a number of consequences. It made it difficult to establish a strong central government, as there were multiple rulers who each had their own agenda and interests. It also made difficult for merchants and traders to move goods and services between different territories, as each territory had its own laws and regulations.

ii) Disputes Over Succession

Disputes over succession also led to fragmentation in the feudal system. In the feudal system, the lord of a territory was the ultimate authority, and when he died, his land and titles were passed down to his heirs. However, disputes could arise over the right to inheritance of the land when a lord died without leaving clear instructions. Such disputes often led to civil wars and conflicts, and could result in the division of the feudal territory among different claimants.

Succession disputes were particularly severe when a lord died without a male heir, leading to intense political and legal disputes. In some rare cases, the lord's wife or daughter inherited the title, while distant relatives or powerful nobles attempted to seize control. These disputes could be destructive to the feudal territory and the wider political system, causing long civil wars and fragmentation of territory. The War of the Roses in England (15th century) a succession dispute, was a prime example of such disputes. The conflict between the House of Lancaster and the House of York over the throne led to widespread destruction and instability.

Disputes over succession were a significant cause of fragmentation in feudalism. They were a product of the decentralized nature of the feudal system, which lacked clear rules

and procedures for passing down titles and estates. These disputes contributed to the instability and conflicts that characterized medieval Europe, and they were a major factor in the decline of feudalism as a political and social system.

iii) The Breakdown of Central Authority

The power of the king or emperor, who was considered as the ultimate authority in feudalism, weakened over time due to various factors. One of the most important factors was the rise of powerful regional lords, who were able to establish their own semi-autonomous states. This further contributed to the fragmentation of feudal territories, as each lord became more independent and less beholden to the central authority.

Initially, feudalism was a system that was based on a hierarchy of obligations between the lords and the vassals. The king or emperor was at the top of this hierarchy, and he granted the land and titles to his vassals, who in turn provided him with military services and loyalty. However, over time, regional lords became more powerful and influential. They were able to accumulate more wealth and they developed their own networks of loyal followers and vassals.

As regional lords became more powerful, they established semi-autonomous states with their own laws, customs, and armies. This reduced dependence on the central authority and allowed them to resist attempts to assert control over their territories. This led to a weaker and less effective central authority. The fragmentation of feudal territories caused political and social disunity, as merchants and traders struggled to transport goods and services between regions. Additionally, the fragmentation of feudal territories weakened the overall military strength of the feudal system, as regional lords prioritized defending

their territories over supporting the central authority during the war. This made it easier for external enemies to invade and conquer parts of the realm.

iv) Feudal Warfare

Warfare was a constant feature of medieval Europe, and the feudal lords frequently engaged in battles and conflicts with each other. These wars could be caused by various factors such as disputes over territory, inheritance, or resources. In many cases, these conflicts were fuelled by a desire for power and influence, as feudal lords sought to expand their domains and establish their dominance over other lords.

The wars between feudal lords were often brutal and destructive, with large numbers of soldiers and civilians getting killed or displaced. They fought with weapons like swords, bows, and siege engines, and often lasted for years or even decades. The impact of these wars was often felt across large areas, as they disrupted trade and commerce, destroyed infrastructure, and led to widespread suffering and hardship.

The Wars between the feudal lords led to the division of territories, as the lords expanded their domains by incorporating defeated lords' land and resources. This fragmentation resulted lord's seeking power and influence at the expense of their neighbors. Alliances with other lords were often formed, but could be fragile and short-lived. If one ally became more powerful, they could seize territories, further fragmenting feudal territories. In some cases, the wars between the feudal lords led to the emergence of powerful new states, such as the kingdom of France and the Norman conquest of England.

v) Economic Factors

Economic factors also played a significant

role in the fragmentation of feudalism. As the power of the central authority weakened, trade and commerce between different feudal territories became increasingly difficult. This was due to a variety of factors, including the lack of a standardized legal system, the presence of numerous tolls and tariffs, and the prevalence of banditry and piracy.

The absence of a standardized legal system made it difficult for the merchants and traders to operate across different feudal territories. Each lord had his own laws and regulations regarding trade, and this led to confusion and uncertainty for the merchants. Furthermore, the feudal lords often imposed numerous tolls and tariffs on goods passing through their territories, which added to the costs of doing business and made trade less profitable.

Banditry and piracy were significant issues faced by the merchants and the traders in feudal Europe. The decentralized nature of the feudal system made it difficult for central authorities to effectively control trade routes, leading to the emergence of bandit gangs and pirate fleets. This hindered economic growth and fragmented the feudal system. As trade became more difficult and costly, feudal territories became self-sufficient, leading to the emergence of multiple smaller economies with their own industries and specialties. Economic factors also influenced the emergence of powerful new states, such as the city-states of Italy in the late Middle Ages. The absence of a standardized legal system, tolls and tariffs, and the presence of banditry and piracy hindered trade and commerce between different feudal territories, resulting in the emergence of multiple smaller economies.

vi) Cultural Factors

Cultural factors were another important cause that contributed to the fragmentation of



feudalism. As feudal territories became more isolated from each other, they developed their own distinct cultures and identities, which further reinforced their independence and made it more difficult to establish a strong central authority.

In medieval Europe, culture was largely defined by religion, and the Catholic Church played a significant role in shaping the cultural identities of different feudal territories. However, as the power of the church declined, the feudal lords began to assert their own cultural identities, often based on regional traditions, languages, and customs.

This trend towards regionalism was further reinforced by the emergence of vernacular languages, which were distinct from the Latin-based language of the church and the aristocracy. As the use of vernacular languages became more widespread, they helped to solidify regional identities and contributed to the fragmentation of feudal territories.

Feudalism was characterized by a rigid social hierarchy, with distinct cultures and customs for different social classes. This made it difficult to establish a unified cultural identity across feudal territories. As territories developed their own cultural identities, they became more isolated and less willing to submit to a strong central authority. This fragmentation of the feudal system and the emergence of distinct regional cultures and identities further complicated the process. The decentralization of power in medieval Europe was further exacerbated by the emergence of distinct regional cultures and identities.

3.2.2 Feudal Social Order

The feudal social order was a hierarchical system that dominated European society from the 9th to 15th centuries. It was characterized by a rigid social hierarchy in which people

were assigned to different social classes based on their birth and occupation. At the top of the social order were the kings, followed by the nobility, the clergy, and the peasants.

The kings were the highest-ranking members of the feudal social order. These kings or queens usually ruled over large territories and held ultimate authority. The nobility was the second highest-ranking class, and they were usually aristocrats who held land and estates. The nobility was divided into different ranks, such as dukes, earls, barons, and knights, with each rank carrying its own privileges and responsibilities.

The clergy, consisting of bishops, priests, and monks, were responsible for spiritual matters and often wielded significant political power. They owned vast amounts of land and enjoyed many privileges. The peasants, who made up the vast majority of the population, were at the bottom of the social order. They were farmers and labourers who worked on the land owned by the nobility and the clergy. They had very little social or political power and were subject to the whims of their lords.

The feudal social order was a system of mutual obligations and duties. Each class had its own duties and responsibilities towards the class above it, and in return, the higher class provided protection and support. For example, a lord might provide protection to a peasant in exchange for their labour and allegiance, while a monarch might provide protection to a lord in exchange for their loyalty and military service.

However, this social order was also marked by inequality and exploitation. The nobility and clergy often used their power to oppress and exploit the peasants, while the peasants had very little rights in their own affairs. This led to many peasant uprisings and revolts throughout medieval Europe.

3.2.3 Social Classes in Feudalism

The order of the social classes, from highest to lowest, in the feudal system was described below:

i) Kings

In feudalism, the kings were at the top of the social hierarchy and held ultimate authority over their kingdom or territory. They were usually kings or queens who inherited their position through hereditary succession, which meant that their eldest son or other close relative would inherit the throne upon their death. The kings were seen as divinely appointed rulers who had the right to rule over their subjects and were responsible for ensuring the stability and security of their kingdom.

The kings had significant political power and were responsible for making laws and regulations, administering justice, and maintaining order within their realm. They were also responsible for protecting their kingdoms from external threats, such as invasion or rebellion. To accomplish these tasks, kings relied on a system of administration that included officials and advisors who helped to govern the kingdom.

The king's power was often reinforced by their control over the army and their ability to levy taxes and other forms of tribute from their subjects. They also had the power to grant land and other privileges to their nobles and other supporters, which helped to maintain their loyalty and support.

However, the power of the kings varied widely across different kingdoms and territories, and was often challenged by other powerful actors, such as the nobility or the church. In some cases, kings faced rebellions or coups from their own subjects, which could threaten their power and stability. Though the

position of the monarch was central to the feudal system, many times the feudal lords acted independently. However the kings were considered a source of power in medieval Europe.

ii) Nobility

In feudalism, the nobility was the second-highest social class after the kings, and consisted of aristocrats who held land and estates. The nobility was typically wealthy and influential, and they played a key role in the feudal system by providing military and administrative support to the monarch.

The nobility was divided into different ranks, each with its own privileges and responsibilities. The highest-ranking nobles were the dukes and earls, who held large estates and exercised significant political power within their territories. They were responsible for maintaining order, administering justice, and raising armies to support the monarch in times of war.

The next level of the nobility were the barons, who held smaller estates and were responsible for providing military support to the higher-ranking nobles. They were also responsible for maintaining law and order within their territories and protecting their subjects from external threats.

Below the barons were the knights, who were often granted land or other privileges by the nobles in exchange for military service. The knights were professional soldiers who were trained in the art of warfare and were often called upon to serve in the armies of their lords or the monarch.

In addition to their military and administrative responsibilities, the nobility also enjoyed certain privileges and exemptions from taxation and other obligations. They



were often exempted from paying taxes, and also had some other privileges.

However, the power and privileges of the nobility varied widely across different feudal societies, and were often contested by other powerful actors, such as the king or the church. Despite these challenges, the nobility remained a critical component of the feudal social order, and played a key role in shaping the political and social landscape of medieval Europe.

iii) Clergy

In feudalism, the clergy were responsible for spiritual matters and were considered one of the most important social classes. They owned vast areas of land and wielded significant political power, making them a key player in the feudal system. The clergy were hierarchically constituted in three categories: bishops, priests, and monks. The bishops were responsible for overseeing the spiritual affairs of a particular region or diocese. Diocese is a district under the pastoral care of a bishop in the Christian Church. They were often wealthy and powerful, and were appointed by the Pope or other higher-ranking church officials. The priests were responsible for administering the sacraments and overseeing the religious needs of their local community falling under a parish. Parish means a small administrative district typically having its own church and a priest or pastor. They often lived in small parishes or communities, and were respected and revered by their congregations.

Monks were members of religious orders who lived in monasteries or other religious communities. They were often responsible for charitable work and caring for the sick and needy. Monks were also renowned for their scholarship and learning, and many were respected as intellectuals and educators. The clergy played a crucial role in medieval

society, providing spiritual guidance and support to the people in a time of great social upheaval and political uncertainty. They were also involved in many aspects of secular life, such as education, healthcare, and the administration of justice.

One of the key features of the clergy was their ownership of vast areas of land and property. It gave them significant economic and political power and security, and gave them an important role in the feudal system. The clergy often used their wealth and power to exert influence over secular authorities, and were sometimes involved in political intrigues and power struggles. In many European countries, they followed the practice of imposing religious taxes on people which continued till the period of French Revolution. Despite their immense power and influence, the clergy were not immune to criticism or controversy. They were often accused of corruption and abuse of power, and their wealth and privilege made them a target for criticism and resentment among the lower classes. Nevertheless, the clergy remained an important and influential social class in medieval Europe, playing a key role in shaping the political and spiritual landscape of the time.

iv) Peasants

In feudal society, the peasants were the largest and most afflicted social class, making up the vast majority of the population. They were farmers, labourers, and craftsmen who worked on the land and produced goods for the rest of the society. The Peasants were responsible for carrying out the daily work of producing food and goods for their lords, and were often subject to the whims and demands of their feudal overlords.

The lives of peasants were characterized by hard work, poverty, and a lack of social

mobility. They were typically born into the same social class as their parents and had few opportunities to improve their situation or rise up the social ladder. The Peasants were often tied to the land and were required to work for their lords in exchange for protection and access to resources.

One of the defining features of peasant life was their relationship to the land. The Peasants worked on the land owned by the nobility and the clergy, and were required to give a portion of their crops and goods to their lords as rent or tribute. In some cases, peasants were allowed to own their own land and produce their own crops, but this was rare and often subject to the whims of their lords.

Despite their lack of social and political

power, the peasants played a crucial role in the feudal system. They were responsible for producing the food and goods that sustained the rest of society, and their labour was essential to the functioning of the economy. The peasants were also important consumers of goods and services, and were often the main source of revenue for local merchants and artisans.

Despite their important role in society, the lives of peasants were characterized by poverty, hardship, and a lack of social mobility. They had very little control over their own lives and were subject to the whims of their lords. Nevertheless, the resilience and hard work of the peasant class helped to sustain the feudal system for many centuries.

Recap

- ▶ Fragmentation in feudalism refers to the process by which feudal territories were divided and subdivided over time, resulting in the emergence of multiple smaller and semi-autonomous feudal states.
- ▶ Causes of fragmentation include inheritance laws of feudalism, disputes over succession, the breakdown of central authority, feudal warfare, economic factors and cultural factors.
- ▶ Feudal social order is a hierarchical system that dominated European society from the 9th to 15th centuries, characterized by a rigid social hierarchy in which people were assigned to different social classes based on their birth and occupation.
- ▶ Social classes in feudalism are kings, nobility, clergy and peasants.

Objective Questions

1. What is fragmentation in feudalism?
2. Write any one cause of fragmentation in feudalism.
3. What was the feudal social order?
4. What were the social classes in feudalism?
5. What economic factors contributed to fragmentation in feudalism?
6. How did cultural factors contribute to fragmentation in feudalism?



Answers

1. Fragmentation in feudalism refers to the process by which feudal territories were divided and subdivided over time, leading to the emergence of multiple smaller and semi-autonomous feudal states.
2. Causes of fragmentation in feudalism include inheritance laws, disputes over succession, the breakdown of central authority, feudal warfare, economic factors, and cultural factors.
3. The feudal social order refers to a hierarchical system in medieval Europe where individuals were assigned to different social classes, including monarchs/kings, nobility, clergy, and peasants, based on their birth and occupation.
4. The social classes in feudalism were kings, nobility, clergy, and peasants.
5. Economic factors such as competition for resources, trade routes, and economic interests among feudal lords could fuel conflicts and contribute to the fragmentation of feudal territories.
6. Cultural factors, such as regional identities, distinct languages, and varying customs, could create divisions and conflicts among feudal lords, leading to the fragmentation of feudal territories as they asserted their own distinct identities.

Assignments

1. Discuss the causes and consequences of fragmentation in feudalism. Evaluate the impact of fragmentation on political power, social structure, and the overall stability of medieval European society. Support your analysis with historical examples and evidence.
2. Examine the social classes in feudalism and their roles within the feudal social order. Compare and contrast the positions and privileges of kings, nobility, clergy, and peasants.
3. Analyze how birth and occupation determined an individual's social status and discuss the implications of this hierarchical system on opportunities for social mobility. Evaluate the social, political, and economic dynamics between the different classes and the impact of these relationships on the stability and functioning of feudal society. Support your arguments with historical evidence and case studies.

Suggested Readings

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Unit 3

European Practices

Learning Outcomes

Upon the completion of this unit, the learner will be able to;

- ▶ explore the European Practices in Feudalism
- ▶ analyse the practices of land tenure, manorialism and military system
- ▶ understand the guild system prevailing in Europe

Prerequisites

Feudalism was a system that shaped the lives of people from peasants to kings, defining their roles, relationships, and opportunities. Imagine a world where loyalty and land ownership held immense power, where individuals were bound by oaths and responsibilities. As we uncover the layers of European practices in feudalism, we will discover the intricate hierarchy, the exchange of services for land, and the customs that governed this remarkable era. So, let's get into the captivating world of medieval Europe, where the feudal lords ruled, the knights swore allegiance, and the serfs toiled the land, all woven together in a tapestry of power, duty, and a unique social order that defined an age.

Keywords

Land tenure, Manorialism, Hierarchy, Feudalism, Guild system, Vassals, Subinfeudation

Discussion

3.3.1 European Practices in Feudalism

The European practices in feudalism refer to the specific customs, traditions, and systems that were prevalent in the feudal societies of Europe. These practices varied across different regions and time periods, but some common elements can be identified. The European practices in feudalism encompassed

a complex system of social, political, and economic relationships that defined medieval European society for several centuries. At the heart of feudalism was a hierarchical structure, where power and land ownership were concentrated at the top. The king held the highest position and granted land and titles to nobles in exchange for their loyalty and military service. The nobles, in turn, became vassals who held land and offered protection

to their own vassals or knights. This exchange of land for services formed the basis of feudal obligations.

Land tenure was a crucial aspect of European feudalism. The lords granted fiefs, which were parcels of land, to their vassals. The vassals became tenants and owed various duties to their lords, including military service, financial support, and counsel. These obligations were reciprocal, as the lords had responsibilities to protect and support their vassals. The system relied heavily on the connection between land and power, as control over land determined one's social standing and influence.

The manor system played a significant role in European feudalism. The lords held extensive estates called manors, which encompassed agricultural lands, villages, and the inhabitants within them. The serfs, who were peasants tied to the land, worked the fields and paid rent to the lord. They were bound to the manor, providing labour in exchange for protection and limited rights. Serfdom was a defining characteristic of European feudalism, as it created a structured relationship between the lords and laborers.

Subinfeudation was another notable practice in European feudalism. The vassals had the ability to subdivide their land and grant smaller portions to their own vassals, creating a multi-layered hierarchy within the feudal system. This process contributed to the fragmentation and subdivision of feudal territories over time.

In short, European practices in feudalism were marked by a decentralized system of power. Authority was dispersed among various lords and local rulers, resulting in the emergence of multiple semi-autonomous feudal states. While there were variations in feudal customs across different regions and

periods, the hierarchical social structure, land-based obligations, and the dominance of the manor system were characteristic features of European feudalism.

3.3.2 Major Practices in Europe

During the period of feudalism in Europe, there were several major practices that defined the social, economic, and political organization of society. Some of these practices include:

3.3.2.1 Land Tenure

Land tenure was one of the fundamental practices in feudal society. It was a system that governed the ownership and use of land, which was the most valuable and important resource of the time. In this system, the lord (also known as the landowner) granted land to the vassals (the land holder) in exchange for their military service and loyalty. This exchange was known as the feudal contract. The lord granted the land (known as a fief) to the vassal, who became the lord's tenant. The vassal was expected to provide military service to the lord when needed, and to be loyal to the lord at all times. In addition to military services, the vassal might also owe the lord other forms of service, such as providing hospitality or serving as a judge.

The land granted to the vassal was not owned outright by the vassal, but rather was held as a grant from the lord. This meant that the vassal did not have complete control over the land, and was expected to follow certain rules and regulations set forth by the lord. For example, the lord might specify how the land was to be used or how much rent was to be paid. In turn, the vassal could sublet the land to other vassals or the peasants and collect rent or other payments from them. This allowed the vassal to generate income from the land, which was an important source of wealth and power. However, the vassal



was still responsible to the lord of the land, and was expected to provide military service and other forms of service as specified in the feudal contract.

The system of land tenure was a critical aspect of feudal society. It created a hierarchical structure of landowners and tenants, with each person owing obligations to those above and below them in the hierarchy. It also ensured that the nobility had a secure source of wealth and power, while also providing a way for lower-ranking individuals to rise up in society through their service to their lords.

3.3.2.2 Manorialism

Manorialism was a social and economic system that emerged in Europe during the Middle Ages, and it was closely tied to the system of land tenure. In this system, the lord of the manor, who was usually a noble or a bishop, owned a large estate, which was divided into smaller units of land that were worked by the peasants. The lord provided protection and security to the peasants in exchange for their labour and a portion of the produce that they harvested. The peasants who worked on the lord's estate were called serfs, and they were bound to the land, under the feudal set up. They could not leave the estate without the lord's permission, and they were not allowed to marry or sell their property without the lord's approval. In exchange for their labour, the peasants were provided with housing, food, and protection from raiders and bandits.

The lord had the right to collect various payments from the peasants, including rent, taxes, and other fees. The peasants were required to pay these payments in exchange for the right to live and work on the land. In addition, the lord could impose various obligations on the peasants, such as the obligation to work a certain number of days on

the lord's land or to provide military service when called upon.

The manorial system was hierarchical, with the lord at the top and the peasants at the bottom. The lord had absolute control over the land and the people who worked on it, and he could exercise his power in various ways, including the use of force or coercion. However, the lord also had certain responsibilities to his subjects, such as providing justice and protection. Manorialism was a complex and multifaceted system of economic and social organization that shaped European society for many centuries. While it had its drawbacks and limitations, it also provided a degree of stability and security in an often chaotic and violent world.

3.3.2.3 Military Services

One of the key features of the feudal system was the exchange of land for military services. The lords who owned land, known as fiefs, would grant these fiefs to their vassals in exchange for their loyalty and military service. Military service was a crucial obligation of the feudal system because it provided the lord with a source of military forces. In times of war, the vassals would provide soldiers for their feudal lords. These soldiers would be responsible for defending the lord's territory, as well as supporting his military campaigns. In exchange for their military services, the vassals were granted land and the right to collect taxes from the people who lived in it. This system allowed the lord to maintain a standing army at the expense of the vassals. It also ensured that the vassals had a vested interest in the lord's success, as their own wealth and power depended on their lords' victory or defeat.

The lords, in turn, were required to provide military service to their higher lords or the king in times of emergency or an external threat.

This system of obligations and responsibilities created a hierarchical structure of power and authority that extended from the king down to the lowest vassals. It also ensured that there was a chain of command in times of war, with the king at the top and the individual vassals at the bottom.

3.3.2.4 Hierarchy

Feudal society was characterized by a strict hierarchical structure, with the king at the top and a complex system of subordination and obligations that extended from the king down to the bottom of the feudal pyramid. The feudal system was organized around the concept of vassalage, whereby a lord would grant land, known as a fief, to a vassal in exchange for military service and loyalty. The vassal was required to provide the lord with military support and to swear an oath of loyalty to the lord. In return, the vassal was granted the right to live on and cultivate the land, collect taxes from the peasants, and sometimes even administer justice.

The lords who owned the land were known as the upper nobility, and they had significant power and influence within the feudal system. These lords were typically granted large estates and titles by the king in exchange for their loyalty and military support. The upper nobility had significant control over the lower nobility and the peasants who lived on their land, and they were responsible for administering justice and maintaining order within their territories.

Below the upper nobility were the lower nobility, who were also granted land in exchange for military service and loyalty. The lower nobility had less power and influence than the upper nobility, but they still held significant wealth and status within the feudal system. At the bottom of the feudal hierarchy were the peasants, who had very few rights

and were subjected to the will of their lords. The peasants were required to provide labour and other services to their lords, and they were required to pay taxes and other fees in exchange for the right to live and work on the land. The peasants were also subject to the justice system of their lords, who had significant power over their lives and livelihoods.

3.3.2.5 Chivalry

Chivalry was a code of conduct that emerged among the nobility during the Middle Ages in Europe. It was a set of values and beliefs that emphasized the importance of honour, courage, loyalty, and other virtues. Chivalry played a significant role in shaping the social and cultural norms of feudal society, and it became an integral part of the identity of the medieval knighthood. At its core, chivalry was a set of ideals that guided the behaviour of the knights and other members of the noble class. The knights were expected to be brave and fearless in battle, to defend the weak and helpless, and to uphold justice and righteousness. They were also expected to be loyal to their lord, their country, and their fellow knights.

Chivalry was not just a set of rules, but also a way of life. The knights were expected to behave in a certain way both on and off the battlefield. They were expected to be courteous, generous, and respectful to others, especially women. They were also expected to be skilled in the arts of music, poetry, and other forms of cultural expression. The ideals of chivalry were often expressed through the use of symbols and rituals. The knights would wear a coat of arms that represented their family and their values. They would also participate in tournaments, jousting matches, and other contests of skill and bravery that reinforced the ideals of chivalry.



Chivalry had a profound influence on the culture of feudal society. It helped to shape the social and cultural norms of the nobility, and it provided a framework for ethical behaviour that was widely admired and emulated. The ideals of chivalry also influenced the development of literature, art, and music during the Middle Ages, and many of the great works of the period reflect the values and beliefs of this code of conduct.

3.3.2.6 Church

The Catholic Church played a significant role in shaping feudal society during the Middle Ages. It was one of the most powerful institutions in medieval Europe, which wielded considerable political and economic influence and it played a central role in shaping the beliefs, values, and practices of the people who lived during this period. It was not only a religious institution but also a political and economic entity, with vast landholdings and significant wealth. One of the key ways in which the church shaped feudal society was through its influence on the ruling classes. Many of the lords and nobles in medieval Europe were devout Catholics, and they looked to the church for guidance and support. The church had the power to excommunicate individuals who defied its authority, which gave it significant leverage over the ruling classes.

The church also played a significant role in the lives of ordinary people. It provided a sense of community and it offered guidance and support to the people in times of need. The church was responsible for educating the clergy and maintaining religious doctrine, which helped to shape the values and beliefs of medieval society. The Catholic Church also played a significant role in the economy of medieval Europe. It owned vast tracts of land and controlled significant resources, including gold, silver, and other valuable commodities.

It was involved in trade and commerce, and it provided financial support to the kings, lords, and other members of the ruling classes.

The church also had a significant impact on the culture of medieval Europe. It was responsible for commissioning many of the great works of art, literature, and architecture of the period, and it played a central role in the development of education and learning.

3.3.2.7 Guild System

Guilds were organizations of craftsmen and merchants that emerged during the medieval period in Europe. They were typically formed in urban areas where people engaged in similar trades or professions. Guilds were designed to regulate and promote their members' interests and were essential to the development of the medieval economy. One of the primary functions of guilds was to set standards for quality. Each guild had a set of rules and regulations that govern how members should produce and sell their goods. This ensured that customers received products of a consistent quality and that the members of guilds were held to a high standard of workmanship. In addition to regulating quality, guilds also regulated prices. They worked to ensure that their members received fair prices for their goods and services while also preventing competition from driving prices too low. Guilds also protected their members from price gouging by merchants or middlemen who sought to profit at their expenses.

Guilds provided support to their members in various ways. For example, they offered training and apprenticeships to young people who wanted to learn a trade. This was essential for ensuring that the skills and knowledge of the guild were passed down from one generation to the next. Guilds also provided financial assistance to the members who were sick or injured, as well as to the families of

deceased members. It was an association of craftsmen and merchants organized to promote their interests. There were different types of guilds. They were as follows:

Trade Guilds: These guilds were prevalent in medieval Europe and were formed by artisans or merchants involved in specific trades or crafts. They protected the interests of their members, regulated production standards, set prices, and controlled entry into the trade.

Merchant Guilds: Similar to trade guilds, merchant guilds focused on the interests of merchants and traders. They established monopolies, controlled commerce in certain regions, negotiated trade agreements, and provided financial assistance to members.

Craft Guilds: Craft guilds were associations of skilled craftsmen within a particular trade,

such as blacksmiths, carpenters, or weavers. They aimed to maintain high standards of craftsmanship, train apprentices, protect trade secrets, and regulate competition.

Artisan Guilds: Artisan guilds bring together artists and craftsmen in various disciplines, such as painters, sculptors, jewellers, or potters. These guilds aim to preserve traditional techniques, provide professional development opportunities, and promote the work of their members.

Guilds were formed to uphold the interests of the craftsmen and the trading merchants. They helped to promote and regulate trade, ensure high-quality goods and services, and provide support to their members. Although guilds lost their importance after the medieval period, their legacy can still be seen in many aspects of modern trade and commerce.

Recap

- ▶ Land Tenure was a system that governed the ownership and use of land, which was the most valuable and important resource of the time.
- ▶ In Manorial system, the lord of the manor, who was usually a noble or a bishop, owned a large estate, which was divided into smaller units of land that were worked by the peasants.
- ▶ The lords who owned land, known as fiefs, would grant these fiefs to their vassals in exchange for their loyalty and military service.
- ▶ The feudal system was characterized by a strict hierarchical structure, with the king at the top and a complex system of subordination and obligations that extended from the king down to the bottom of the feudal pyramid
- ▶ Chivalry was a set of values and beliefs that emphasized the importance of honour, courage, loyalty, and other virtues.
- ▶ Church was a dominant force in medieval Europe, and played a central role in shaping the beliefs, values, and practices of the people who lived during this period.
- ▶ Guilds were organizations of craftsmen and merchants that emerged during the medieval period



Objective Questions

1. What was the basis of the primary system of land ownership and distribution in European feudalism?
2. What was the system that is related to the self-sufficient agricultural estates in medieval Europe?
3. In the feudal system, what obligation did vassals have towards their lords?
4. What was the social structure of European feudalism based on?
5. What was the code of conduct that emphasized among the knights in feudal Europe?
6. Which institution held significant power and influence over both religious and political matters during European feudalism?
7. Which system regulated trade, protected craftsmen, and maintained quality standards in medieval Europe?
8. What was the primary function of guilds?
9. Who was the owner of the land under the feudal system?

Answers

1. The primary system of land ownership in European feudalism was based on the granting of fiefs to vassals by the lords.
2. Manorialism
3. The vassals had the obligation to provide military services to their lords in the feudal system.
4. A hierarchical system of nobles, knights, clergy, and peasants
5. Chivalry was the code of conduct that emphasized virtues such as bravery, honour, and loyalty among knights in feudal Europe.
6. The Church
7. Guild system
8. To set standards for the quality of products
9. The lord (also known as the landowner)

Assignments

1. Discuss the significance of land tenure, manorialism, military services, hierarchy, chivalry, the Church, and the guild system. Explore how these practices shaped social, economic, and political aspects of feudal society. Analyse their interconnections and provide examples from specific European regions to support your arguments.
2. Choose one specific practice from European feudalism, such as land tenure, manorialism, military services, hierarchy, chivalry, the Church, or the guild system. Analyse how it influenced power dynamics, social structure, and daily life in feudal Europe. Provide examples from different European countries or regions to support your analysis.

Suggested Readings

1. Bloch, M., *Feudal Society*, University of Chicago Press, 1961.
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Unit 4

Decline of Surplus and Decade of Urban Centres

Learning Outcomes

Upon the completion of this unit, the learner will be able to;

- ▶ develop an awareness on the decline of surplus and feudalism
- ▶ comprehend the growth of urban centres and feudalism
- ▶ understand the impact of decline of surplus and growth of urban centres on feudalism

Prerequisites

During the early stages of feudalism, agricultural production was the primary economic activity, and surplus production was essential for the support of the feudal nobility. Surplus was generated by the peasants who worked on the land and produced more than they needed to survive. The surplus was then appropriated by the nobility, who used it to support their luxurious lifestyle and engage in warfare. However, as the Middle Ages progressed, the feudal economy began to change. Improvements in agricultural technology and the development of new crops led to increased production and the surplus became less crucial for the support of the nobility. At the same time, the growth of trade and commerce created new opportunities for the accumulation of wealth and power.

These changes led to the growth of urban centres, where trade and commerce flourished. Cities such as Venice, Florence, and Genoa became important centres of trade and the growth of urban centres led to the emergence of a new class of wealthy merchants and craftsmen. The growth of urban centres also led to new forms of political organization. Urban centres were often governed by the merchant guilds, which were organizations of merchants and craftsmen who regulated trade, set prices and provided support to their members. These guilds became powerful political and economic institutions and they played an important role in the development of the modern economy. The decline of surplus and the growth of urban centres were significant changes that occurred during the later stages of feudalism. These changes set the stage for the emergence of new forms of economic and political organizations and laid the groundwork for the transition to the modern era.

Keywords

Surplus, Feudalism, Urban Centres, Feudal lords, Guilds, Bourgeoisie

3.4.1 Decline of Surplus and Feudalism

The decline of surplus had a significant role in the transformation of feudalism in Europe during the later medieval period. Feudalism was an economic and social system based on the exchange of land for military service, with a hierarchical structure of lords, vassals, and serfs. The system depended on a surplus of agricultural production that could be taxed by the feudal lords to support the military and political structures of the feudal society. However, beginning in the 14th century, Europe experienced a series of crises, including climate change, demographic shifts, and the pandemic and black death, that led to the decline in agricultural productivity and a corresponding decline in the surplus of agricultural production. This had significant consequences for the feudal system.

The feudal system relied on surplus agricultural production for taxation, but as surplus declined, feudal lords struggled to maintain their traditional structures. The decline in surplus and demographic changes also contributed to the crisis. The mid-14th century black death pandemic led to a population reduction, resulting in a decline in manpower and a decline in agricultural productivity.

3.4.1.1 Changes in Economic System

The decline of surplus had a profound impact on the economic system in Europe, leading to the emergence of new economic structures and institutions. One of the most significant changes was the growth of urban centres, as people began to migrate from the countryside to the cities in search of economic opportunities. This led to the emergence of a new class of wealthy merchants and craftsmen who were able to accumulate wealth and power. These urban centres also became

centres of political power challenging the traditional feudal structures. The merchants and craftsmen who lived in these cities formed guilds, which set standards for quality, regulated prices and provided support to their members in various ways, such as offering training and apprenticeships. The growth of urban centres and the emergence of guilds marked the beginning of a new era of economic development in Europe, known as the commercial revolution. This period saw the development of new forms of economic organization, such as joint stock companies and mercantilism, which replaced the feudal system as the dominant economic model in Europe.

3.4.1.2 Social Changes

The decline in surplus reduced the power and influence of the feudal lords, who depended on the surplus to maintain their military and political structures. With a reduced surplus, the lords were no longer able to rely on the same level of taxation from their vassals and serfs and the system of feudalism began to break down. Secondly, the decline in surplus led to a significant shift in the balance of power between the lords and the peasants. The peasants, who had previously been tied to the land and had little power or autonomy, became more independent and were able to demand better treatment and more rights from their lords. The decline of surplus also had a significant impact on the urban population. As people began to migrate from the countryside to the cities in search of economic opportunities, new social structures such as guilds emerged, which became the agents of economic and political power.

Guilds were organizations of craftsmen and merchants who worked in the towns and cities of medieval Europe. Guilds set standards for quality, regulated prices, and provided support



to their members in various ways, such as offering training and apprenticeships. They also played a significant role in the social system, providing a sense of community and identity for their members. The growth of urban centres and the emergence of guilds also led to the development of new social structures, such as the bourgeoisie, a new class of wealthy merchants and craftsmen who were able to accumulate wealth and power outside of the feudal system. This new class challenged the traditional feudal structures and played a significant role in the transformation of the social system.

3.4.1.3 Political Changes

As mentioned above, the decline in surplus reduced the power and influence of the feudal lords, who depended on the surplus to maintain their military and political structures. The decline in surplus led to a significant shift in the balance of power in the feudal set up. The kings who had previously been dependent on the support of the feudal lords, became more independent and were able to establish their own centralized power structures.

The growth of urban centres and the emergence of new classes, such as the bourgeoisie, also had a significant impact on the political system. The bourgeoisie, who were able to accumulate wealth and power outside of the feudal system, challenged the traditional political structures and played a significant role in the emergence of new political ideas and ideologies, such as liberalism and democracy.

3.4.2 Growth of Urban Centres and Feudalism

Urban centres emerged as centres of commerce, industry, and culture, providing an alternative to the rural-based economy that was the backbone of the feudal system. Under

feudalism, political and economic power was based on the ownership and control of land, which was primarily used for agricultural production. Urban centres, on the other hand, were centres of trade and commerce, where goods were produced and exchanged, and where people gathered to exchange ideas and engage in cultural activities. The growth of urban centres challenged the traditional power structures of feudalism, as wealth and power were no longer exclusively tied to land ownership. Instead, a new class of merchants, craftsmen, and artisans emerged, who were able to accumulate wealth and power through trade and commerce.

The emergence of this new class led to a tension between the urban centres and the feudal lords, who saw the growing power of the urban centres as a threat to their own power and authority. The feudal lords often sought to restrict the growth of urban centres and limit the activities of the urban population, in order to maintain their own dominance. Despite these tensions, the growth of urban centres continued, and they became increasingly important centres of economic, political, and cultural activities. As urban centres grew in size and importance, they began to challenge the traditional political and economic structures of feudalism.

In some cases, urban centres were able to establish their own forms of government and break away from the control of feudal lords. This led to the emergence of independent city-states, which were able to establish their own political and economic systems based on trade and commerce.

3.4.2.1 The Emergence of Merchant Guilds

As urban centres grew during the medieval period, so too did the power and influence of merchant guilds. Guilds set standards for quality, regulated prices, and provided

support to their members in various ways, such as offering training and apprenticeships. Merchant guilds were particularly important in regulating trade and commerce. They established rules and regulations for buying and selling goods, ensuring fair competition among merchants and protecting the interests of their members. This included setting prices for goods and services, which helped to stabilize local economies and prevent inflation.

In addition to their economic role, merchant guilds also played an important political role in urban centres. They often formed alliances with other guilds and trade associations and were able to influence local politics and government policy. In some cases, these merchant guilds were able to establish their own forms of self-government, further consolidating their power and influence. Understanding the role of merchant guilds is important for several reasons. Firstly, it provides insight into the complex economic and political structures that existed in medieval urban centres. It also highlights the important role that guilds played in shaping the development of European society, particularly in terms of trade, commerce, and the emergence of new economic systems.

3.4.2.2 The Development of New Forms of Learning

As urban centres grew in importance, they became centres of culture, education, and innovation, attracting scholars, thinkers, and scientists from across Europe and beyond. One of the most significant areas of learning that emerged during this period was commerce. As trade and commerce became increasingly important in urban centres, new ideas and practices emerged to facilitate these activities. Double-entry bookkeeping, a system of accounting that is still used

today, was developed during this period to help merchants keep track of their financial transactions.

Law was another important area of learning that emerged during this period. As urban centres became more complex and diverse, new legal systems and practices were developed to regulate these activities. For example, the concept of 'city law' emerged, which provided a framework for the regulation of trade and commerce within urban centres. Mathematics also emerged as an important area of learning during this period, particularly in the areas of accounting and commerce. New mathematical concepts and techniques were developed to facilitate the tracking and analysis of financial transactions, helping merchants to better understand their businesses and make informed decisions.

Philosophy and science also experienced significant growth during this period, as scholars and thinkers explored new ideas and challenged traditional ways of thinking. For example, the works of Aristotle and other Greek philosophers were rediscovered and studied, leading to new insights and discoveries in the areas of science and philosophy.

3.4.3 Impact of Decline of Surplus and Growth of Urban Centres on Feudal Society

As trade and commerce became more important, urban centers grew in importance and wealth, challenging the traditional power structures of feudal society. This shift in economic power led to the emergence of new social classes, such as the urban middle class and changed the balance of power between the feudal lords and the urban bourgeoisie. The growth of urban centres also led to changes in political structures, as merchant guilds emerged as powerful institutions in many urban centres. In some cases, these



guilds even challenged the authority of feudal lords and established their own independent governments.

The rise of urban centres affected the lives of the ordinary people. Cities offered new opportunities for work and education, attracting migrants from rural areas and contributing to the growth of a more diverse and cosmopolitan society. However, life in the cities could also be difficult, with poor living conditions, limited access to food and water, and the constant threat of disease and crime. Understanding how these changes affected social and political structures during the medieval period is important for understanding the historical roots of modern-day economic and political systems. It also highlights the importance of adapting to changing economic and social conditions, and the role of innovation and entrepreneurship in driving economic growth and social change.

3.4.4 Transition from Feudalism to Capitalism - Debate

The transition from feudalism to capitalism has been a subject of intense academic debate among historians. The debate around the transition from feudalism to capitalism emerged from Maurice Dobb's publication, 'Studies in the Development of Capitalism'. Historians have focused on the contradictions between the forces of production and relations of production within feudalism to understand the emergence of capitalism. Scholars such as Maurice Dobb and Rodney Hilton emphasized internal factors, particularly the class struggle between feudal landlords and peasant cultivators, as the factors responsible for the transition. Dobb put forward the 'inner contradiction model' that emphasizes the decline of feudalism as the result of the inner contradiction within the feudal mode

of production. Kohachiro Takahashi, another Marxist scholar, supported Dobb in his view that internal factors were responsible for the decline.

On the other hand, Marxist scholar Paul Sweezy rejected Dobb's inner contradiction view and argued that an external catalyst, such as long-distance trade and market forces, played a significant role in the decline of feudalism. Sweezy's argument was based on Henri Pirenne's theory. Pirenne, a Belgian historian, argued that the collapse of the Western Roman Empire was not the primary cause of the decline of the West. Instead, he attributed it to the disruption of Mediterranean trade due to the Muslim occupation. Also, he argued that the revival of the Western European economy happened with the restoration of the Mediterranean trade. Pirenne's focus on the importance of trade and the urban centres challenged traditional narratives that primarily emphasized political and territorial changes.

The scholars such as E.J. Hobsbawm highlighted the unevenness of the transition process. He acknowledged that the forces driving economic development in Europe were also present in other parts of the world, such as Japan, which could have independently developed capitalism. Hobsbawm argued that European capitalism divided the world into developed and underdeveloped countries, and it reflects a process of appropriation based on uneven development both within and outside Europe. Meanwhile, Perry Anderson contributed to the debate by providing emphasis on the importance of the territorial state in the creation of the capitalist market, i.e., he credits the rise of nation-states for the rise of capitalism.

Robert Brenner argued that the transition from feudalism to capitalism was driven by the agrarian class struggle. He disagreed with Sweezy's emphasis on the significance of trade relations. He also criticised the neo-Malthusian ideas by Michael Postan and Emmanuel Le Roy Ladurie, as they emphasized the decline in population as the factor responsible for the decline of feudalism. Scholars such as Guy Bois, Chris Harman, and Terence J. Byres critiqued Brenner's view by arguing that he overemphasizes the role of class relations and neglects non-economic factors. Brenner was also criticized on the grounds of lack of comparative analysis, reliability on narrative history, and presenting historical inaccuracies.

Additionally, historians considered capital accumulation from colonies and the exploitation of resources as the factors that

influenced the transition. In his world system theory, Immanuel Wallerstein argued that the transition from feudalism to capitalism was part of a broader world system. According to Wallerstein, capitalism emerged within the context of an expanding world economy that was driven by European colonialism and the extraction of resources from peripheral regions. He emphasized the role of unequal economic relationships between core capitalist regions and dependent peripheral colonies in shaping the shift to capitalism. However, critics argue that Wallerstein overlooked the internal causes within societies and underestimated the factors such as trade responsible for the transition. These variations in arguments demonstrate the dynamic nature of history and the discussions on the concept of social change.

Recap

- ▶ The decline of surplus refers to the period of economic crisis that took place in Europe during the late medieval period.
- ▶ The decline in surplus reduced the power and influence of feudal lords, who depended on the surplus to maintain their military and political structures.
- ▶ The decline in surplus led to a significant shift in the balance of power between the lords and the peasants.
- ▶ Guilds were organizations of craftsmen and merchants who worked in the towns and cities of medieval Europe.
- ▶ The growth of urban centres and the emergence of new classes, such as the bourgeoisie, also had a significant impact on the political system.
- ▶ The decline of surplus and the growth of urban centres during the medieval period led to the emergence of new areas of learning.



Objective Questions

1. How did the decline of surplus contribute to changes in the economic system during the transition from feudalism to a more market-oriented economy?
2. What were the social changes that accompanied the decline of surplus and the transition away from feudalism?
3. How did the growth of urban centers impact feudalism?
4. What were merchant guilds, and what role did they play during the transition from feudalism to a more commercial society?
5. What were some new forms of learning that emerged during the transitional period from medieval to modern times?
6. What impact did the decline of surplus and the growth of urban centres have on society and the economy?

Answers

1. The decline of surplus led to increased trade, specialization of labour, and the rise of a market-based economy as societies sought to allocate resources more efficiently.
2. The decline of surplus disrupted traditional social hierarchies, increased social mobility, and gave rise to a growing middle class as economic opportunities expanded beyond the feudal system.
3. The growth of urban centres weakened feudalism by providing alternative economic opportunities, creating new social dynamics, and fostering the development of a more urban-oriented society.
4. Merchant guilds were associations of traders and merchants who regulated trade, protected their members' interests, and facilitated economic growth and urban development.
5. New forms of learning included the rise of humanism, the spread of scientific inquiry, and the increased availability of education through universities and printing presses.
6. The decline of surplus and the growth of urban centres led to social transformations, increased economic opportunities, the rise of a merchant class, and the expansion of trade and commerce.

Assignments

1. Analyse the economic, social, and political factors that contributed to the decline of surplus. Discuss how changes in the economic system, social structures, and political dynamics influenced and were influenced by the decline of surplus. Provide specific examples and evidence to support your analysis.
2. Choose one of the following topics:
 - a) The growth of urban centres and its impact on the decline of feudalism
 - b) The emergence and significance of merchant guilds in the transition from feudalism to a more commercial society
 - c) The development of new forms of learning during the transition period

Examine its historical context, causes, and consequences. Discuss the key factors, events, and individuals that shaped the chosen topic. Analyse its impact on society, economy, and culture during the transition from feudalism to the modern era. Support your arguments with scholarly views and specific examples from the relevant time period.

Suggested Readings

1. Jones, E. L., *The European Miracle: Environments, Economies and Geopolitics in the History of Europe and Asia*, Cambridge University Press, 1981.
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3. Tuchman, B. W., *A Distant Mirror: The Calamitous 14th Century*, Random House, 1978.

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1. Anderson, P., *Lineages of the Absolutist State*, Verso Books, 1974.
2. Blaut, J. M., *The colonizer's Model of the World: Geographical Diffusionism and Eurocentric History*, Guilford Press, 1983.
3. Dobb, M., *The Decline of Feudalism and the Rise of Capitalism*, Monthly Review Press, 1966.
4. Epstein, S. A., *Wage Labour and Guilds in Medieval Europe*, University of North Carolina Press, 2001.
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BLOCK - 04

Industrial Revolution and Capital

Unit 1

Early Capitalism

Learning Outcomes

After completing this unit, the learner will be able to:

- ▶ get introduced to the major aspects of socio-economic transition in early modern Europe
- ▶ have a critical grasp over the process of commercial revolution and its interrelation with geographical discoveries and their impact on European trade
- ▶ get acquainted with the ideas of mercantilism and its praxis
- ▶ assess the nature and development of the Industrial Revolution
- ▶ familiar with the antecedence of the capitalist system

Prerequisites

At the dawn of the modern age, Western Europe witnessed a grand transformation. It was an exhilarating era intricately intertwined with the rise and evolution of capitalism. Picture yourself in the late 15th century, a time when the echoes of the Renaissance resonated through the minds of thinkers, artists, and visionaries. The Renaissance, with its revival of knowledge, arts, and culture, served as a catalyst for the birth of a new world. But this renaissance was more than just a cultural reawakening; it was the spark that ignited a chain reaction of social, economic, and scientific revolutions.

The Renaissance brought about a transformative Reformation, leading to a religious revolution and diverse interpretations of faith. This shattered the unity of religious thought and sparked a fervent pursuit of knowledge, paving the way for modern science. Scholars embarked on expeditions, uncovering mysteries and changing humanity's perception of themselves. European explorers discovered new lands and sea routes, leading to global colonization and the pursuit of wealth, power, and resources. This led to the creation of vast empires and diverse peoples, transforming society and driving the development of capitalism, a new system that transformed social and economic aspects of life.

As we embark on this journey through the annals of history, we will explore the genesis and maturation of capitalism, unravelling its intricate threads that have shaped the modern world. We will delve into the interplay of historical developments, connecting the dots between the Renaissance, the Reformation, the birth of modern science, and the age of exploration. Together, we will uncover the fundamental changes that swept across Western Europe, birthing a new social system and forever altering the course of humanity.



Keywords

Capitalism, Commercial Revolution, Mercantilism, Transition, Feudalism, Industrial Revolution

Discussion

As a system of economic organization, capitalism matured in Western Europe between the 16th and 19th centuries. Under this system, the means of production, distribution and exchange were privately owned and run by individuals or corporations, rather than by the state. At the time of the industrial revolution, capitalist methods were applied to industrial production. Ideally, capitalism seeks to minimize the role of the state in economic life. It encourages free trade. The international political and economic developments of the 20th century have led to modifications in capitalist societies, ranging from the welfare capitalism of the Western Europe to the interventionist model like the New Deal followed in U.S.A and to the concept of mixed economy wherein certain categories of goods and services would be nationalized while the rest of the economy is in private hands.

4.1.1 Background of Commercial Revolution

The early modern period saw the rapid development of towns and their increasing socio-political significance. Italian cities were pioneers in this development, while other European cities grew in importance due to wealth or capital. Labourers from medieval manors sought work in towns, and manorial villages grew into towns with lords granting charters of self-government. This led to a decline in serfdom and the manorial system, resulting in a shift from rural life to a civilization where town life was important.

The manorial system was disrupted by economic changes, including guilds changing

in character and a rift between masters and workmen. Many of the masters of the guilds became rich while journeymen were often very poor. Only a few journeymen became master workmen and guild members. The middle class, who ran guilds, gained control over the city's businesses, driving out others. This marked the beginning of the capitalistic system, where those with money set up businesses and reinvested profits to make more. Most men did not have the capital to invest, working for others for wages.

The growth of trade led to partnerships and stock companies, with joint-stock companies in Western Europe and colonies in the New World and East. Merchants and guild masters accumulated capital, and banking was established as a separate enterprise. Bankers lent money to trading companies, towns, rulers, and even the Pope to finance wars, making it a profitable enterprise.

4.1.1.1 Background of the Geographical Discoveries

The fall of Constantinople to the Turks in 1453 disrupted trade between Europe and the East, leading to the Venetians monopolizing the trade. Europeans had to find new routes and secure commodities cheaply. Rumors of a Christian Empire in the East by John Prester and its enemies fueled European desire to seize this wealth.

Western Europeans expanded their knowledge of geography during the 16th century, with the invention of new instruments like compasses and astrolabes. This led to the development of ship designs and maps, allowing Europeans to explore more

continents. The 16th century saw the emergence of a world economy, ushered in by Christopher Columbus, Magellan and Vasco-da Gama. By the end of the 16th century, trade was thriving in the Mediterranean region and along European coasts. The Atlantic and Indian Ocean regions became core areas of world trade, leading to a Commercial Revolution and the emergence of bourgeois classes, the Industrial Revolution, and wealth flow to European continents. This led to Europeanization, colonization, and the domination of the world by European maritime powers.

The Commercial Revolution brought significant economic growth to Europe, particularly in Spain and Portugal, due to the discovery of gold and silver. This led to a shift in trade instruments, capital gathering techniques, and banking institutions. The Mediterranean Sea lost its importance, and Britain was positioned at the center. The rise of gold and silver led to the philosophy of bullionism, which is a principle of Mercantilism. Spain and Portugal viewed gold and silver as ends in themselves, leading to debt and increased prices.

The countries like Holland, England, and France followed bullionism, using bullion as a means of exchange. Holland's success led to the passage of the Navigation Acts, leading to increased prices and profits for entrepreneurs, further boosting trade.

4.1.1.2 Social Implications of Commercial Revolution

The Commercial Revolution led to the emergence of new industries and the development of new goods like sugarcane, tobacco, tea, and coffee. Larger ships and investment were necessary for trade, requiring the creation of the Joint Stock Company with limited liability. This led to the disintegration of feudalism, and people

began to consume coffee and tea in the morning, leading to increased productivity and intellectual horizons. Mercantilism, an economic philosophy gained prominence in England and Europe during the seventeenth century, aimed to strengthen the state through economic strategies. This bourgeois-oriented philosophy focused on the state's power and the welfare of its people, rather than focusing on welfare. During Elizabeth's reign, 'Poor Laws' were passed to prevent vagrancy and beggary, focusing on ensuring everyone was put to work.

4.1.2 Economic Strategies of Mercantilism

The mercantilist state aimed to become economically and militarily strong by adopting economic strategies like bullionism, protectionism, and colonialist expansionism. Bullionism focuses on acquiring precious metals like gold and silver, while protectionism protects industries and commerce from foreign competition. A state should aim for a favourable balance of trade and self-sufficiency in basic necessities to avoid danger during war. Mining and agriculture were developed to secure raw materials for industry, while tariff policies imposed heavy import duties and liberalized exports by abolishing export duties and providing subsidies. These strategies were crucial for maintaining a stable and prosperous mercantilist state.

The British government prioritized developing sea power through the Navigation Acts, which made it impossible for the English to hire foreign ships for shipping. This led to a significant increase in the British navy and the destruction of Dutch commerce. The mercantilists advocated for colonialism, population growth, and state action, but did not advocate nationalization. They believed that a strong economy would lead to a strong



state, and capitalism and the Commercial Revolution may be seen as by-products of Mercantilism. The mercantilists emphasized the importance of a large population, a large army, and state action to ensure the economy's growth and stability.

4.1.2.1 Mercantilism: Causes and Repercussions

Mercantilism, a socio-economic phenomenon, emerged from various European developments, including Renaissance, exploration, and the rise of nation states. The rise of the nation state was a direct result of Mercantilism, which led to the exploration of new lands and routes, increased trade opportunities, and the discovery of gold. The causes of Mercantilism are similar to the Renaissance, the nation state, and geographical discoveries. As trade developed, cities grew, leading to the development of agriculture, capitalist farming, and the growth of banks. These developments also led to the freedom of intellectual activities in cities, ultimately leading to the end of the Middle Ages.

The British colonial rivalry began with Navigation Acts and gunboat diplomacy, leading to their dominance. However, they faced numerous wars, including those with Spain and Holland. The British focused on religious conversions, often exterminating natives. The growth of slave trade also contributed to the decline of feudal lords. The Merchants favored strong monarchs to weaken feudal lords and free themselves from restrictions.

However, merchants became alarmed when kings asserted their power, leading to the struggle between the Parliaments and the kings during the Stuart period. Mercantilism eventually led to liberalism, as demand for the British goods outpaced existing production machinery.

4.1.3 Industrial Revolution

The mass production of consumer goods with the help of newly invented machines ushered in a new era in the history of mankind. It was during the second half of the eighteenth century that Europe had witnessed this kind of a transformation. This transformation in the production of goods from man-made to machine-made with all its ramifications is referred to as the Industrial Revolution.

Even though there have been many industrial revolutions in the history of mankind, the historical transformation from rural-handicraft dominated economy to an urban-machine-driven manufacturing economy that took place during the 100 years of Industrial Revolution from 1780 onwards assumes greater significance in evolution of modern societies. It was this transformation that made the Industrial Revolution of the eighteenth century distinct.

4.1.3.1 Industrial Revolution in Europe

The 18th century Industrial Revolution in Europe was a result of positive trends in its economy and society. Despite being predominantly agricultural, Europe had a thriving merchant class, leading to the establishment of independent economic enterprises. This class provided rulers with the means to maintain their economy and state through flourishing commercial activity and victorious armies and navies. The thriving merchant class in Europe allowed for the advancement of credit and the flow of money in the market. Additionally, the extensive market networks and the growth of the population in Europe contributed to the emergence of the industrial revolution.

4.1.3.2 Industrial Revolution in England

The Industrial Revolution originated in England, a prosperous country with a better

standard of living and a growing population. The Parliament of England was sympathetic to capitalism, passing bills for the enclosure of agricultural lands, which promoted capitalist farming. This led to the enclosure of large tracts of fields, allowing private ownership and individual management. This increased food supply to the growing urban population and generated surplus capital for new economic enterprises. London, already a trading center, became the headquarters for exchanging raw materials, capital, and manufactured goods, allowing English capitalists to sustain the revolution.

The English mindset was more inclined to invest in risky enterprises with a focus on profits. Wealth-making was considered a worthy enterprise in England, and gentry did not treat wealth-making disdainfully. Most entrepreneurs in the 18th century came from the miner gentry and yeoman farmer class, allowing them to rise in the socio-economic ladder. This allowed individuals from menial backgrounds to rise in social scale and become landlords. Bankers and artisans alike could lend money to each other, believing their inventions would make them both a fortune.

England's small size and expanding market led to the development of a domestic market, facilitated by a constantly improving transportation system. The Parliament passed acts to finance the construction of turnpikes and canals, and the English Parliament aimed to create opportunities for capital investments. Members of Parliament, many of whom were businessmen, encouraged the construction of canals, banks, and the enclosure of common lands by statutes. They also ensured that England's foreign policy responded to its commercial needs, wrestling overseas territories and exploring unexplored countries like India and South America. By 1784, nearly half of the total British exports flowed into colonies.



The English had a merchant marine capable of transporting goods across the globe and a navy for protecting commercial fleets. By 1780, England's markets, fleets, and position at the center of world trade combined to create a potential for expansion, compelled by the industrial revolution. The English entrepreneurs and technicians responded by revolutionizing the production of cotton textile goods.

4.1.3.3 Revolution in Cotton Production

In the 18th century, England produced more woollen goods than cotton, but by 1760, cotton production was more than an infant industry. The ban on East Indian cotton imports promoted the sale of woollen goods, leading to the revolution in the well-established cotton industry. Machineries like the Water Frame, Spinning Jenny, Water Wheel, Spinning Mule, and Cotton Gin were introduced to improve the quality and quantity of cotton thread. The Water Frame which was invented by R Arkwright could spin large quantities of cotton yarn. Spinning Jenny could spin 16 threads at a time, but its threads were not strong enough for longitudinal or warp fibers. The Water Wheel and Spinning Mule revolutionized cotton textile production, increasing the number of threads spun by 200-300 times. Cotton Gin mechanically separated cotton seeds from the fiber, making it available at a lower price.

Transition from Domestic to Factory system: The first machineries were simple and cheap, allowing spinners to work at home. As large machinery developed, production sites moved from cottages to workshops or mills in water-rich areas. Steam-driven machines followed. The transition from home to factory was gradual, with cotton yarns still being spun at home for decades. Mills captured small workshops and house-site production, as the cost of building and operating large plants was minimal.

By 1850, three-fifths of the total workforce in the cotton textile industry worked in small to medium-sized mills. However, weaving remained a home industry until the advent of an efficient and economical power loom.

4.1.3.4 Impact of Revolution in Cotton Textile Industry

The industrial output of English cotton goods increased significantly, with exports reaching over 5 million pounds in 1800. The cotton industry accounted for 5-7% of England's national income during the second decade of the 19th century. The lightness and fineness of cotton made it desirable to the middle class and rich, while its affordability made it accessible to the poor. The revolution in the cotton industry also displaced handloom weavers, forcing them to work for lower wages. By 1830, their wages dropped to 6 shillings per week.

4.1.3.5 Revolution in Iron and Steel Industry

The iron and steel industry experienced significant changes in the mid-18th century, with wood being replaced by coal in heating molten metal. This was facilitated by Britain's abundant coal supply and better transportation infrastructure. Fuel savings were achieved through various inventories, and good quality iron was produced. The demand for iron increased, and by 1814, Britain exported 571000 tonnes of iron, accounting for over half of the world's total iron production.

The steam engine, designed by Thomas Newcomen in 1712, was the first major development in the iron and steel industry. James Watt improved the steam engine, making it more fuel-efficient and patented in 1769. The mechanization of technology also impacted other industries, such as the textile industry, chemical industry, and soap and glass making.

4.1.3.6 Features of the Industrial Revolution

The industrial revolution occurred over two or three generations, with different paces and methods of production. Some people continued working at home, while others moved to urban centers. The revolution was based on limited theoretical and technological base, with only the chemical industry resulting from empirical experimentation. This led to significant changes in production methods, even without a national educational system.

4.1.3.7 Spread of Industrial Revolution in Europe

Europe was not significantly affected by the industrial revolution until 1830, despite numerous manufacturing centers in France, Germany, Switzerland, and other regions. The continent's relative backwardness in industrialization can be attributed to several factors, including a poorly developed transportation system, a divided central Europe, and a lack of abundant raw materials. Additionally, the continent had greater socio-economic distinctions, a lack of entrepreneurial spirit, and social sentiments against commercial enterprises. Wars and military conflicts also hampered economic growth. The lack of technicians, experts, and entrepreneurs also hampered industrial growth in Europe. Britain was reluctant to export its production methods, limiting artisans and machineries to the continent until 1842. However, laws did not prevent the movement of creative technician entrepreneurs and their skills.

By 1815, a favourable climate for industrial development in Europe was created by factors such as population growth, improved transportation during the Napoleonic wars, and the introduction of railways. The population doubled between 1800 and 1850, leading to the adoption of new techniques

and methods in regions like France and Germany. Additionally, transportation systems in Western Europe improved, with the Austrian Empire building over 30,000 miles of road, Belgium doubling its network, and France building 2000 miles of canals. The introduction of railways further improved transport systems, making extensive markets available for Western European countries, urging them to adopt new manufacturing methods to satisfy market demands.

The industrial revolution in Europe was influenced by active state support, such as Napoleon's legal code and joint-stock enterprises. The state played a crucial role in generating artificial stimulus and establishing an educational system for well-trained elites. This inspired Europeans to emulate Britain's achievements in industrial technology development.

4.1.3.8 Consequences of the Industrial Revolution

The Industrial Revolution significantly impacted the economic and technological history of the West, transforming lives for both men and women. The revolution led to the development of a factory system, causing millions to migrate from rural areas to urban centers. This migration led to a new way of life and discipline, as well as the development of class consciousness. Despite rapid industrialization, the majority of Europeans remained rural, with a significant minority living in towns and cities. The population explosion was attributed to advancements in medical technology, improved agricultural and technology.

Overpopulation led to under-employment and poverty, and rural inhabitants faced wretched living conditions. The spread of agricultural capitalism resulted in hunger, starvation, and epidemics, resulting in a decline in the standard of living.

Recap

- ▶ Transition from Feudal social formation to Capitalist social system marked the unfolding of the modern epoch in world history.
- ▶ Capitalism appeared first in Western Europe after the late 15th century. In the 18th century Industrial Revolution finally heralded the great triumph of capitalism.
- ▶ Capitalism needs to be understood as an economic system under which the means of production, distribution and exchange are privately owned and run by individuals or corporations, rather than by the state.
- ▶ Capitalism appeared and evolved in the context of commercial revolution, geographical discoveries and European colonial expansion into different parts of the globe.
- ▶ The Commercial Revolution had effected a thorough change in the centres of commerce as well.
- ▶ Philosophies of bullionism and mercantilism caught the imagination of European countries and their rulers and merchants.



- ▶ Portugal and Spain lost the edge that they had enjoyed over maritime trade in the initial years whereas countries like England, France and Holland could exploit the favourable factors to their advantage to the maximum.
- ▶ Commercial revolution had powerful societal implications.
- ▶ In the context of mercantilism, an alliance between the merchants and the monarchs emerged against the feudal lords.
- ▶ Mercantilism precipitated revolutionary transformations in the fields of agriculture, industry and transport and communications.
- ▶ Second half of the 18th century saw the development of industrial revolution with profound socio-political, economic and cultural consequences.
- ▶ The Industrial revolution appeared for the first time in Britain and then swept through Europe.

Objective Questions

1. In which part of Europe did capitalism as a distinct economic trend first appear?
2. Where did the industrial revolution first appear?
3. In which year did the Turks conquer Constantinople?
4. Which Western European countries most effectively utilized the bullion trade to their maximum commercial benefit during the 16th and 17th centuries?
5. What is the most important invention of James Hargreaves?
6. Who invented the Spinning Mule?
7. Who had devised the earliest model of steam engine which was used to pump out water from the mines in 1712?
8. Name the person associated with the invention of Water Frame in 1769.

Answers

1. Western Europe
2. England
3. 1453
4. Holland, England and France
5. Spinning Jenny
6. Samuel Crompton
7. Thomas Newcomen
8. Richard Arkwright

Assignments

1. Write a comprehensive essay on the development of capitalism, mapping out its various stages throughout history. Explore key milestones, transitions, and economic transformations that shaped the evolution of capitalism.
2. Conduct a comparative analysis of the societal implications of capitalism at different stages of its development. Examine the impact of capitalism on social structures, class divisions, labour relations, inequality, and individual freedoms, taking into account historical and contemporary contexts.

Suggested Readings

1. Hobsbawm, E. J., *The Age of Capital: 1848-1875*, Weidenfeld & Nicolson, London, 1996.
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3. Rao, B. V., *History of the Modern World from AD 1500 to AD 2013*, Sterling Publishers Pvt Ltd-New Delhi, 2012.
4. Sinha, Aravind, *Europe in Transition: From Feudalism to Industrialization*, Manohar Publishers and Distributors, New Delhi, 2010.



Unit 2

Urbanism

Learning Outcomes

After completing this unit, the learner will be able to:

- ▶ understand the phenomenon of urbanism and its allied processes
- ▶ introduced to a historical perspective about urbanism
- ▶ correlate the processes of modernization, industrialization and the consequent development of urbanism

Prerequisites

Traditional ways of life gradually giving way to new ideas, technologies, and systems known as modernization. It encompassed a range of changes that propelled societies into the future. One of the key components of modernization was industrialization, a process that revolutionized the way goods were produced. It brought forth magnificent machines, factories, and an era of mass production. As industries flourished, cities expanded rapidly, welcoming waves of people seeking better opportunities. This phenomenon came to be known as urbanism.

The process of urbanism was not just a result of modernization; it was a captivating journey that transformed societies on a global, regional, and local scale. Its socio-economic, cultural, and political dimensions intertwined to create a dynamic tapestry that defined the modern social fabric. So, let us embark on this exciting exploration and unravel the story of urbanism and its remarkable impact on our world.

Keywords

Urbanism, Industrial Revolution, Modernization, Technological Changes, Demographic Change

Discussion

4.2.1 Understanding Urbanism

Urbanism is the modern world's heartbeat, representing the growth and transformation of cities with towering skyscrapers, bustling streets, and diverse cultures. Technological advancements fueled this revolution, leading to faster transportation, improved communication, and increased efficiency. Cities became epicenters of innovation, drawing people from all walks of life. Cities became centers of power, fostering governance and decision-making, leading to social reforms, activism, and the shaping of democratic societies.

Sub-urbanism, or the growth of suburbs, is closely related to over-urbanization of a city. Over-crowding of cities by population results in sub-urbanism. Sub-urbanism means urbanization of rural areas around the cities characterized by the following features:

- a. a sharp increase in the non-agricultural uses of land
- b. inclusion of surrounding areas of towns within its municipal limits, and
- c. intensive communication between town and its surrounding area

From the 19th century, western sociologists began analyzing urbanization, focusing on the distinction between urban and non-urban aspects. They developed dichotomies like Maine's distinction between status and contract, Morgan's contrast between savagery and civilization, Tonnies' distinction between *gemeinschaft* and *gesellschaft*, and Durkheim's distinction between mechanical and organic solidarity. Fustel de Coulanges regarded urbanism as a crucial stage in the development of civilization while others like Max Weber and George Simmel emphasize

dense living conditions, rapid change, and impersonal interaction in urban settings.

4.2.1.1 Urbanism: A Retrospect on Historical Experience

Urbanism has been a part of ancient cultures, with examples from Mesopotamia, the Indus Valley, China, Egypt, Greece, and Meso-America. However, urban growth has not been uniform worldwide, with variations in scale and intensity. The first cities were mainly found in the area between the Persian Gulf and the Mediterranean region. The origin and growth of urban centers can be attributed to the concentration of political, military, administrative, and religious power. In the second phase of city growth, commerce and trade became more important due to the expansion of society's material basis and improved communication. Larger cities became trading centers for their immediate region and distant possessions, such as Pataliputra, Taxila, Rome, and Constantinople.

In the Middle Ages, urbanism in Europe experienced a setback with the fall of Rome in the 4th century CE. However, during the high Middle Ages (between 9th and 12th centuries), conditions improved, leading to the development of crafts and the separation of crafts from agriculture. This led to the emergence of itinerant craftsmen who settled around monasteries, castles, and other locations, eventually becoming medieval towns. These towns played a crucial role in the social life of Europe, freeing themselves from the feudal bonds and establishing independent governments.

In the 11th century, cities emerged in Europe, with new urban communities consisting of merchants and artisans. The Renaissance movement allowed fine arts to flourish, and the city culture took shape. This shift in social values freed man's intellect from medieval



shackles, stimulating science and humanism. The advancement of urban development in Western civilization was a response to the technological aspects of industrialization and the transformation of social structure.

The late 18th century saw a watershed in urbanism with the Industrial Revolution, which transformed the concept of a city and introduced machinery in industries. This led to a new situation where economic activity overpowered everything and a capitalistic system with distinct class segregation began to function. This transformation transformed ideas regarding economic activities and social structure, and laid the foundations for the growth of large cities.

Colonisation shaped social changes, with the Portuguese, Dutch, English, and the French colonial powers creating towns and cities in their colonized areas. By the mid-19th century, all continents had a high percentage of urban population, including major cities like San Francisco, Vancouver, Baltimore, and Hong Kong.

4.2.1.2 Urbanism: A Product of Industrial Revolution

Industrialization led to increased urbanization, requiring centralized sites for production, distribution, exchange, and credit. This led to a need for a regular system of communication and transport, a dependable coinage, and a standard system of weights and measures. Modern urbanism differs from pre-industrial urbanism in terms of its quantitative reach and intensity, as well as the relationships between cities and society. In the United Kingdom, urbanization reached 40% by 1851, and by 1901, 75% of the population was urbanized. This pattern was repeated across Europe, the United States, and the world.

By 2000, about half the world's population was urbanized. The fastest urban growth was found in underdeveloped nations, where cities provided escape and opportunity for overpopulated villages. By the mid-1980s, Africa and Asia were about 30% urbanized, and Latin America nearly 70%. However, urbanization in underdeveloped nations did not bring the benefits of industrialization, resulting in the rapid growth of slums on the outskirts of big cities.

4.2.1.3 Modern Urbanism: The European Experience

The Industrial Revolution significantly impacted the West's economic and technological history, transforming life patterns for men and women. It led to the rise of the factory system, causing millions to migrate to cities. This new way of life required discipline, slum living, and business management skills. Industrialization and urbanization also taught class consciousness, as individuals perceived themselves as part of a class with unique interests and opposed others.

4.2.1.4 The Rural Background and the Urban Influences: 19th century European Scenario

In 1850, Europe's population was predominantly peasant, with 60% living in rural areas in France, Italy, Prussia, Spain, and Russia. Demographic pressures caused chaos in cities and hardship in rural areas. The population of Europe grew from 187 million in 1800 to 274 million by 1850. The standard of living in Britain was better than anywhere else, but rural Irish and the Russians also experienced a rise. Overpopulation led to unemployment, poverty, and a lower standard of living for rural populations. To address these issues, governments passed laws, such as raising the age of marriage and requiring proof of family support.

The Industrial Revolution directly affected rural populations, causing a decline in cottage industry and income loss. Improved communication networks allowed governments to intrude on the lives of peasants, enabling central bureaucracies to collect taxes and conscript their sons.

4.2.2 Urbanization and the Standard of Living

Between 1800 and 1850, the growth of cities in Europe was significant due to the steam engine, which allowed for the consolidation of production in large cities. This led to increased transportation accessibility and increased the availability of workers in the cities. However, the rapid expansion of cities was accompanied by general population growth and industrialization. Cities like London, Manchester, Paris, Vienna, and Berlin experienced rapid population growth, leading to overcrowding and poor living conditions. The Governments attempted to encourage emigration to alleviate overcrowding, with most emigrants relocating to the Americas.

Overcrowded cities were detrimental to the health of those living within them, with middle-class individuals being more susceptible to diseases and factory smoke. Additionally, air pollution from factories, railroads, and domestic chimneys contributed to the health issues.

The Governments implemented measures to improve sanitary conditions and eradicate slums in cities, but these projects were only begun by 1850. Cities like Paris had limited water supply, London had 250,000 cesspools, and Manchester had no toilets. Historians for the past several decades have engaged in a debate on the question, did the standard of living rise or fall in Europe during the first half century of the Industrial Revolution? Some argue that workers' hardships were necessary

for long-term economic growth, while others argue that they overlooked physical and psychological suffering. The debate is hindered by a lack of reliable evidence on wage levels, working hours, and cost of living.

In the early 19th century, skilled workers in new factories and traders experienced a slight rise in wages and a decline in living costs. However, unskilled workers faced a precarious existence, with textile workers in England earning enough to support a family. In Switzerland and Saxony, similar work paid only half of what was necessary, and a large portion of the population depended on poor relief or charity. Economic depressions were common, leading to workers being laid off for weeks without unemployment insurance. Hand-loom weavers faced precarious conditions, with a hand-loom weaver earning only three shillings per week in 1842. The per capita meat consumption of the average worker declined to about forty pounds per year in the early 19th century.

4.2.2.1 The Urban Middle Class

The urban middle class emerged during this period, consisting of various families, including industrialists, financiers, entrepreneurs, bureaucrats, and those in various professions. The middle class held a serious devotion to family and home, treating it as a sacred place with its own rituals and meanings. The husband and father were masters, and the wife was considered a help-mate. The middle-class woman was responsible for the moral education of her children, but spent only two or three hours a day with them. Education for middle-class women usually consisted of reading and writing, arithmetic, geography, history, and a foreign language.

The rapid trade in prostitution flourished in 19th century European cities, with an estimated 15,000 prostitutes in Vienna, 50,000 in Paris,



and 80,000 in London. The lives of prostitutes were less than slavery, but few 'prima donnas' enjoyed the protection of wealthy upper-middle-class, who allowed them to move on the fringes of more respectable high society.

Middle-class family rituals and vacations were essential in maintaining the hierarchy of the class. The family's daily meals were cooked and brought to each place by servants, who reminded the family's social position. The advent of railways made family vacations more accessible to moderate-income families. Entrepreneurs built large ornate hotels, offering the same comfortable and sheltered existence as home. The houses and furnishings of the middle class were an expression of their material security, with rooms filled with furniture, art objects, carpets, and wall hangings. The size, elegance, and number of servants depended on income, but obedience to the same standards and aspirations binded them to the same class.

4.2.2.2 The Life of the Urban Working Class

The working class was divided into various subgroups based on skill, wages, and workplace. It included skilled workers in traditional crafts, mechanics skilled in new industrial technology, textile machinery workers, and those working in mines and quarries. Workers' experiences varied depending on their location, living conditions, and earnings. A skilled textile worker could afford food, shelter, and clothing, while unskilled laborers struggled to support themselves and their families. The majority of workers worked either in workshops or at home, making it difficult to generalize about a common European working-class experience from 1800 to 1850.

Industrial cities were uncomfortable and squalid for workers, with poorly built housing

that failed to meet their needs. Old buildings were often repairable, and new houses were constructed of cheap materials. Water was often shared by multiple houses and adjacent to an outdoor toilet. Crowding was common, with families of up to eight living in two or three rooms. After 1850, the governments began to remove slums, leading to relocation into dreary tenements with barrack-like anonymity.

During the 19th century, women in Western Europe were employed in factories, small workshops, and domestic servants. They often worked for low wages and were often trapped in undesired sexual relationships. Female sexuality was acknowledged in the working classes, with illegitimacy rates increasing between 1750 and 1850. The anonymity of city life encouraged prostitution, as working class men and women struggled to cope with an alien environment.

The factory system faced significant challenges for workers, as it prioritized standard work over individual creativity, denying skilled laborers the pride in their craft. Many workers were stripped of guilds and formal apprenticeships, which were outlawed or curtailed in France, Germany, and Britain in the first half of the 19th century. Factory hours were long, with dirty and dangerous conditions, unventilated textile mills, and unfenced machines. Manufacturing processes were unhealthy, British physicians found that long factory hours and harsh working conditions caused spinal curvature, bone malformations, and various health issues. Mines also faced similar conditions, with over 50,000 children and young people employed in the early 1840s.

First-generation workers faced significant psychological readjustments when adapted to factory working conditions. They had long

hours and little monetary rewards, but were allowed to set their own hours and structure of work. Factory systems required all employees to start and end work simultaneously, breaking down the manufacturing process into specialized steps. The employment of women and children was also a disturbing innovation, as they were often hired instead of men and were considered easier to manage. This disrupted family life and led workers to view machinery as a tyrant, binding them to industrial slavery.

4.2.2.3 Urbanism and Middle Class

The middle class, responsible for shaping modern urbanism and industrialism, faced uncertainties and challenges in the face of economic collapse. It was unsure of the future of the factory system and urbanization, leading to the emergence of an underclass that preferred promiscuity and criminality over honest labor. This mindset was part of the middle-class's compulsion to rationalize their prosperity and legitimize their ascendancy over the urban working poor. The ideas of Adam Smith and a second generation of economists, such as Thomas Malthus and David Ricardo, shaped middle-class respect for individual enterprise and urged businessmen to remake their countries' economies. The chief elements in the theories of these economists were as follows.

1. **Economic individualism:-** Individuals are entitled to use their own best interests in the property they have inherited or acquired by any legitimate method. People must be allowed to do what they like so long as they do not trespass upon the equal right of others to do the same.
2. **Laissez-faire:-** The functions of the state should be reduced to the lowest minimum consistent with public safety. The government should shrink itself into the role of

a modest policeman, preserving order and protecting property, but never interfering with the operation of economic processes.

3. **Obedience to natural law:-** There are immutable laws operating in the realm of economics as in every sphere of the universe. For instance, law of supply and demand, the law of diminishing returns, and so on. These laws must be recognized and respected; failure to do so is disastrous.
4. **Freedom of contract:-** Individuals should be free to negotiate the best kind of contract they can obtain from any other individual. In particular, the liberty of workers and employers to bargain with each other as to wages and hours should not be hampered by laws or by the collective power of labour unions.
5. **Free competition and free trade:-** Competition reduces prices, eliminates inefficient producers, and ensures maximum production. To combat monopolies and price-fixing, abolish protective tariffs, and promote free international trade.

There was a dilemma among 19th century European writers and thinkers about the new industrialized urban civilization and the middle-class life patterns that sustain it. While some critiques of the industrial civilization and middle-class values were legitimizing, others could not propose radical reforms. Carlyle criticized the present by comparing it to a rosy past, while William Cobbett argued against industrialization itself and its effects. This dilemma mirrored the dilemma most critics faced: should we return to the life of preindustrial society or accept the present?

A group of thinkers proposed radical solutions to industrial society's challenges, arguing that society could be both industrialized and more humane. They included socialists like Robert Owen, Charles Fourier, Henri De



Saint Saimon, Louis Blanc, Pierre Proudhon, Angels, and Karl Marx. These thinkers and their critique of the capitalist system and its various exploitative by-products are detailed in Unit I of the Block 5.

4.2.3 Urbanism and its Socio-cultural Dimensions

Urbanism is a complex phenomenon influenced by culture, consciousness, and social interactions. It can detach people from

traditional communal moorings, leading to unreal expectations and dreams. Despite this, cities promote diversity and creativity, acting as agents of change and growth. Modern urbanism has transformed the countryside into a single economic system, with political and economic power concentrated in cities. Industrial and financial corporations have become dominant landowners, and urban life no longer significantly affects society's values and practices.

Recap

- ▶ Urbanism the sub-processes of modernization and industrialization.
- ▶ Urbanism is the process of becoming urban, people moving away from agriculture to various other professions like trade and commerce, various craft production, industrial pursuits, management etc. and embracing habits and behaviour patterns typical of them.
- ▶ The process of urbanism of the pre-modern times is markedly different from the modern one.
- ▶ It was the 18th century industrial revolution that proved to be a watershed in the development of modern urbanism.
- ▶ In the course of the 19th and 20th centuries, there has been a profound transformation in the demographic pattern of the world in the direction of urbanism.

Objective Questions

1. Who describes urbanization as the Westernization of the World?
2. Which are the most general factors propelling urbanism?
3. Name the sociologist who introduced the concept of 'Status and Contract' dichotomy applicable in the study of urbanization?
4. Name the sociologists who proposed the gemeinschaft view of urbanism.
5. What was the most important development of the 18th century that proved to be a watershed in the sprouting of urbanism?

Answers

1. Toynbee
2. Economic development and technological change
3. Henry Sumner Maine
4. Tunnies and Durkheim
5. Industrial revolution

Assignments

1. Discuss the urbanisation process and its socio-economic, cultural, and political dimensions at the global, regional, and local levels.
2. The middle class was responsible for shaping modern urbanism. Review the statement and prove your answer with ample examples.

Suggested Readings

1. Chris Harman, *A People's History of the World*, Orient BlackSwan, 2005.
2. Ian Crofton, *World History: 50 World History Things You Really Need to Know*, Quercus, UK, 2011.
3. MCnall, Edward, Burns et. al., *World Civilizations*, Vols. B and C., Goyal Publishers, 2011.
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2. Rao, B. V., *History of the Modern World from AD 1500 to AD 2013*, Sterling Publishers Pvt Ltd-New Delhi, 2012.
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Unit 3

Colonialism

Learning Outcomes

Upon completion of this unit, the learner will be able to:

- ▶ familiarized with the process of colonialism with its various contexts and manifestations
- ▶ acquainted with all the important approaches to the study of colonialism.
- ▶ introduced to the various socio-economic and political factors that propelled the development of colonialism
- ▶ familiarized with the attempts of major European countries to colonize America, Asia and Africa and getting introduced to the rivalries and conflicts among them for colonial possessions

Prerequisites

Imagine a time when the world was embarked with powerful forces of capitalism, imperialism and colonialism took centre state. It was a time of immense transformation, where the dynamics of these phenomena shaped the destiny of nations and forged an international division of labour. The genesis and growth of imperialism and colonialism, intricately intertwined with the workings of capitalism. These forces worked in harmony, laying the groundwork for a global system of exchange, where regions and states became players in an intricate economic web. Within this web, economic stratification emerged as a consequence of colonialism and imperialism. Various regions and states found themselves positioned within a structured hierarchy, where power imbalances influenced the flow of resources and wealth. It was a stage of dominance and subordination, as the global system of exchange dictated the fate of nations.

The system generated new production and commodity chains, reshaping economies and causing societies to transform. However, the western world experienced development and prosperity, while colonizers faced underdevelopment. This narrative highlights the profound impact of colonialism on once-colonized lands, leaving lasting scars on their economies.

In this unit, we explore how colonialism and its resultant capitalism shaped the destiny of nations. We uncover the intricate web of economic exchanges, the emergence of new production structures, and the lingering effects of underdevelopment. So, let us learn the story concept of imperialism, colonialism, and the enigmatic dance of capitalism.

Keywords

Colonialism, Imperialism, Geographical Discoveries, Neo colonialism, Merchant Companies, Colonial rivalries

Discussion

Imperialism and colonialism are two sides of the same coin, with European countries' expansion and domination since the 16th centuries bringing wealth and prosperity to their colonized territories. However, European domination left behind an unpleasant legacy for the colonized terrain. Colonization has occurred through inland expansion, such as Russia, and overseas colonization, such as China. Direct colonialism has a colonial state, while indirect colonialism has indirect control over the economy, society, and polity. In semi-colonial countries like China, control is over the economy rather than the polity, and no single imperial power has exercised monopolistic control.

Neo-colonialism involves colonial controls through non-formal means, with economic policies often dictated by neo-imperialist powers or international agencies dominated by their capital. The superpowers like the USA and Soviet Union have served as potential neo-colonial powers, but since the collapse of the Soviet bloc in 1991, the US has become dominant in a uni-polar world. Fast-growing economies like China are now considering playing roles as potential neo-colonialist entities in the early decades of the present millennium.

4.3.1 Major Approaches to Colonialism

Colonialism and imperialism have been variously interpreted in the Marxist traditions from Marx to the contemporary theorists. One of the dominant approaches to colonialism was put forward by the Dependency Theorists.

This theory suggests that a colony remains economically dependent even after achieving political freedom as long as it remains part of the capitalist system. Wallerstein's The World Systems approach divides the capitalist world into Core, Periphery, and Semi-periphery, with Core economies producing high-value products and strong states, Peripheral societies being underdeveloped, and Semi-peripheral countries having better control in national and international markets. Economic nationalism is the chief characteristic of semi-peripheral states, who negotiate for their advantage in the world system through economic nationalist policies. Cultural aspects of colonialism have been studied by scholars like Amilcar Cabral, Frantz Fanon, and Edward Said.

4.3.2 Explaining the Process of Colonialism

Colonialism is a historical phenomenon that marks a transition between the traditional economy and the modern capitalist economic system. It is a social formation where the foreign capitalist class holds basic control over the economy and society. Scholars traditionally view colonialism as the superimposition of foreign political control over the colonies through military means, with the success of colonial regimes dependent on the colonial masters' ability to exploit the disunity and lack of cooperation of the colonized people. However, some scholars argue that colonialism is a hybrid creation, distorted capitalism, and that integration with the world economy does not naturally develop capitalism in the colonies.

Colonialism is characterized by a subordinate position within the world



capitalist system, leading to unequal exchange of resources. The colonial state's political domination facilitated the manipulation of wealth through unrequited exports, state expenditure on armed forces, and civil services. The primary contradiction in colonialism is societal rather than class, with national liberation struggles against colonialism occurring in colonial societies rather than a class struggle.

4.3.3 Evolution of Colonialism

The 16th century saw the establishment of the colonial system, which involved European powers building large empires in newly discovered lands and establishing domination over them. The process of colonialism evolved through several stages, with the early phase focusing on exploitation of colonial wealth through trade or plunder. The Industrial Revolution led to the transformation of colonies into producers of raw materials and consumers of European industrial products, mainly through free trade. The process reached its climax with the partition of Africa by the end of the 19th century, resulting in a global economy based on colonization. The Europeans used force, treaty, technological strength, and cultural strategies to maintain colonies and sustain their dominance.

4.3.4 Geographical Discoveries and Their Background

After the Ottoman Turks captured Constantinople in 1453, the Europeans relied on Italian merchants for Oriental goods. Italians had profitable trade with Arabs during and after the Crusades. In the late 13th century, Italian merchants reached China, Japan, and the Spice Islands, attracting the imagination of the Europeans. The Christian Church aimed to convert millions of pagans, and European rulers sought to establish trade

contact with the East to increase power and prestige. The important factors contributing to European ambitions included the use of the Mariner's compass and Astrolabe, improved shipbuilding, and the School of Navigation established by Portuguese Prince Henry. These schools attracted the best sailors, astronomers, and geographers of Europe, who exchanged knowledge and sent annual maritime expeditions along West Africa.

Lopo Gonsalves, a Portuguese navigator, crossed the equator and Bartholomew Diaz reached the Cape of Good Hope in 1487. Vasco da Gama followed Diaz's route, sailing towards India and reached Calicut in 1498. This discovery was significant turning point in Europe and Asia. Two years later, Cabral, a Portuguese commander, was blown off course and reached South America, resulting in Brazil's discovery in 1500.

4.3.4.1 Exploration of the New World

The Vikings first landed on the New Continent (later America) during the Germanic invasion of the Western Roman Empire. Christopher Columbus, a Genoese sailor, set sail in 1492 across the Atlantic, claiming all the lands he discovered for his king and queen. However, the Portuguese became jealous of Spain's newly acquired land, and the Pope intervened to settle their dispute. The new continent of America was named after the Italian explorer Amerigo Vespucci. Vasco Nunez de Balboa explored the Pacific Ocean and discovered Florida.

Ferdinand Magellan embarked on a voyage around the world in 1519-1522, following Vasco da Gama's proposal to find a westward passage to the east. Despite facing financial challenges, Magellan managed to reach the Philippines and eventually reached Spain in 1522.

Hernando Cortez, a Spanish conquistador, defeated the Aztecs in Mexico and became their governor. Francisco Pizarro invaded Peru in 1533, but the Incas were defeated and executed. The Spaniards forced the indigenous population to work in silver and gold mines, and converted many natives to Christianity. John Cabot, an Italian explorer, discovered the east coast of Canada, leading to the English claiming much of North America. The French explorers like Jacques Carrier and Champlain Marquette also explored the region, claiming territories from the St. Lawrence River in Canada to the Mississippi River. Henry Hudson, an English explorer, helped the Dutch claim the Hudson River region and penetrate the northern barrier of iceland. Berents, their explorer, discovered Spitsbergen.

4.3.5 Colonial Rivalries of 17th and 18th Centuries

European powers claimed vast territories, leading to wars and conflicts on the new continent. Portugal, Spain, and the Netherlands emerged as major commercial powers, with Portugal and Spain leading the way in overseas trade. The Portuguese quickly exploited the commercial opportunities, acquiring trading positions in the East, India, Mauritius, Java, Sumatra, Malacca, Spice Islands, and Ormuz. They also established trading posts on the African coast and claimed Brazil in 1500. However, Portugal was unable to colonize Asia, and their overseas empire was more commercial than colonial.

The Spaniards, dominated the East Indies and the Caribbean, establishing a true colonial empire in South America. By the end of the sixteenth century, Portugal and Spain lost their colonial primacy to the Dutch, British, and the French. The Dutch penetrated all oceans and waged war against Iberian kingdoms, occupying Batavia in Java and establishing

trade contacts with China, Japan, and India. However, they could not survive competition from other European powers, leading to the loss of their trading centers. The French colonial policy in the New World was based on the principle that colonies existed solely for the benefit of the motherland.

The French East India Company acquired Pondicherry and several other posts in India, but its scheme of Indian domination was thwarted by the British. England, late in entering the chase for trade and colonies, exploited the political situation on the collapse of the Mughal empire to establish its domination over India. The British set up coastal stations in Africa and occupied the Cape Colony from the Dutch, gained possession of India. With naval and military power, Britain ultimately be victorious in the race for the colonial empire.

4.3.6 The Merchant Companies and European Colonialism

The growth of international trade in the 17th and 18th centuries led to the formation of merchant companies in Europe. These companies played a crucial role in expanding foreign trade and developing colonial empires. The most important merchant companies were the English, Dutch, and French East India Companies. The foundation of these companies was laid by London merchants known as ‘Merchant Adventurers’, and they were granted royal charters in December 1600. The Dutch East India Company was formed in 1602, and the French East India Company was established in 1664.

Merchant companies’ success or failure depended on their colonial strategy, which influenced native rulers and acquired trading privileges. They often interfered in the internal struggles of native kingdoms to obtain control over trade and territory. The acquisition of



political power was also a practical strategy to appropriate colonial wealth.

European colonialism involved a shift from trade to politics, with merchant companies initially formed as commercial enterprises. However, as European powers pursued imperialist ambitions and territorial acquisitions, they captured political power and imposed political domination over the colonies. This shift was driven by a feeling of insecurity and the need to protect trading posts, factories, and forts. Political power was crucial for colonial empire building, allowing European powers to control trade, control native states, and modify the colonial economy to meet the capitalist class's needs. The greed for colonial wealth and European capitalism paved the way for political conquest of the colonies.

4.3.7 Religious Proselytization and Growth of Colonialism

Overseas colonies provided Christian missionaries with an opportunity to spread the gospel among natives in colonial regions. Missionaries, led by various European powers, successfully converted native populations to the Catholic faith. The Christian Church often served colonial interests, as seen in Pope Alexander VI's 'Alexandrian donation'. Missionaries received state aid and encouragement for their efforts, but conversion was often violent and often involved force. Missionaries often relied on the assistance of European powers to survive in unfamiliar territories.

They taught natives to obey the king and colonial agents, opposed progressive ideas, and trained them to endure hardships, diverting popular wrath against colonial authorities. Criticizing indigenous society and religion, missionaries provided an ideological justification for colonial rule.

4.3.8 Spaniards and Portuguese in South America

Spanish and Portuguese colonized South America through military exploits by Cortez and Pizarro, establishing permanent settlements in various regions. The primary purpose of Spanish colonization was to exploit its wealth, including gold, silver, and precious stones from India. The Spanish enslaved natives and established a centralized administration in New World colonies, with a Viceroy representing the crown. This exploitation of land and people in Latin America allowed wealth to flow freely into Spain. However, Spain tried to resist Portuguese entry, leading to conflict.

Pope Alexander VI issued the Papal Line of Demarcation in 1493, which acknowledged Spain's claim to most of the New World. The Treaty of Tordesillas granted Spain exclusive rights to all New World lands west of the line and Portugal in the area east of it. In 1500, Portugal occupied Brazil, which became the basis of the Portuguese empire in South America.

4.3.9 The Anglo-French Rivalry in America

The British and French sought trade and colonization in North America, leading to direct confrontation. The French expanded their control, establishing strongholds along the Mississippi River and major settlements in Quebec, Montreal, New Orleans, and Louisiana. As their rivalry grew, tensions escalated over territory.

4.3.10 European Ventures in the East

European traders established commercial and political domination over Asia, particularly the East Indies, Indian Ocean, and China. The

first European power to penetrate the East Indies was Portugal, which captured Malacca, a strategic port for East Indian commerce. The Dutch eventually displaced the Portuguese, who gained control of the Spice Islands. The Dutch East India Company was dissolved in 1798, and the Dutch possessions in the East Indies were placed under the home government. The Indian Ocean region was a major center of commercial and mercantile activities, with the arrival of the Portuguese in 1498 revealing the world to Europe.

The Portuguese established the first European trade network in the Indian Ocean through their commercial organization, Estado da India. However, the Indian Ocean became a sphere of conflict, and the English eventually lost their commercial domination.

European colonialism in China began with the Portuguese merchants opening trade with Canton in 1554 and Macao in 1557. The Dutch and English arrived, challenging the

Portuguese monopoly. Chinese culture led to a gloomy attitude towards European trade, leading to restrictions on Dutch and English trade. By the mid-18th century, trade opened to all countries, but remained confined to Canton and Macao. European hegemony over China was established nearly a century later, particularly after the 19th-century opium wars.

4.3.10.1 Africa

Africa has maintained unbroken contact with Europeans, but Europeans were slower in penetrating the continent due to factors such as inhospitable climates, inaccessibility, native resistance, and lack of rich resources. European colonization began in the 15th century, with Portuguese, Dutch, English, and French colonizing West Africa. However, Europeans mainly held posts on the west coast to obtain slaves for plantations, and large-scale colonization and partition occurred in the second half of the nineteenth century.

Recap

- ▶ Colonialism and imperialism are capitalist processes that led to economic transformations by integrating diverse regions and states under a common system.
- ▶ The system of capitalism that engendered development in the Western world had generated under-development in the colonial world.
- ▶ European conquests and domination since the 16th century brought wealth and prosperity, but left problematic legacy in colonial countries' economies and societies.
- ▶ Neo-colonialism is another form of manifestation of colonial and imperial domination.
- ▶ There are several approaches to the study of colonial processes. The Dependency Theory, the World Systems Analysis, theories focusing on the cultural implications of colonialism are few of them.
- ▶ The foundations of the colonial system were laid in the 16th century in the wake of the geographical discoveries. European colonialism passed through several stages. The mercantilist phase, the industrial capitalist phase and financial capitalist phase.
- ▶ European colonial powers claimed vast territories, leading to conflicts across America, Asia, and Africa, resulting in significant territorial disputes.



- ▶ Colonial policy initially focused on trade, with merchant companies as commercial enterprises. Over time, imperialist ambitions emerged, aiming to capture territories and impose political domination over colonies.
- ▶ The mercantile enterprises were now transformed into territorial powers.
- ▶ Colonial expansion involved religious proselytization, as missionaries accompanied traders and engaged in evangelical activities.
- ▶ Criticising the indigenous society and religion, the missionaries provided an ideological justification for colonial rule.
- ▶ By the end of the 19th century, European powers had established their control over almost all territories of Asia, America and Africa.

Objective Questions

1. Name two countries which were examples of direct colony.
2. Name a country which was under indirect colonial rule or semi-colonialism.
3. Name two countries which emerged as independent nations from colonial domination due to emigration from the European mainland.
4. Who were the major proponents of the Dependency Theory that explains the process of colonialism?
5. Who is the enunciator of the World System perspective?
6. Which are the three levels of societies based on capitalist production, exchange and social relations according to the World Systems analysis?
7. Which are the two main characteristics of the core economies as per the World System perspective?
8. Who were the main scholars who studied about the cultural implications of colonialism?
9. Who describes Empires as Trans-National Organizations created to mobilize resources of the world?
10. Who argues that colonialism is a distinct social formation characterized by distorted capitalism?

Answers

1. India and Indonesia
2. China
3. Australia and Canada
4. Andre Gunder Frank and Samir Amin
5. Wallerstein
6. Core, Periphery and Semi-periphery
7. Production of High Value Products and the Presence of Strong States
8. Amilcar Cabral, Frans Fanon and Edward Said
9. Hopkins
10. Bipan Chandra

Assignments

1. Analyze and compare different scholarly perspectives on colonialism, focusing on how historians have interpreted and understood this complex phenomenon. In your essay, discuss key theories, methodologies, and debates within the field of colonial historiography.
2. Consider the different lenses through which colonialism has been examined, such as economic, cultural, social, and political perspectives. Provide examples and evidence from relevant historical cases to support your arguments. Conclude your essay by reflecting on the significance of understanding the diverse historiographical approaches to colonialism in shaping our understanding of history.
3. Research and write an in-depth analysis of the societal implications of colonialism. Examine how colonialism has impacted various aspects of societies in colonized regions, including but not limited to culture, economy, politics, social structures, and identity formation.
4. Consider both the short-term and long-term consequences of colonial rule. Discuss the power dynamics, cultural assimilation, exploitation of resources, and social hierarchies that emerged as a result of colonial practices. Utilize historical examples and scholarly sources to support your analysis.
5. Reflect on the ongoing legacies and challenges that societies face as a result of colonialism. Conclude your analysis by discussing possible paths towards decolonization and post-colonial recovery.



Suggested Readings

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2. Bernard S. Cohn, *Colonialism and Its Forms of Knowledge*, Princeton University Press, US, 1996.
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2. Rao, B. V., *History of the Modern World from AD 1500 to AD 2013*, Sterling Publishers Pvt Ltd, New Delhi, 2012.
3. R. C. Virmani, *Colonialism and Nationalism in India*, Gitanjali Publishing House, 1999.
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Unit 4

Imperialism

Learning Outcomes

Upon the completion of this Unit, the learner will be able to:

- ▶ explore the socio-political and economic background and genesis of the growth of the imperialism
- ▶ familiarise with the various theoretical approaches to imperialism
- ▶ acquainted with the evolutionary stages of imperialism
- ▶ get an idea about the major imperial powers and the rivalries and conflicts among them

Prerequisites

It was in the context of appreciating Napoleonic ambitions that the term imperialism was first used in the 1830s. The term began to signify the colonial expansion of Britain, France, Germany, Russia, Italy, U.S.A., Japan etc. during the turn of the 19th century. In the course of the 20th century, the developments such as world wars and decolonization, the term imperialism attained a new connotation. Now the continued dependence of the Third World on western states and multi-national corporations is being described as neo-colonialism or neo-imperialism. Construction and maintenance of relationships of domination between political communities through formal or informal means form the crux of the phenomenon of imperialism. Economic exploitation constitutes the kernel of modern imperialism.

The Empires and the ancient agrarian states, were governed by the elite groups like military leaders, landowners, and religious leaders. These empires had ethnic divisions and were parallel to the Roman Catholic church. In the medieval period, these empires were seen as political agencies unifying the Christian world, with the Holy Roman Empire being a prime example. However, the idea of a universal polity receded with the emergence of absolutist nation states in the early modern era. It is worth investigating how these structures resembled Western colonial empires.

Keywords

Imperialism, Capitalism, Imperialist Expansion, Inter-Imperialist Rivalries, Industrial Capitalism, Financial Capitalism, Scramble for Colonies



Discussion

4.4.1 Imperialism

Just like capitalism, imperialism is a modern phenomenon and quite distinct from the pre-modern political conquests and annexations. The Empire in the age of capitalism is imperialism. There were empires in the pre-modern times as well. But the mode of their expansion assumed new dimensions in the modern epoch. Pre-modern imperial expansions were geared towards the extraction of tributes from the conquered territories. Under capitalism, the economies and societies of the conquered or dominated areas were transformed, adapted or manipulated to serve the imperatives of the capitalist accumulation in the imperialist countries.

Imperialism is the process of capitalist development that leads to the conquest and domination of pre-capitalist countries. Metropolitan countries, known as imperialists, exerted political control over subjugated countries' domestic and foreign policies. These countries were considered peripheries, with marginal economies. Imperialism refers to the international practices and relations of the capitalist world during the mature capitalist phase, which began in the late 19th century.

Four important features can be identified as the characteristic markers of imperialism. They are:

- I. Sharp increase in international flow of commodities, men and capital.
- II. Interdependent set of relationships among countries at various levels of industrial development.
- III. Advanced and superior technology in imperialist countries.
- IV. Competition between advanced capitalist countries.

4.4.2 Imperialism and Colonialism

Imperialism in the post-Renaissance period is a European phenomenon, with the terms colonialism and imperialism referring to their respective social formations. Imperialism studies the impact of empire on the metropolis, while colonialism focuses on the colony. The steady flow of wealth from the colonies to the mother country or the metropolitan country or the imperial master was the mainstay of the colonialism to make possible the industrial revolution, develop superior military technologies, to build and improve systems of controls such as military and bureaucracy, and to the development of institutions or disciplines such as anthropology for the more efficient management of the former.

4.4.2.1 Imperialism: Dimensions and Modalities

Imperial modes in the modern era include direct and indirect forms. Direct imperialism involves direct political annexation and rule, while indirect imperialism involves politically independent local elites relying on the metropolis. There are three types of empires, some succeeded by others and coexisting at specific historical junctures. They are:

- I. Trading empires which initiated the early conquests but had lost out later in the course of the 17th and 18th centuries such as Portugal or Spain.
- II. Industrial empires with full-fledged colonies such as Britain and France.
- III. Industrial empires without colonies or with fewer colonies such as Germany or USA.

4.4.2.2 Evolution of imperialism

Changes in the character and manifestation of imperialism were inevitably dependent on the character of different stages in the evolution of capitalism. Broadly speaking,

capitalism went through five stages. These are:

- ▶ Rise of commercial capital and rapid growth of world commerce, from the end of 15th century to the early 17th century. Portugal and Spain were the major imperial powers.
- ▶ Commercial capitalism flowered into a dominant economic form from the middle of 17th century to the end of 18th century. The major imperial players were Britain, France and the Netherlands.
- ▶ Era of industrial capitalism from late 18th century to late 19th century. Britain was the first European country to witness industrial revolution (second half of the 18th century). In the course of the 19th century, Western Europe as a whole became industrialised.
- ▶ Socialism, decolonization and the rise of multinational corporations emerged during the period of post-World War II. This period is characterized by the decline of European powers like Britain and France and the rise of the USA and Soviet Union as major powers.

The history of European imperialism falls into two overlapping cycles. The first cycle spans from the late 15th century to the early 19th century. The second lasted from the late 18th century down to the 20th century.

4.4.2.3 Imperialism: Theoretical Approaches

Theoretical explanations of imperialism may be grouped into two categories viz. economic and political theories. They are also seen to have been distinguished as metro-centric and pericentric.

Economic Explanations

In his 1902 work ‘Imperialism,’ J.A. Hobson explains imperialism as an outgrowth of the capitalist system, focusing on under consumption and over-saving. Industries sought foreign markets for their goods due to low wages, leading to competition among industrial powers for surplus production. Colonies served as captive markets, and domestic investment was not economically sound. Hobson’s primary motive behind imperialism was the demand for markets and profitable investment opportunities, with concerns of national glory and civilizing mission as secondary motives.

Rudolf Hilferding, a German finance minister, demonstrates how big banks and financial institutions dominate industrial houses in the finance capitalist phase. The capitalists considered imperialist expansion as a way to ensure a steady supply of raw materials, markets for industrial goods, and investment avenues. The increase in the competitions for materials and markets among the European powers led to political rivalries, ultimately escalating into wars.

Born in Poland, Rosa Luxembourg was a revolutionary social democratic leader in Germany. She highlighted in her work ‘Accumulation of Capital’ published in 1913 the unequal relation between the imperial powers and the colonies. The European powers gained captive markets and profitable avenues of investment. The colonies, in contrast, remained as mere suppliers of raw materials and foodstuffs.

Vladimir Lenin, the architect of the Russian Revolution, argued that World War I was an imperialist war and urged the Russians to stay away. He argued that advanced capitalist countries invest in backward countries because



the limits of domestic profitable investments have reached. Lenin believed that the imperial interests were behind the European powers' rivalries, leading to World War I. He urged the Russians to abstain from the war.

Political Explanations

Schumpeter's work 'Imperialism and the Social Classes' argues that imperialism and capitalism are separate phenomena, with imperialism being atavistic and premodern, while capitalism is modern, innovative, and productive. Gallagher and Robinson argue that the distinction between pre-1870s and post-1870s imperialism is meaningless, and that political expansion is a function of commercial expansion. Fieldhouse argues that modern empires are the result of political struggles in Europe, with the balance of power well-adjusted, and colonialism is a means to maintain national prestige. Fieldhouse's view of modern empires is based on complex historical forces operating over centuries, particularly after 1815.

4.4.2.4 Genesis of European Imperialism

In 1500, Europe had a weak political economy, with the Ottoman Empire, China, and India having similar development levels. However, their centralized authority did not foster intellectual growth. The European powers' competition led to the introduction of new military techniques, such as long-range armed sailing ships, which increased military power and economic progress. Trans-Atlantic trade increased eightfold between 1510 and 1550, and the establishment of empires and administrative systems in America. The ship building industry developed around major ports, and competition for navigational advancements strengthened Europe's technological advantage. The discovery of America and the route to the India via the Cape of Good Hope liberated Europe from a

confined geographic and mental cell, allowing it to include influences from Eastern and Western civilizations.

The discoveries, trade, and conquests in the Americas had practical consequences for Europe, as each colony or trading center provided an economic stimulus. America was a market, and American bullion increased the supply of money, intensifying existing economic and social developments. Gold and silver stimulated exploration and conquest, attracting immigrants and missionaries. American colonies were set up, with the state, patriotism, and missionary impulse playing little role. Spain and Portugal were the dominant imperial powers before 1815, with both making significant profits from their colonies.

France, like Spain and Portugal, expanded in the Americas along the coast of Canada and South America, supported by the Crown, with chartered companies setting up the empire at a minimum cost. After the 1660s, the colonies became royal possessions, with royal agents headed by the government. The French suffered from excessive state interference, made no fiscal profits, and lost most of its possessions in America and India to Britain.

The western states developed colonies in the tropics, India, Africa, South America, and Australia. Europeans did not settle in Africa, but instead relied on slaves, gold dust, and ivory from the continent. Britain emerged as the leader due to its developed banking and financial system, geographical location, and the Industrial Revolution. The first empires represented European ambition, determination, and ingenuity in using limited resources. However, old colonialism had its limits, leading to the decline of the Spanish and the Portuguese power and the end of Dutch monopoly on shipping.

Europe's conquest of America, Africa, and Asia was possible due to its mastery over the seas, with countries like Portugal, Spain, France, Britain, and Holland having an advantage due to their geographical locations. While Europe's domination was disastrous for others, Europe benefited vastly in this era where merchant capital controlled the world economy leading to the era of merchant capital control and the establishment of institutions such as the modern state and bureaucracy.

4.4.3 Industrial Capitalism and the Emergence of British Empire

The Industrial Revolution in Britain marked a significant moment in world history when Britain was the sole world power, imperialist, importer, exporter, and foreign investor. The country's early industrial economy relied on foreign trade, with the cotton industry exporting 80% of its output and the iron and steel industry exporting 40%. Britain bought specialized local products from the US, Australia, and Argentina. By 1815, Britain had become the dominant world power, combining naval mastery, financial credit, commercial enterprise, and alliance diplomacy. The subsequent decades of British economic hegemony were characterized by large-scale improvements in transport and communications, rapid industrial technology transfer, and increased manufacturing output. The age of mercantilism was over, and tariff barriers were dismantled, leading to free trade and international harmony rather than great power conflict.

Europe's military superiority continued with the development of firepower technologies, causing a decline in non-European societies. Britain's colonial empire grew rapidly between 1815 and 1865, with strategic and settler colonies like Singapore,

Aden, Falkland Islands, Hong Kong, and Lagos. Industrial capitalism led to the need for colonies as markets for manufactured goods, particularly textiles and raw materials. India was a prime example, serving as a subordinate trading partner with unequal exchange, leading to low-value goods using backward techniques.

4.4.4 Emergence of other Imperial Powers

By the 1860s the countries like Germany and the USA were catching up with Britain in industrialization. In 1870 the figures for share of world industrial production were 13 percent for Germany and 23 per cent for the USA. In 1900 Britain was the unquestioned leader of the world. Her empire extended to twelve million square miles and a quarter of the world's population. The race for colonies speeded up from the 1880s with the entry of Germany, Italy, US, Belgium and Japan into the race for colonies. These rivalries between the powers led to a race for new colonies as each power sought to secure her markets, raw materials and investments. The Backward regions were annexed in order to control their raw material supplies. Malaya gave rubber and tin and the Middle East had oil.

These imperialist rivalries which carved up the world into colonies, semi-colonies and spheres of influence also divided Europe into military blocs. The logical corollary of this militarization was World War I. The First World War ended in the defeat of Germany and the Ottoman Empire. There was a redivision of colonies among the imperial powers. The Colonies were henceforth described as trustees. The Depression of 1929 brought a change in the attitude of imperial powers. The Policy of Free Trade was replaced by the policy of protectionism.



4.4.5 Finance Capitalism and the Imperial Expansion

After 1860, the world economy underwent significant changes, with industrialization spreading to Europe, the US, and Japan. This led to the development of modern chemical industries, petroleum-based fuels, and electricity for industrial purposes. The revolution in the international transport system further unified the world market. Capital accumulation on a large scale occurred due to trade and industry at home and extended exploitation of the colonies and the semi-colonies. By 1850, Britain's capital exports reached 30 million pounds a year, with income from these exports reinvested overseas.

By 1914, European nations controlled over 84.4 percent of the world economy, with London and New York being major centers of international trade and finance. Jingoistic nationalism and glorification of the empire served to reduce social divisions in the metropolis. Between 1870 and 1913, London was the financial and trading hub of the world, with Britain having 4000 million pounds worth of investments abroad. After World War I, Britain lost this position to the US, becoming the world's largest manufacturer, foreign investor, trader, and banker. Neo-colonialism, emerged in the mid-20th century, with multinational companies, international donor agencies, and mechanisms of international economic influence.

4.4.6 Europe and the Inter-imperialist Rivalries

From the 1870s to 1914, European imperialist powers controlled most of Asia, Africa, and other parts of the world. The British controlled India, Malaysia, Sri Lanka, and Myanmar, while the French and the Dutch controlled Indo-China and Indonesia. China was divided into multiple spheres of influence,

but the Boxer rebellion of 1899-1900 prevented its dismemberment. In 1907, Iran was partitioned, with the Russian domination falling to British control and central parts kept as a buffer between Russia and Britain. Japan, the only major independent country in Asia, defeated China in 1895 and captured Formosa.

Africa was divided among European powers, with the exception of Ethiopia and Liberia. The British colonies in Africa included Egypt, Sudan, Rhodesia, Sierra Leone, Gold Coast, Uganda, Nigeria, and South Africa.

The British empire, with a population of 45 million, ruled over 23 million square kilometers and a population of 400 million people. Europe, consisting of Britain, France, and Germany, controlled about 45% of world trade and 60% of the world market for manufactured goods. European nations often engaged in rivalries and conflicts over colonial possessions, often resolving disputes through *quid pro quo*. In 1904, Britain and France reached a secret agreement, allowing Britain a free hand in Egypt while Britain accepted French claims over Morocco. However, Germany opposed this agreement, leading to international crises. The Moroccan issue was finally settled in 1911 when France agreed to give some French Congo to Germany and Germany relinquished its claims over Morocco.

Despite agreements resolving crises over imperialist territories, European states began militarizing, by increasing their military and naval strength. Most countries introduced conscription, leading to armed camps. Britain opposed Germany's navy buildings, arguing it was a luxury. Germany aimed to protect itself from France, Russia, and Britain, while Britain aimed to maintain its naval superiority. This militarization led to a belief that the war was inevitable, with some thinkers glorifying

the war as a natural order and a condition for progress.

4.4.7 Europe on the Eve of the War

During the 1914, Europe had around 25 states, with Britain, Germany, and France being the most industrialized. Other countries like Portugal, Spain, Albania, Serbia, Bulgaria, Greece, and Eastern Europe were predominantly pre-industrial economies. Russia, the largest country, had many colonies but agrarian economy. The Baltic states were part of the Russian empire, while Poland was a part of the Austro-Hungarian empire. The Political systems varied, with some republics, some constitutional monarchies, and with autocracies.

4.4.8 Rise of American Imperialism

The United States experienced significant economic and territorial expansion in the early 20th century, leading to the establishment of empires. This expansion often led to the displacement of American Indian tribes, which often resulted in armed conflicts. The US acquired Louisiana, Alaska, California, and Texas from France, Russia, and Mexico. During the 1860s civil war, the Southern states were defeated, but the US maintained its unity. After the war, slavery was abolished, and the US became one of the world's leading industrial powers. However, the US's growth was often overlooked due to its extensive market for its own products and the rise in population, with 25 million Europeans migrats to the country during the 19th and early 20th centuries.

The USA emerged as an imperialist power in the 1890s, discussing the civilizing mission of Western countries and the natural order of domination. The US president Theodore Roosevelt declared that, the civilized nations were predominantly white, and the uncivilized

ones were predominantly non-white. Thus there was a streak of racism in the US policies.

4.4.9 US in the Pacific and South America

In the 1880s, the US began to assert its dominance in the Pacific, including the Hawaiian Islands and the Samoan Islands. The Samoan Islands were divided between the US and Germany in 1899, and the US asserted its dominance by forcing Great Britain to agree to its fiat in the territorial dispute between Venezuela and Guyana. In 1898, the US declare war with Spain over Cuba and the Philippines, resulting in the capture of Spanish colonies and the curtailing of Cuba's sovereignty. The US hegemony was also established over the Philippines.

South America became an exclusive domain of US interests, with President Theodore Roosevelt declaring in 1904 that the US had the right to intervene in the internal affairs of its neighbors to maintain order. This policy continued during the presidencies of William Howard Tail and Woodrow Wilson, promoting investments in the South American countries and gradually attaining de-facto political control through these investments. During Wilson's time period, the US intervened in Mexico by organizing a coup against popular leader Fransisco Madero in 1913.

4.4.10 US Imperialism in Asia

In the 1890s, the US proposed the 'Open Door Policy' in China. The Boxer rebellion led to the US forces suppressing it and capturing Beijing. The US was concerned about Russia's imperial designs in China. In the Russo-Japanese war, the US mediated to end the conflict by persuading Russia to accept Japanese territorial gains. The US also entered into secret agreements with Japan for free trade rights in the acquired territories.



4.4.11 Rise of Japan as an Imperialist Power

Japan, the only Asian country to escape imperialist control, experienced rapid economic and political transformation in the mid 19th century. The Meiji Restoration, led by the Japanese emperor Meiji, marked a shift in Japanese government and economy. The Meiji Restoration involved heavy investments in industries, taxation, and exploiting the peasantry. These industries were later sold to capitalists, who could start their own industries. However, the process of industrialization was accompanied by poverty, leading to the migration of peasants to cities, where they provided cheap labor. By the early 20th century, Japanese goods, particularly textiles, could compete with European goods, but the demand for Japanese manufactures was limited due to the extreme poverty of the common people.

In 1889, Japan was granted a new constitution, with the emperor as head of the executive and ministers appointed by him. The Diet, a parliament, had limited power and was controlled by the military.

The educational system was built to promote emperor worship and industrialization, but civil liberties and political struggles were lacking. Japan pursued colonial ambitions in the 1890s, primarily targeting China and East Asia. In 1895, Japan defeated China and annexed Formosa (Taiwan), forcing China to recognize Korea as an independent state.

In 1905, Korea was made a protectorate of Japan and annexed in 1910. In 1899, Japan's status as a great power was recognized by the US and European countries, who gave up their rights and concessions. In 1902, the Anglo-Japanese Treaty was signed, making Japan the first Asian country to enjoy full equality with other colonial powers.

The Russo-Japanese War (1904-1905) led to the defeat of Russia, recognizing Southern Manchuria as a Japanese sphere of influence. Despite attempting to establish a protectorate over China, Japan's rise as a great power fueled nationalism in Asian countries. The war with Russia demonstrated that an Asian country could defeat a major European power. The rise of the USA and Japan as great powers signaled the end of European hegemony.

Recap

- ▶ Empire in the age of capitalism is imperialism. Imperialism is essentially a European phenomenon.
- ▶ There are three types of empires, viz. the trading Empires, Industrial Empires with full-fledged colonies and Industrial Empires without or with few full-fledged colonies.
- ▶ Changes in the character and manifestation of imperialism have been inevitably dependent on the different stages in the evolution of capitalism.
- ▶ There are various theoretical approaches to imperialism. Theoretical explanations of imperialism may be grouped under two categories viz. economic and political theories.

- ▶ Britain emerged as a dominant world power in 1815, leveraging naval, financial, commercial, and alliance diplomacy, growing at an average annual rate of 100,000 square miles.
- ▶ European Powers compete for new colonies, securing markets, raw materials, and investments, annexing disadvantaged regions.
- ▶ Imperialist rivalries divided Europe into military blocs, leading to World War I.
- ▶ In the late 19th-20th centuries, the US and Japan became imperial superpowers, reducing European hegemony.

Objective Questions

1. Which was the key concept used in Hobson's theory of imperialism?
2. Who described imperialism as the highest stage of capitalism?
3. Who offers a peri-centric view of imperialism?
4. Who opines that the new imperialism is an extension of political struggles in Europe to the peripheries?
5. Economic policy of free trade coincided with which phases of capitalism?
6. What was the important drawback of the French empire?
7. Who describes the Industrial revolution in Britain as that unusual moment in world history?
8. Which European country was described as the 'Workshop of the World'?
9. The rhetoric 'Sun never sets in the empire' was applicable to which of the European empires?
10. After World War I, which country emerged as the imperial super power replacing Great Britain?

Answers

1. Under-consumption
2. Vladimir Lenin
3. Gallagher and Robinson
4. Fieldhouse
5. Industrial and Financial capitalism
6. Inferior naval power
7. Eric Hobsbawm
8. Britain
9. The British empire
10. The United States



Assignments

1. Discuss the socio-economic, political, and cultural consequences of imperialism. Analyze how imperial powers' expansion and control over colonies influenced the societies they colonized.
2. Bring out the positive and negative consequences of imperialism. Provide historical examples and evidence to support your analysis.
3. Investigate and analyze the functioning of neo-imperialism in the contemporary global scenario. Examine the ways in which power dynamics and dominance are exerted by powerful nations in the modern era.
4. Discuss the impact of neo-imperialism on marginalized countries and regions, as well as its implications for global power structures and international relations. Utilize current examples and scholarly sources to support your analysis. Conclude your essay by reflecting on the challenges and potential pathways for addressing neo-imperialism in the contemporary world.
5. Examine the correlation between capitalism and imperialism, exploring their diverse manifestations throughout history. Analyze the ways in which capitalism has facilitated and interacted with imperialistic endeavors. Discuss how capitalist economic systems have influenced and shaped imperial expansion, colonization, and the quest for resources and markets.

Suggested Readings

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BLOCK - 05

Socialism, Democracy and Post-Industrial Societies

Unit 1

Socialistic Societies

Learning Outcomes

Upon the completion of this unit, the learner will be able to:

- ▶ explore the idea of socialism and the major proponents of socialism in the 19th century
- ▶ familiarise the social, economic and political background in which socialism emerged in 19th century Europe
- ▶ understand the major developments connected with the growth of socialism in countries such as Russia, China, Indo-China, Cuba, North Korea, Chile etc.
- ▶ get an overview of the spread of socialist ideas in the colonial societies of Latin America, Africa and Asia

Prerequisites

The world was acing rapid transformation, where the clanking machines of the Industrial Revolution shattered the serenity of once-agrarian societies. As towering factories rise and the echoes of progress resonate through bustling cities, an undercurrent of discontent emerges. It is in this tumultuous backdrop that socialism emerges as an ideology and political program, offering a glimmer of hope for those burdened by the excesses of capitalism.

Socialism, with its resolute aim to ameliorate the grievances of capitalism, captivates the hearts and minds of many. In the face of rampant individualism and the unchecked pursuit of wealth, socialism rises as a beacon of equality, social justice, and collective responsibility. It becomes a rallying cry against the stark disparities, exploitation, and societal fractures that plague the ever-evolving landscape of the industrialized world. Throughout the 19th century, towering figures such as Robert Owen, Henri de Saint-Simon, Karl Marx, and Vladimir Lenin lay the foundations of socialist thought. Each one contributes their unique perspective and insights, shaping the trajectory of the movement. It is Lenin, in particular, who expands upon the ideas of early socialists and ushers in a new era of socialist planning following the historic Bolshevik Revolution of 1917 in Russia.

Socialism has spread beyond Russia, in countries like China, Vietnam, Eastern Europe, Cuba, and North Korea implementing socialist ideals. These regimes face complexities and challenges in implementing their grand vision on a national scale. Socialism also inspires liberation struggles in colonial societies across Latin America, Asia, and Africa, fueling independence and self-determination. Following World War II, governments committed to socialist development emerged worldwide, either from grassroots democratic movements or strategic political installations driven by ulterior motives.

Keywords

Socialism, Working class, Industrial Revolution, Nationalization, Revolution, Communism, Communist International

Discussion

5.1.1 Socialism

Socialism is an economic and political system based on the collective ownership of means of production. Means of production include the machinery, tools and the factories which produce goods to satisfy human needs. Socialism emerged as an alternative to the capitalist system. Unlike in capitalism, where business owners control the means of production and pay wages to workers in lieu of their labour services, socialism visualizes a shared ownership and control of the means of production by the labourers. In a socialist society, individuals can rely on the state for everything from food to health services. The government on the other hand would determine the output and pricing levels of these services. Socialists believe that shared ownership of resources and a centralized planning process would facilitate a more equitable distribution of goods and services and thereby establish a more equitable and just society.

Socialism can take various forms, such as technocratic, oligarchic, totalitarian,

democratic, or voluntary rule in socialist countries. It emphasizes production for need, equitable distribution of wealth and resources, and free access to goods and services. However, socialism does not eliminate personal ownership of property or possession. While corporations and factories are shared among society members, individuals and households still own their own effects. Socialism emerged as an alternative to capitalism, addressing the grievances of capitalism and opposing liberal individualism and capitalism.

The 19th century socialist movement featured prominent figures like Robert Owen, Henri de Saint-Simon, Karl Marx, and Vladimir Lenin. Lenin contributed to national planning after the Bolshevik Revolution of 1917 in Russia. In the 20th century, socialist political systems were established in China, Vietnam, Eastern Europe, Cuba, and North Korea. Modern socialists adapted to highly regulatory, redistributive systems, such as market socialism or democratic socialism, following the failure of centralized planning in the USSR and China.



5.1.2 Rise of Socialist Ideas in the 19th Century

The industrial revolution in England and the French Revolution of 1789 were influenced by political, economic, and social inequalities. French philosopher Rousseau highlighted property's role in discontent. Babeuf, a French philosopher, advocated for private property abolition and an equitable distribution of wealth. He faced humiliation and was referred to as the Father of Socialism.

5.1.2.1 Major Socialist Thinkers of 19th Century Europe

Henri de Saint-Simon (1760-1825)

Henri de Saint Simon, a pioneer in socialism, founded Christian Socialism with his followers. He joined the French volunteer force to help American colonists achieve independence and later joined Augustin Thierry's socialist movement. They wrote two books on reorganizing European society and New Christianity, urging religious leaders to help the poor. Saint Simon's vision was a socialist scheme for reorganizing society for the most numerous classes.

Francois Marie Charles Fourier (1772-1837)

Charles Fourier, a French social theorist, was born in Besancon, France. His ideas on socialism were well received by the working class and the intellectuals. In his French works, *Theory of the Four Movements*, he desired to reorganise the society on the basis of cooperative settlements for reducing the plight of the poor workers. These cooperative settlements were organised by associations of producers known as 'Phalanges'. He began refining his socialist theory through his writings. His socialist philosophy is known

as 'Fourierism'. Based on his philosophy, cooperative settlements came up in France and the US.

Pierre-Joseph Proudhon (1809-1865)

Proudhon, a printer, moved to Paris in 1838 and joined the socialist ranks. He published articles in newspapers, such as 'What is property?', which became sensational. He later met anarchists in Lyon and advocated anarchism. Proudhon's most important article was 'System of Economic Contradictions' in 1846.

Robert Owen (1771-1858)

Robert Owen, born in 1771 in Newtown, Wales, was a founder of Utopian Socialism and co-founded the cooperative movement. He established an ideal community for workers and their families in New Lanark, Scotland. Influenced by Bentham's utilitarianism, Owen became a socialist, supporting labour reforms through his Pamphlets. His efforts led to the passage of Factory Act of 1833 by the British Parliament. Owen's philosophy was based on three important tenets:

- ▶ Individuals are not responsible for their actions (good or bad) as they are influenced by their heredity and environment.
- ▶ Religion makes a man weak and turns him into a fanatic or a hypocrite.
- ▶ Support for the factory system rather than the putting-out system or the workshop system.

Louis Blanc (1811-1882)

Born in Madrid, Spain, on 29 October 1811, Blanc, a journalist and socialist in France, advocated worker-controlled social workshops for the birth of socialist society. As a minister in the Second French Republic

(1848), he introduced 'National Workshops' to create employment opportunities for the unemployed poor. Blanc believed in the right of every man to get employed, but his scheme ended in disastrous failure.

Karl Marx (1818-1883)

Karl Marx, born in Trier, Germany in 1818, is considered the greatest philosopher of the nineteenth century. He studied political philosophy and economic theories at the University of Bonn and the University of Berlin, where he was influenced by Georg Wilhelm Friedrich Hegel. He earned a doctorate in philosophy from the University of Jena. Marx began his career as a writer and later became active in socialist politics. He met Friedrich Engels in Paris and fled France due to his secret political activities.

He joined the League of the Just in Brussels, where they wrote the Communist Manifesto. Marx settled in London in 1849 and spent his life reading, writing, and researching at the British Museum Library. He became a part-time correspondent of the New York Tribune and contributed to the development of the 'Das Kapital', a critique of capitalism. From 1864 to 1872, he was an influential figure in the deliberations of the First International.

Marx's political and social philosophy is based on three principles: historical materialism, a class struggle, and the theory of surplus value. Historical materialism refers to the economic conditions that determine the course of history, while class struggle refers to the ongoing struggle between the haves and have-nots in society. Marx argued that the history of all existing societies is the history of class struggles, which will cease only after a political revolution. In an industrial society, workers are not paid the full value of their labour, leading to a surplus value that is retained by the capitalist. This situation

is considered gross injustice, leading to a capitalist society where the rich become richer and the poor poorer.

In 1867, Karl Marx published 'Das Kapital', containing around 500 articles. The writings of Marx and Engels spread across Europe, particularly in France and Germany. The First International, organized by Marx in 1864, was attended by working-class leaders to discuss labour problems and propose a plan to dissolve the capitalist system. Marx's main objective was to strengthen the labour class movement and establish a classless society. However, Marxian theory has faced criticism, including its economic determinism, class war, surplus value, and the role of states in oppression. Critics argue that Marx's theory has failed to deliver on its promise of a classless society, neglecting other factors like intelligence, hard work, and capital investment.

Spread of Marxian Socialism

Socialism in France was revived by Jules Guesde in 1875. He spread Marxian socialism among the workers in general, and the miners of Northern France in particular. In the course of time, a joint Socialist Party was founded in Paris by Jean Jaures. France witnessed six rival socialist groups, and therefore required outside mediation for uniting all these parties. Subsequently, all the six groups got united and formed the United Socialist Party.

5.1.3 Socialist Movement

The 19th century saw the rise of the trade union movement and the spread of socialism. The socialist view of capitalism as based on exploitation gained popularity among European workers. Pre-World War Europe saw strikes, and socialist parties in most countries grew in strength and popularity. By 1914, Germany, France, and Italy were the largest parties in their respective parliaments.



5.1.3.1 The Second International

In 1889, the Second International was formed, organizing a May 1st international demonstration to demand a reduction in working hours to eight hours. This event has since become a global working-class day and day of solidarity for workers worldwide. The Second International were concerned about the colonies and of militarisation and war. Lenin, Martov and Rosa Luxemburg drafted a resolution condemning war in the Second International.

While some agreed that the right of every nation to freedom and independence was a fundamental concept of socialism, others condemned capitalist colonial policies and believed that colonialism could play a positive civilising role under a socialist government. These differences persisted for decades, and only after the collapse of the colonial system lost all its socialist adherents.

When the First World War broke out, socialist parties were powerless to oppose or call for an uprising. Many socialist leaders suggested that workers should go on a general strike to prevent war and, in case it broke out, to bring about its speedy termination. Keir Hardie, the British socialist leader, advocated the idea of a strike in the arms industry, transport and mining for preventing wars. The Stuttgart Congress of the Second International unanimously adopted a resolution on 'Militarism and the International Conflicts.' When the war, finally, broke out, the socialist parties found themselves powerless to oppose it or to call for an uprising for its termination. Some socialist parties even decided to support their respective governments and made common cause with their respective ruling classes.

Socialism in Germany

Ferdinand Lassalle, a prominent German

socialist figure, founded the German Labour Party and participated in the 1848-49 revolution. He sought an evolutionary approach to socialism, aiming to adapt it to the democratic state system. His methods disappointed Marx and Engels. In 1869, the Social Democratic Labour Party was established by Wilhelm Liebknecht and Augustus Bebel, both followers of Karl Marx. Despite Bismarck's efforts to suppress socialism, it gained popularity among the German masses. The Democratic Labour Party eventually became the Social Democratic Party. In the 1920s, Adolf Hitler led the National Socialist German Worker's Party (Nazis).

Socialism in Russia

Towards the end of the 19th century, Russia was the largest European empire, encompassing the Baltic States, Poland, and Northern and Central Asia. Throughout the 19th century, several revolutionary societies worked secretly to overthrow Czarist rule. The Populists emerged in the 1860s and 70s, inspired by the socialist movement of Europe and the ideals of the first international. In the late 19th century, Russia experienced industrial developments, with the state playing a leading role in building, financing, and managing industries. This led to the rise of the proletariat, or factory workers, who faced long hours, insanitary living conditions, and unsatisfactory working conditions.

Workers in Russia joined secret revolutionary parties like the Social Democratic Party, which emerged in the late 19th century due to economic reforms and worker demands for political changes. The revolutionaries were mostly Marxists, with Plekhanov being the father of Russian Marxism. Lenin founded the Social Democratic Labour Party in 1898, and the party congress in 1903 marked the split

into two factions: Bolsheviks (majority men) and Mensheviks (minority men). Both factions aimed to overthrow the Czarism, introduce a democratic bourgeois government, and overthrow it through a socialist revolution. However, their methods differed, and in 1922, the Bolsheviks expelled the Mensheviks from the party.

The Social Revolutionary party aimed to organize peasants for revolution. The Russo-Japanese War of 1905 led to a revolution in Russia, which was triggered by Russia's defeat in the Russo-Japanese War. The war's economic collapse after the war led to the food scarcity, inflation, decline of factory production and widespread poverty and hunger. The Czarist administration was blamed for these troubles, leading to the Bolshevik revolution of 1917.

The Revolution of 1917 was divided into four stages. The first stage was the March 1917 revolution, which overthrew the Czarist regime. The second stage saw the Duma electing a provisional government led by Levov and Alexander Kerensky, which only gained support from the upper and middle classes. The Petrograd Soviets, formed by workers and soldiers, gained mass support and continued the war. The third stage saw the return of Bolshevik leaders like Lenin, Trotsky, and Stalin.

Lenin demanded the immediate end of the war and transfer of all powers to the Soviets, but the Kerensky government suppressed the Bolsheviks. In August-September, the government faced a coup d'état by writer-wing leader Kornilov, prompting Kerensky to seek Bolshevik support. The final phase involved the seizure of power by the Bolsheviks, who captured important points in Petrograd. The Second All-Russian Congress of Soviets approved the capture and appointed

the Council of Peoples 'Commissars' as the executive body of the soviets.

5.1.3.2 The Third International

The Second International collapsed after World War I, leading to the formation of the Third International in 1919. By the mid-1930s, over sixty communist parties existed, including strong ones like Germany, France, and China. These parties united under one international organization, known as the Communist International.

Communist Regimes in Eastern Europe

During the post-World War II period, Eastern Europe experienced the emergence of numerous communist regimes. Despite agreements to create democratic institutions through free elections, Communist Party-dominated governments emerged in most East European states between 1945 and 1948. These states included Poland, Czechoslovakia, Bulgaria, Romania, Hungary, Yugoslavia, and Albania. Only Finland, Greece, and Turkey remained free from Soviet control. Czechoslovakia formed a coalition government in May 1946, but in February 1948, communists demanded a reconstituted government due to alleged fascist ties. Eduard Benes reconstituted the government, leading to a communist-dominated government in Czechoslovakia, Bulgaria, Romania, Hungary, and Yugoslavia and Albania.

Germany was divided into two zones: Eastern and Western Germanies, with the Western part under US, Britain, and French influence, and the Eastern part under Soviet influence. Economic unity was broken, and each part had separate currencies. Political and economic policies changed, with large landholdings confiscated and redistributed among peasants in the Eastern part and a capitalist economy developed with US



aid in the Western part. Political parties hostile to communists and the Soviet Union became dominant in the Eastern part. By 1947, Germany was divided into two distinct economic and political parts, with the establishment of two independent states: Eastern Germany and West Germany.

Communists played a significant role in the resistance movement against the fascist occupation of Greece, but British troops sought to restore the king's rule. This led to a civil war, with 10,000 British troops fighting against the Greek communists. In 1947, Britain withdrew from Greece, deciding to take the burden of supporting the Greek government and Turkey, which was believed to be threatened by the Soviet Union.

Eastern Europe, known as 'Satellites' of the Soviet Union, was allied to the Soviet Union through the Warsaw Pact. Soviet Russia aligned the region with its economic system, supplying raw materials and intensifying high-priced exports. As a result, Eastern Europe became a supplement to the Soviet system.

Socialist Triumph in China

The Chinese Revolutionary League, led by Dr. Sun Yat-sen, played a crucial role in national awakening and uniting revolutionary groups. His principles included nationalism, democracy, and livelihood, which led to the end of the Manchu dynasty and the establishment of a democratic republic. In 1911, China was proclaimed a republic with its headquarters in Nanjing. However, the Yuan Shih-Kai administration, led by General Yuan Shih-Kai, faced resistance from foreign imperialist powers and reactionary elements. Dr. Sun Yat-sen formed the Guomindang, a National Party, but was banned and sent to exile.

After the First World War, China had two main governments: one controlled by the Guomindang with headquarters at Canton, and another led by a military general. The May Fourth Movement, which began with a protest demonstration, spread throughout China.

In 1921, the Communist Party of China was formed, leading to the Guomindang and the Chinese Communist Party forming a national revolutionary army. Dr. Sun Yat-sen sought Soviet support, and in 1924, the Guomindang formed a military academy. In 1925, the army launched operations against warlords. However, in March 1925, the alliance broke up, creating conditions for a civil war in China.

Civil War in China

The national revolutionary army's efforts for political unification in China were accompanied by workers' and peasants' movements. In 1925, strikes and demonstrations in Shanghai protested the killings of workers' leaders, which were organized by Japanese industrialists and shot at by British police. In 1927, British and US warships opened fire on Nanjing, leading to a split in the Guomindang. General Chiang Kai-shek set up his government in Nanjing, prioritizing suppressing the left-wing and the communist elements. In December 1927, the communists led an uprising in Canton, leading to the establishment of a Soviet government.

However, the uprising was suppressed, leading to the split in the nationalist movement. The communists scattered throughout China, causing a long civil war between Chiang Kai-shek's armies and the Chinese Communist Party.

After the Japanese occupation of Manchuria, anti-Japanese sentiment spread across China, leading to a nationwide boycott of Japanese

goods. Chiang Kai-shek's Guomindang and the Communist Party failed to unite against the Japanese aggression, and the communists called for anti-Japanese resistance but refused to ally with him. The Communist Party's influence grew in the countryside, with Mao Zedong advocating for a socialist revolution with peasants. In 1934, Chiang Kai-shek launched the Long March, capturing lands from landlords and dispersing them among peasants, strengthening support against Chiang Kai-shek's government. In 1937, the Japanese invasion began, and Chiang Kai-shek's government retreated.

However, a united front to resist the aggression emerged, with Chiang Kai-shek's Guomindang and the communists forming a joint front to fight the Japanese. This national war of resistance was maintained, with the communists emerging as the genuine representatives of China's national struggle against the Japanese aggression.

During World War II, the US provided armaments to Chiang Kai-shek's China government for the war against Japan. However, after Japan's defeat, the civil war resumed, leading to disillusionment with Chiang and disillusionment with the nationalist government. The communists, despite US supplies, defeated Chiang's armies in three years. In 1949, Chiang and his forces fled to Taiwan, where they formed the People's Republic of China with Mao as chairman and Chou En-lai as premier.

Korea

Korea, under Japanese occupation since 1905, faced Russian influence and occupied the country after the Russo-Japanese War. After the Japanese surrender, the Korean People's Republic was proclaimed, with communist leader Kim Il-sung emerging as

the dominant figure. The Americans proposed dividing the country into north and south along the 38th parallel, with Dr. Syngman Rhee as the leading nationalist. In 1948, Stalin withdrew Soviet troops, and the Democratic Peoples' Republic of Korea was proclaimed, with Kim Il-sung as the premier. North Korea became an independent communist government before the communist victory in China.

The Korean issue became embroiled in Cold War politics, and the United Nations organized elections for unification. However, Kim refused to hold elections in North Korea, causing a minority of communists in the country. Both leaders claimed to speak for the whole country.

In June 1949, the US withdrew troops from South Korea, leading to North Korea's invasion in 1950. The North Korean army quickly swept over the entire South Korean Peninsula, threatening to unite the country under Pyongyang's government. However, the US army, navy, and air force intervened, pushing North Korean forces back. The war entered a stalemate in mid-1951, and negotiations for an armistice with India were initiated in 1953. At least 4 million people lost their lives in the war, and the peninsula would remain divided into two heavily armed and mutually suspicious states for the foreseeable future.

Indo-China

Indo-China, including Vietnam, Laos, and Cambodia, was led by Ho Chi Minh, who established the Revolutionary Youth League of Vietnam in 1925. In 1930, communist groups united to form the Vietnamese Communist Party, later known as the Communist Party of Indo-China. This party became the leading force in the struggle for independence against French rule. The Vietnam National Party,



modeled on the Guomindang, organized a rebellion in 1930 but was suppressed.

After World War II, the region was occupied by Japanese forces. Ho Chi Minh proclaimed Vietnam's independence in 1945, establishing the Democratic Republic of Vietnam. However, the region faced cold war politics and the American strategy of 'Containment of Communism.' The French attempted to restore their rule, with support from Britain and the US. The US was directly involved in the Vietnam war, as the nationalist forces were led by the Communist Party. The Vietnamese forces relied on their own strength and popular support.

In 1954, French forces suffered a defeat when they besieged 12,000 French troops at Dien Bien Phu. In 1954, an agreement was signed at Geneva, ending French rule in Vietnam. The country was temporarily divided into North and South Vietnam, but reunited after elections in 1956.

The US initially built South Vietnam as an independent state under Ngo Dinh Diem's dictatorial rule, but the government refused to hold elections. The US aimed to maintain an anti-communist regime in South Vietnam, advocating the 'domino' theory that if South Vietnam fell to communists, all other South-East Asian countries would also fall under communist rule, leading to the expansion of communism over the entire Asian continent. By 1967, the number of US troops fighting in Vietnam had increased to 500,000, and the power of bombs dropped on Vietnamese territory by the US exceeded that of the bombs dropped during the Second World War. The US war in Vietnam was the most unpopular in history, condemned by people worldwide and causing massive opposition. The US troops withdrew from Vietnam in 1973, and by April 1975, the South Vietnamese army was routed.

As a result of the war, 58,000 US soldiers killed and 300,000 wounded, with higher Vietnamese casualties. Despite the war's devastating impact, Vietnam emerged as a united country.

Cambodia and Laos

Cambodia remained relatively peaceful until 1970, under the semi-autocratic rule of Prince Sihanouk. However, it was dragged into the Vietnam War, suffering heavy bombing by the USA and communist rule by Pol Pot and his Khmer Rouge regime. After being overthrown in 1979, Cambodia returned to democratic rule with support from Vietnamese forces. Laos, on the other hand, experienced civil war and was drawn into the Vietnam War despite its desire to remain neutral. The communist Pathet Lao organization took power in 1975, and remains in control.

Latin America

Latin America comprises South America, Central America, and Caribbean islands. Most countries gained independence from Spain in the early 19th century, and were underdeveloped economically and agriculturally. They faced poverty, illiteracy, and unstable political systems. Following World War II, the USA exerted significant economic, political, and military influence over Latin America. The Cold War dragged Latin America into the Cold War, with Republican presidents under US suspicion. The US interventions to remove suspected governments occurred in Guatemala, Cuba, Brazil, the Dominican Republic, Chile, Nicaragua, Panama, and Haiti.

The end of the Cold War led to a shift in the international situation, with Latin American states enjoying more freedom to control their affairs. Venezuela, the first country to reject US influence, elected Hugo Chavez in

1998. Chavez's socialist programs, including increased spending on social services and trading agreements with Cuba, were met with opposition from the USA. Despite facing overthrow attempts in 2002, Chavez survived and became an inspiration for other Latin American voters.

Cuba

Cuba, a Spanish colony in the Caribbean Sea, was ruled by Fulgencio Batista in 1952. His regime was corrupt and brutal, and Fidel Castro organizing an unsuccessful attempt to overthrow him in 1953. In 1958, Batista's army suffered a defeat, leading to the end of the US supply of arms. In September, a rebel force under Che Guevara gained control of the main road across the island and prepared to move on to Santa Clara. In 1959, Batista fled from Cuba, and a liberal government was established.

Cuba's economy was heavily dependent on sugar exports, with corruption and unemployment. Castro's government tackled these problems by taking over agricultural land, introducing collective farms, nationalizing factories and businesses, modernizing sugar production, and introducing new industries. Social reforms included improving education, housing, health, medical facilities, and communications. By the end of the 1970s, the government had achieved considerable success in social reform, with all children receiving some education, sanitation, hygiene, and healthcare improving, and unemployment and corruption being reduced.

Chile

In 1964, Eduardo Frei, leader of the Christian Democrats, won the election in Chile, leading to social reform. However, by 1967, the left and right sided with Frei's land reforms, leading to a drought, inflation, and

strikes. Salvador Allende, a coalition leader, capitalized on these challenges during the 1970 election campaign, arguing that Frei's achievements fell short of his promises. His coalition, 'Unit Popular', had a better campaign and attract thousands of supporters.

The new government faced significant problems, including high inflation, unemployment, stagnating industry, and poverty. Allende believed in redistribution of income to stimulate the economy. However, his policies led to a fall in agricultural production, food shortages, and further inflation. Some communists, who wanted a more drastic approach, formed the Movement of the Revolutionary Left (MIR). The USA strongly disapproved of Allende's policies, and other South American governments were also concerned about the Chileans' commitment to exporting their revolution.

In September 1976, the Chilean presidential election was due, and President Allende faced opposition concerns about his potential constitutional changes. With Congress blocking his legislation, he could use a referendum to postpone the election. The opposition organized a strike, winning support from the army, and the right staged a military coup. This led to the establishment of a military dictatorship, with General Pinochet at the forefront. Left-wing leaders were murdered or imprisoned, and Allende was reported to have committed suicide. The cause of death remains controversial, with some supporters claiming he was shot down in the presidential palace.

The African Scenario

After World War II, most African countries became independent, with tribes united in a nationalist struggle for freedom. Economic underdevelopment and political problems plagued African countries. Marxist-influenced



leaders often established one-party states to achieve progress, with some success in Kenya and Tanzania. However, one-party rule can sometimes promote violence, as seen in Angola and Ethiopia, where socialist regimes were established.

Angola

Angola became independent from Portugal in 1975, but it was soon engulfed in a civil war. Three different liberation movements began fighting each other, including the Marxist Peoples Movement for the Liberation of Angola (MPLA), the National Union for the Total Independence of Angola (UNITA), and the National Front for the Liberation of Angola (FNLA). The Americans were apprehensive of MPLA and supported the FNLA, which enjoyed support from President Mobutu of Zaire. Cuba sent troops to assist the MPLA, and South Africa invaded Angola on the side of the other two groups.

Liberation struggle continued in Namibian territories against the South African government under Sam Nujoma. MPLA allowed SWAPO to conduct guerrilla operations from their base in Southern Angola. In 1988, the UN arranged a peace accord, allowing South Africa to withdraw troops and Cuba to withdraw 50,000 troops from Angola. Namibia became independent under Sam Nujoma. With the end of the cold war and communist rule in Eastern Europe, all assistance to MPLA ceased, and Cuban troops withdrew by June 1991.

Ethiopia

Ethiopia, an independent state, was ruled by Emperor Haile Selassie since 1930. However, by 1960, people became dissatisfied with Selassie's rule and rebelled against his rule. In the 1970s, Ethiopia faced poverty, drought, and famine. In 1974, the Derg, led by Major Mengistu, deposed the emperor and established a new government. Mengistu gained complete control and remained head of state until 1991.

The new government, based on Marxist principles, took over most land, industry, trade, banking, and finance, and executed opponents. The USSR saw Mengistu's arrival as an opportunity to gain influence in eastern Africa, providing armaments and training. However, the regime's agricultural policy failed, leading to famines in 1984 and 1985.

The main problem of the Mengistu regime was the civil war, which dragged on throughout his period in power. Soviet assistance was provided, but the regime had to expend scarce resources dealing with dissidents. By 1989, the government lost control of Eritrea and Tigray, and Mengistu admitted that his socialist policies had failed. The USSR deserted him, and in May 1991, the rebel forces blockaded Addis Ababa, forcing Mengistu to flee to Zimbabwe. The new government continued with socialism elements, but was committed to democracy and decentralization.

Recap

- ▶ Socialism emerged as an ideology and political program in response to the socio-economic changes brought about by the industrial revolution. It aimed to address the grievances of capitalism and counter liberal individualism and capitalism's excesses.
- ▶ The 19th century socialist movement featured prominent figures like Robert Owen, Henri de Saint-Simon, Karl Marx, and Vladimir Lenin, who contributed to national socialist planning after the Bolshevik Revolution of 1917 in Russia.
- ▶ 20th century socialist political systems emerged in China, Vietnam, Eastern Europe, Cuba, and North Korea, with variations in functioning and nature among these regimes.
- ▶ Socialist ideals in colonial societies inspired popular liberation struggles against imperialist regimes. Nationalism and socialism converged, leading to the formation of governments committed to socialist development patterns after World War II. Some were organic democratic movements, while others were political installations with imperialist motives.
- ▶ Socialist regimes implemented economic reforms, including nationalization of industries, collectivization of agricultural lands, and expansion of social services like education and health. However, most countries had one-party rule, leading to criticism of lack of democracy and openness.

Objective Questions

1. Name the British socialist leader who advocated for strikes in the arms industry, transport and mining as a measure to prevent the break out of a general war on the eve of World War I.
2. Name the three socialist leaders who took major part in drafting the resolution condemning war that was adopted by the Second International.
3. Where was the meeting of the Second International soon after the outbreak of the 1st World War?
4. Who was the famous socialist leader of France who got assassinated on the eve of the 1st World War?
5. Name the French thinker associated with Christian Socialism.
6. Who was the French thinker who advocated cooperative settlements as a way of achieving fair distribution of wealth among the workers?
7. Name the thinker who wrote the two famous articles "What is Property" and "System of Economic Contradictions".



8. Who is regarded as the founder of British socialism?
9. Name the Spanish born French socialist who published the newspaper 'Revue Do Progres'.
10. Who was the author of 'Das Kapital'?

Answers

1. Keir hardie
2. Lenin, Martov and Rosa Luxemburg
3. Brussels
4. Jean Jaures
5. Henry De Saint-Simon
6. Charles Fourier
7. Proudhon
8. Robert Owen
9. Louis Blanc
10. Karl Marx

Assignments

1. Compare and contrast the ideologies of socialism and capitalism in relation to their responses to the socio-economic changes that brought about by the industrial revolution. Analyze how socialism emerged as a political program to ameliorate the grievances of capitalism, and discuss the opposition of socialism to the excesses of liberal individualism and capitalism. Provide examples and evidence to support your arguments.
2. Assess the impact of socialist regimes in different countries during the 19th century. Choose two or three countries and analyze the variations in the nature and patterns of functioning among their socialist regimes. Evaluate the success of their economic reforms, such as nationalization of industries, collectivization of agricultural lands, and expansion of social services.
3. Critically examine the criticisms faced by the socialist countries, particularly the absence of democracy or openness, and discuss the implications of one-party rule on governance. Provide historical context and evidence to support your analysis.

Suggested Readings

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Unit 2

The USSR and China

Learning Outcomes

Upon the completion of this unit, the learner will be able to;

- ▶ familiarise themselves with the functioning of socialist political and economic systems in the USSR and China
- ▶ acquainted with the major challenges to socialist system of economic growth and political order in these two countries
- ▶ analyse various kinds of responses initiated by the respective political leadership to overcome these challenges and their political implications
- ▶ explore the major political developments in the USSR and China in the 20th century

Prerequisites

In the pages of history, two large countries, the Soviet Union and China, experienced victorious socialist revolutions. They formed governments that were determined to transform their societies and economies based on socialist principles. These countries had vast lands, rich natural resources, and large populations, which provided fertile ground for the challenging task of rebuilding their economies. In Russia, a powerful wave of change surged forward, driven by dissatisfied factory workers and restless soldiers from the previous ruling system. Throughout the vast expanse of the country, around 900 soviets, or councils, sprang up like seeds of rebellion. The Bolsheviks, a determined group, led the charge towards socialism, uniting the underprivileged urban workers and soldiers in a movement that aimed to change Russia's future. Meanwhile, in China, a different kind of revolution was brewing. It was the rural peasants who took up arms and rallied behind the leadership of the Chinese Communist Party, marching towards a new society.

Newly independent nations faced political destinies that varied greatly. Disruptions in democratic processes were common, often due to tribal conflicts, leader interests, military interventions, and monarchies. Some countries remained monarchies. Let us explore the intertwined destinies of the Soviet Union and China. We will unravel the complexities of their socialist revolutions, examining the factors that shaped their revolutionary paths. We will also assess the impact of these revolutions on their societies and economies, shedding light on the enduring legacies of these powerful regimes.

Keywords

Civil War, Socialist System, War Communism, Glasnost, Perestroika, New Economic Policy

Discussion

5.2.1 The USSR

Historians consider the Russian Revolution as one of the most important events of the twentieth century. People over the world, for a long time, viewed it as the beginning of a new era in human history. They saw it as an alternative and superior system to capitalism. With no exaggeration, it was a major factor in the shaping of the twentieth century world. It is observed that no other revolution in human history had professed to bring about such a fundamental transformation of society as the Russian Revolution of 1917. The Russian revolutionaries proclaimed as their objective the overthrow of the system of inequality and exploitation, and the creation of a society in which no one would live off the labour of another.

The Russian revolution and its aftermath led to the Bolshevik government of Russia implementing several measures, including the proclamation of decrees on peace and land, nationalization of industries and banks, and the Declaration of the Rights of the Peoples of Russia. This marked the end of non-Russian oppression and the right of all nationalities to self-determination, equality, and sovereignty. The Czarist government's secret treaties were annulled, and peoples of the East were called upon to overthrow colonial rule. In 1918, Russia was proclaimed as the Russian Soviet Federative Socialist Republic (RSFSR). By the end of World War I, the Bolsheviks had established control over the former Russian empire, except Estonia, Latvia, Lithuania, Finland, and Poland. Meanwhile, civil war broke out and foreign military intervention began.

5.2.1.1 Civil War in Russia

It was expected that a successful revolution in Russia would occur as part of a European or a world-wide socialist revolution. Lenin, the architect of the revolution, believed that there would be revolutions in Central and Western Europe following the Russian pattern and the Soviet Union would be supported by sympathetic neighbouring governments. However, none of such revolutions had happened. Consequently, Russia was isolated and faced with a capitalist Europe deeply suspicious of the new Russian government. Both internally and externally, the regime was under pressure from the forces of counter revolution. By April 1918, there were breaking out armed oppositions to the Bolshevik government from many parts of Russia. This situation led to civil war.

The opposition camp, including Social Revolutionaries, Mensheviks, and former Czarist autocrats, disapproved of the Bolshevik government's food-procurement policies. The high-handedness towards the Soviets was resented by workers and soldiers, who were the supporters of Bolsheviks' during the revolution. The government's opponents sought a democratic western-line government instead of restoring the Czar. Admiral Kolchak established a White government in Siberia, General Denikin led a large White army in the Caucasus, and the Czechoslovakian Legion blocked the Trans-Siberian Railway.

Russia's allies intervened to destroy the Bolshevik government, which advocated world revolution. In 1919, Kolchak was defeated by Trotsky's Red Army, while the Czech Legion and Denikin were defeated. The Bolsheviks emerged victorious in the



civil war, attributed to the uncentralized White army and increased Red Armies' influence. Lenin implemented war communism to control economic resources, presenting the Bolsheviks as a nationalist government. The war resulted in over eight million deaths, more than four times the total Russian deaths in the First World War. The communist regime underwent significant changes, including centralized economic control and increased militarization, leading to a more centralized and militarized political landscape.

5.2.1.2 War Communism

War Communism was the Bolshevik economic policy during the Civil War, involving the nationalization of all economic resources. This policy involved confiscating food crops, taking over industrial plants, closing private banks, nationalizing internal commerce, and introducing compulsory labour. The Bolsheviks' success in the civil war was attributed to this policy, but it also led to serious economic weaknesses, with the Russian economy in ruins and the rouble worth only one percent of its value in October 1917.

5.2.1.3 The New Economic Policy (NEP)

In 1921, the Bolshevik government faced the challenge of rebuilding an economy shattered by the First World War and civil war. The Russian peasantry, dissatisfied with war communism, produced enough for their own needs, leading to severe food shortages and industry stagnation. In March 1921, a naval mutiny at Kronstadt, suppressed by Trotsky, convinced Lenin to implement the New Economic Policy (NEP) to win back the peasants' support, as they comprised the majority of the population.

The NEP aimed to revive socialism in less ideal circumstances by allowing peasants to keep surplus produce after paying a tax.

It also restored private trade, incentive, and food production. Small industries and trade in their products were restored, while heavy industries, power, transport, and banking remained under state control. Old managers were brought back, and capitalist incentives like bonuses and piece-rates were encouraged. Foreign investment was encouraged to modernize Russian industry.

However, some communist leaders, like Kamenev and Zinoviev, disapproved of NEP believing it encouraged the development of kulaks, who would later become enemies of communism. Lenin defended NEP, arguing that a long campaign of educating peasants on the benefits of agrarian cooperatives would lead to the triumph of socialism.

The NEP was moderately successful, allowing the economy to recover and improving production levels in most commodities. The electrification of industry also made significant progress. By the end of 1927, the ordinary Russian was better off than at any time since 1914. Industrial workers received real wages and new social legislation, including an eight-hour working day, two weeks of holiday, sick and unemployment pay, and healthcare. However, unemployment was higher than before and food shortages persisted.

Russia became the world's first communist state, the Union of Soviet Socialist Republics (USSR), with the Communist Party holding power. Lenin banned factionalism within the Party, allowing discussion but requiring all sections to stick to the official party line. Anybody who persisted in holding a view different from the official party line would be expelled from the Party. During the rest of 1921 about one-third of the Party's members were purged with the help of the ruthless Cheka, the Soviet secret police. Trade unions

were also rejected, as they had to follow the government's instructions and increase production.

The Politburo, the governing body of the Communist Party, was responsible for quick decisions during the civil war. After the war, Lenin and the Communist Party had complete control, but the dictatorship of the proletariat was absent. Lenin's stroke in May 1922 left him weaker and less involved in government. He suffered two more strokes, and died in January 1924 at the age of 53. The USSR was isolated and facing an uncertain future, making a power struggle inevitable.

5.2.2 The Rise of Stalin to Power

The original name of Joseph Stalin was Joseph Djughashvili. He adopted the name Stalin meaning the 'man of steel' soon after he joined the Bolshevik Party in 1904. After Lenin's death in 1924, Stalin served as Secretary-General of the Communist Party and a member of the Politburo. Leon Trotsky, an intellectual and organizer of the Red Armies, was the most obvious successor. During Lenin's illness, Trotsky criticized the triumvirate of Kamenev, Zinoviev, and Bukharin, accusing them of lacking vision and no plan for the future. By the end of 1924, Trotsky's support had disappeared, and he was forced to resign as Commissar for Military and Naval Affairs.

Stalin's political skill and intuition allowed him to focus on essentials and exploit weaknesses, filling positions with his own supporters and removing others from distant areas. By 1928, all top bodies and congresses were filled with Stalinites, making him unassailable.

Stalin exploited disagreements in the Politburo due to Marx's lack of detailed description of the new communist society.

Lenin vaguely stated the establishment of a dictatorship of the proletariat, while Marx aimed for a classless society. Bukharin aimed to consolidate Soviet power in Russia through prosperous peasants and industrialization, while Trotsky advocated a permanent revolution outside Russia. Kamenev and Zinoviev supported Bukharin's approach.

Bukharin supported the NEP despite increasing the number of wealthy peasants, kulaks, who were considered budding capitalists and enemies of communism. After Trotsky's expulsion, Kamenev and Zinoviev fell out with Bukharin, advocating for rapid industrialization at the expense of peasants. Stalin, who was ambitious, initially supported Bukharin on the issue of 'socialism in one country.' Later, when the split occurred between Bukharin on the one hand, and Kamenev and Zinoviev, who were feeling unhappy about NEP, on the other, Stalin supported Bukharin. As a result, Trotsky, Kamenev, and Zinoviev were voted off the Politburo and replaced by Stalin's men. Eventually, Trotsky was exiled from the USSR and moved to Istanbul, Turkey.

Stalin and Bukharin became joint leaders, but their survival was short-lived. Stalin removed NEP, claiming kulaks hindered agricultural progress. Bukharin protested, leading to his removal from the Politburo in 1929.

5.2.2.1 Stalin's Economic Policies

In the mid-1920s, Russia's heavy industry production was low, leading France, Germany, Britain, and the USA. Stalin aimed for rapid expansion to counter Western capitalist attacks on communism and increase government support. However, lack of capital hindered expansion. Stalin implemented dramatic changes, abandoning the NEP and controlling industry and agriculture.



The USSR implemented a series of Five Year Plans to focus on industrial expansion, with the first two being completed ahead of schedule. However, neither reached their full targets, and the third Plan was cut short due to the USSR's involvement in World War II. The first Five Year Plan, funded by the Russians without foreign investment, included foreign technicians, expanded education, and capitalist methods. Stakhanovites were awarded medals for record output. However, the plans faced drawbacks such as ruthless discipline, forced labour camps, poor housing conditions, and regimentation. The plan aimed to exploit the workers and peasants of the USSR, offering benefits like medical care and education, but causing poor quality workmanship and machinery damage.

Stalin implemented the collectivization process in 1929 to address agricultural issues by merging small farms with large collective farms owned by peasants. The decision was based on inefficiency and potential increase in grain production through state-directed tractors and combine harvesters. The plan faced resistance from the countryside, but took at least half a century to recover. The collectivization of over 90% of farmland by 1937 increased mechanization, but total grain production declined except for 1930. Factors contributing to this failure included exclusion of best-producing kulaks, lack of knowledge about agriculture among party activists, demoralization of peasants, and deportation. The 1932-33 famine led to 1.75 million tons of grain exported, but over 5 million peasants died of starvation.

5.2.2.2 Policy of Political Suppression

In the 1930s, Stalin and his allies tightened their control over the Party, dominating the government and local organizations. They became increasingly suspicious and

distrustful, leading to a decline in popularity due to collectivization and the First Five Year Plan. Opposition to Stalin grew, leading to the Ryutin Platform, advocating for slower industrialization, more gentle treatment of peasants, and the removal of Stalin from leadership. Stalin was determined to eliminate political opponents and critics, and a new constitution was needed to consolidate his control over the country. Although some non-Russian regions sought independence, Stalin remained determined to maintain the union.

Stalin prioritized dealing with opposition, leading to demands for collective farms, the return of power to the trade union, and removal by the party members in the early 1933. However, Stalin and his Politburo rejected these demands and voted for a purge of dissident party members. Over 800,000 expelled, and over 2 million people were in prisons and forced labour camps. Sergei Kirov, a Leningrad party boss, committed suicide in December 1934, serving as a pretext for further purges against those Stalin distrusted.

From 1936 to 1938, the Great Terror campaign intensified, resulting in over three million people executed and sent to labour camps. Hundreds of important officials were arrested, tortured, and forced to confess to crimes. These included M. N. Ryutin, Old Bolsheviks, the Commander-in-Chief of the Red Army, Tukhachevsky, and other generals. Millions of innocent people ended up in labour camps, with estimates ranging from 5 million to around 8 million.

Even Trotsky was sought out and murdered in exile in Mexico City in 1940. The Purges were successful in eliminating alternative leaders and terrorizing the masses into obedience. The central and local governments, republics, army, navy, and economic structures were all violently subdued. Stalin ruled

unchallenged with the help of his supporting clique, including Molotov, Kaganovich, Mikoyan, Zhdanov, Voroshilov, Bulganin, Beria, Malenkov, and Khrushchev, until his death in 1953.

The Purges and Terror caused significant human suffering, including 7 million arrests, executions, and 2 million deaths in labour camps between 1937 and 1938. The Bolshevik Party suffered greatly, leading to the disappearance of educated individuals. The purge of the army disrupted the USSR's defense policies during international tension and contributed to the Second World War disasters of 1941-1942.

5.2.2.3 The Constitution of 1936

In 1936, a new, democratic constitution was introduced in the USSR, describing the country as a socialist state of workers and peasants. It allowed everyone, including former people, to vote by secret ballot to choose members of the Supreme Soviet national assembly. However, the elections were not competitive, with only one candidate per constituency, the Communist Party candidate, representing everyone's interests. The constitution mentioned universal human rights, such as freedom of speech, thought, press, religion, employment, public assembly, and street demonstrations. Critics of Stalin were quickly purged, and few people took the 1936 constitution seriously.

5.2.2.4 Stalin's Policy Towards Various Nationalities

The Czarist Russian Empire included territories like Poland, Finland, Ukraine, Belorussia, Georgia, Armenia, Azerbaijan, Kazakhstan, Kirghizia, Uzbekistan, Turkmenistan, Tajikistan, and Baltic republics. Stalin viewed these states as troublesome and established six unions in the USSR by 1925.

He promoted national languages and cultures, limited autonomy, and used force to control these states.

5.2.2.5 Social and Cultural Life

The Soviet state and its socialist system dominated everyday life for ordinary people, influencing education, job opportunities, promotion, marriage, and more. The communists aimed to eradicate backwardness and modernize the state, while artists, musicians, and writers contributed to this transformation by producing works of 'socialist realism' that glorified the Soviet system. However, ordinary people faced difficulties due to the existence of special elite groups, known as 'Nomenklatura', who were successful members of the intelligentsia, engineers, experts, and Stakhanovites. These elites enjoyed privileges such as bread delivery, lower prices, better living accommodations, and the use of dachas.

In the 1930s, rapid industrialization increased women's employment, resulting in a two-thirds of the light industry workforce. The Stalinist era saw improvements in healthcare and education, reducing typhus and cholera, and increasing life expectancies. Schools offered a nationalistic curriculum, and the Stalinist regime expanded free mass education. Soviet society developed into the fundamental shape that it would maintain until its fall in 1991.

In the 1930s, Soviet authorities fought against organized religion, shutting down monasteries and churches and promoting atheism. Pope Pius XI denounced the attacks, and by 1940, few churches remained. Socialist realism restricted popular culture to Soviet ideology, promoting party importance and revolutionary romanticism. Art was often used in teaching.



Stalin disbanded the All-Russian Association of Proletarian Writers (RAPP) and the All-Russian Union of Writers (AUW) to maintain political control in literature. The Union of Soviet Writers, chaired by Maxim Gorky, replaced them. Several writers, including Daniil Kharms, Osip Mandelstam, Isaac Babel, and Boris Pilnyak, were imprisoned, murdered, or starved to death. Andrei Platonov was prohibited from publishing, and Anna Akhmatova's work was decried. Over 250 Soviet Ukrainian authors perished during the Great Purge, with some of their texts seized and libraries burned.

Musical expression was suppressed during the Stalin period, with Dmitri Shostakovich's music condemned and outlawed twice. Aram Khachaturian and Sergei Prokofiev faced similar circumstances, while Igor Stravinsky's music was seen as formalist and anti-Soviet.

5.2.2.6 Soviet Union and the Second World War

The Second World War led to significant casualties for Russia, with 6.2 million military personnel dead, 15 million wounded, and 4.4 million captured or missing. The population was extinguished by 25 million, and over 25 million people were homeless. Soviet Russia struggled to rebuild amid unrest, with Stalin's tactics causing deportations, doubled labour camp populations, and military discipline. The fourth five-year plan from 1946 to 1950 aimed to restore industrial production, but agricultural production declined, causing famines and starvation.

Stalin sought to regain control over intelligentsia, led by Zhdanov, by expulsiioning writers and banning composers. After Zhdanov's death, he purged the Leningrad party, arresting suspected plotters, and purging party leaders Molotov, Mikoyan, and Beria. Stalin died in 1953.

5.2.3 Political Developments in USSR After Stalin

After Stalin's death, the USSR faced power sharing conflicts, with Nikita Khrushchev as the dominant leader. He introduced de-Stalinization policies and strengthened the economy. In 1962, the USSR faced a Cuban missile crisis, leading to Khrushchev's retirement. Leonid Brezhnev was the leading figure from 1964-85. Mikhail Gorbachev attempted modernizing Russian communism but faced opposition. In 1989-90, non-communist governments were established, leading to the USSR's breakup into 15 states. Khrushchev criticized Stalin's policies, seeking socialism and gaining support from local organizations and the army.

5.2.3.1 Reforms under Khrushchev

In 1956, Khrushchev criticized Stalin's policies, advocating for socialism and following Lenin's example. Despite opposition, he gained support from local organizations and the army. He retired in 1957, never wielding as much power as Stalin. The 1958 housing program improved living standards, but economic growth slowed due to inefficient Regional Councils and insufficient investment. Yuri Gagarin's first manned orbit gained international attention.

Agricultural Policy

Stalin's inefficient agricultural policy led to the failure of the Collectivization program. Khrushchev initiated the Virgin Lands Scheme (1954) in Siberia and Kazakhstan, increasing farm output by 56%. However, the scheme failed in 1963, causing Khrushchev's downfall. Critics argued excessive spending on agriculture degraded industry, and the Russian economy relied heavily on grain imports.

Period of Thaw

Khrushchev's 'thaw' brought about significant changes in political, social, and cultural aspects, avoiding dictatorship, reducing secret police activities, and allowing sacked politicians and officials to retire. This period saw increased freedom and a higher standard of living, with minimum wage reducing poverty to 30 million in 1967. Writers were rehabilitated and approved for attacking Stalin or the Party, although some were disgraced and expelled from the writers' union.

Foreign Policy

Foreign policy of Khrushchev was characterized by the idea of peaceful co-existence. However, this period marked the beginning of conflicts with China. The Cuban Missile Crisis brought the USA and USSR on the brink of a war. However, soon tensions relaxed.

5.2.3.2 Stagnation of the Soviet Economy Under Brezhnev

Kosygin, Brezhnev, and Podgorny shared power after Khrushchev, initially as foreign affairs spokesman. Brezhnev became the leading figure, favored centralization, abandoned Khrushchev's policies, and ignored economic problems. He stifled independent thinking and maintained system stability in eastern Europe.

Economic policies

Economic policies in the Soviet Union maintained wage differentials and profit incentives, but growth was slow due to centralized systems and Brezhnev's reluctance to take major initiatives. By 1982, the Russian industry was outdated, coal and oil industries failed, and the building industry was slow and poor. Russia's low agricultural yield led to dependence on American wheat.

The Soviet economy's success in military hardware production, such as intercontinental missiles and anti-ballistic missiles, led to the USSR surpassing the USA in intercontinental missiles and developing the anti-ballistic missile.

The Social Scenario

The Soviet Union experienced improved life, reduced unemployment, and social security, but limited personal freedom, including the ban on critical writings in 1970. The KGB used psychiatric hospitals and mental asylums to confine intellectuals, such as Zhores Medvedev, who was diagnosed with schizophrenia. A Human Rights Committee was formed, protesting labour camps and prison conditions. The Helsinki Final Treaty promised economic and scientific cooperation, but little progress was made. Groups to check the agreement were arrested, imprisoned, exiled, or deported, with Sakharov spared due to his international renown.

5.2.3.3 The Gorbachev Years

Mikhail Gorbachev, a dynamic leader, came to power in 1985, aiming to transform Russia by modernizing the Communist Party and streamlining the economy and government. In 1988, Gorbachev criticized the centralized Soviet system, focusing on a command economy with state ownership and control. He aimed to replace it with a democratic socialist system, but his policies failed, leading to the collapse of communism, the USSR's break-up, and Gorbachev's own political career.

Glasnost

Glasnost, or openness, gained prominence in human rights and cultural affairs. Dissidents were released, leaders like Bukharin declared innocent, and a new law prevented dissidents from being sent to mental institutions.



Important political events were televised, and cultural matters and media developed. Long-banned anti-Stalin films and novels were published, and Osip Mandelstam's works were prepared for publication. News reporting experienced new freedom, with the Chernobyl nuclear disaster discussed with unprecedented frankness. This approach aimed to publicize government inefficiency and corruption, educate public opinion, and mobilize support for new policies, with Glasnost encouraged if no one criticized the Party itself.

Perestroika

Perestroika involved economic restructuring and changes, with Gorbachev implementing new economic management methods in 1987 to stimulate competition and provide alternative jobs. Automation and computerization reduced manual and clerical workers, and the Law on State Enterprises (1987) shifted quality control to independent state bodies. The Congress of People's Deputies was formed in 1989, with prominent figures elected. Reserved seats for the Communist Party were abolished in December 1989. Gorbachev was elected president in 1990, with two councils to advise him, threatening the Communist Party's privileged position.

Failure of Gorbachev's Reforms

Gorbachev faced resistance from radicals and conservatives, leading to a split in the party. In May 1989, the Congress of Peoples' Deputies elected a conservative Supreme Soviet. Economic reforms failed, with stagnant growth and falling national income, indicating a crisis similar to the US in the 1930s. The Law on State Enterprises caused higher wages, inflation, and a budget deficit. In 1989, coal miners in Siberia, Kazakhstan, and Donbass went on strike for better living conditions, food supplies, and local control.

The government promised reorganization but the economic situation remained unfavorable, causing Gorbachev's reform movement to lose control.

5.2.4 Dissolution of the Republic

The Soviet Union, consisting of 15 republics, faced challenges from glasnost and perestroika, leading to independence in Azerbaijan, Lithuania, Latvia, and Estonia. In 1991, Georgia declared independence, and the USSR appeared to fall apart. Gorbachev persuaded the republics to form a voluntary union, but a coup failed. Boris Yeltsin took over the government, discrediting the Communist Party, and ruled the Russian Federation as a separate republic. When Ukraine became independent, Yeltsin negotiated a new union, the Commonwealth of Independent States (CIS), focusing on economic matters and defense. Gorbachev resigned on Christmas Day 1991.

5.2.4.1 Dismemberment of the Socialist Regimes in Eastern Europe- an Estimation

Late 1980s Eastern Europe experienced revolutions, replacing communist governments with democratically elected ones, with Poland, Hungary, and East Germany rejecting communism.

Economic causes: In Eastern Europe's communism was economically inefficient, over centralized, and restricted, failing to address basic socio-economic problems and improve living standards. Poor social services, industrial output, food production, and technological changes contributed to the weakening of socialism in these countries.

Cultural factors: Eastern European socialist countries struggled to compete with Western consumer culture and technology, leading to dissatisfaction and a comparison between socialism and capitalism,

ultimately destroying socialism's alternative development model.

Political causes: Political factors influenced the failure of communist regimes in Eastern European countries, as they were undemocratically developed and imposed by the Soviet Union. Citizens felt alienated, and revolutions focused on addressing tyranny and corruption.

Social factors: The economic and political failures of communist regimes led to societal tensions and nationalism, uniting workers, intellectuals, and organizations against the regime. This unity threatened the ruling class and contributed to the downfall of communism in Eastern Europe.

Legacy of Communism

Over 70 years of Soviet power left lasting effects on a country, promoting education, literacy, sports, culture, and performing arts. Despite stagnation after Stalin's death, communism brought stability and improved living standards. However, it left problems like rigidity, over-centralization, stifling initiative, bureaucratic resistance, and heavy military expenditure, making it challenging for future regimes.

5.2.5 China

China is undoubtedly the only socialist country exercising powerful hegemony and influence in the contemporary international economic and political order. Even after the dissolution of socialism in Europe, China survives as a one party socialist state but with introducing economic reforms in the direction of market liberalism. By the 21st century, China presents the scenario of a fast growing economy presumed to be replacing the United States as the most powerful nation on the earth, not in a distant future. In the following section, an overview of the major developments in

the spheres of Chinese politics and economy during the period after the formation of the People's Republic is given.

Mao Zedong rebuilt China after the Kuomintang's victory in 1949, initially receiving the Russian advice and aid. However, relations cooled and the Russian economic aid was reduced. In 1958, he introduced the 'Great Leap Forward', emphasizing decentralization, agriculture, communes, and mass contact. Mao criticized Russians for straying from Marxist-Leninist principles and capitalist policies. This led to a rift in world communism, which healed after Mikhail Gorbachev became Russian leader in 1985. Mao's Cultural Revolution (1966-69) successfully suppressed opposition and continued China's development along Marxist-Leninist lines.

China and its Problems

In 1949, the People's Republic faced challenges like a devastated country, food shortages, and a deteriorating economy. Mao, supported by peasants and the middle class, sought to improve conditions and control a 600 million-strong population. In 1954, a new constitution was established, with the National Peoples' Congress as the final authority for legislation. The constitution provided a strong central government, which has largely remained unchanged.

5.2.5.1 Changes in the Economy

China underwent changes in its agricultural systems, transforming it from small private farms to large co-operative farms like those in Russia. Land was redistributed among peasants, leading to violence and the loss of two million people. In 1953, China launched a Five Year Plan for heavy industries, with the assistance of the USSR. However, Mao questioned China's suitability for heavy industrialization, but the country recovered



from wars, restored communication, and controlled inflation, resulting in a healthier economy.

5.2.5.2 The Hundred Flowers Campaign

Industrialization led to economic growth, creating a new class of technicians and engineers. The government hoped to improve relations between cadres and intellectuals through open discussion. Mao called for constructive criticism, but faced criticism for incompetence, over-centralization, and undemocratic policies. He called off the campaign, stating that his policies were right. This led to the Great Leap Forward campaign in 1958, aiming to consolidate socialism's advance.

5.2.5.3 Great Leap Forward

Mao felt that something new and different was needed to meet China's special problems. The Great Leap Forward involved further important developments in both industry and agriculture. To achieve an increase in output was the greatest aim. Agriculture in particular was not providing the required food. There was the need to adapt industry to Chinese conditions. Its most important features were:

1. Communes were larger units with up to 75,000 people, divided into brigades and work teams, and operated collective farms, factories, and government functions. Each family received a share of profits and a private plot of land.
2. Industry shifts to smaller, rural factories for agriculture, constructing roads, canals, dams, reservoirs.

The Great Leap Forward caused hardship in 1959-63, causing 20 million deaths. Mao's prestige suffered, but archives show the situation was worse than initially reported. By the early 1970s, agricultural and industrial production increased, and China managed to

feed its population without further famine. The communes were successful, ensuring jobs and labor-intensive economy, reducing infant mortality and improving women's positions.

5.2.5.4 The Cultural Revolution

The Cultural Revolution aimed to maintain Marxist-Leninist principles in the Great Leap and Communist revolution. Opposition to Mao grew in the 1960s, with right-wing members advocating incentives and expert managerial classes. Maoists deemed these ideas unacceptable and sought to maintain contact with the masses. Between 1963 and 1966, a public debate between rightists Liu Shaoqi and Deng Xiaoping and Maoists led to a campaign to rouse young people, promoting the 'Great Proletarian Cultural Revolution.' The revolution led to chaos and civil war, with student masses attacking authorities and teachers. In April 1969, the Cultural Revolution officially ended, and Mao was declared free of blame.

5.2.6 Developments in the Post-Mao Era

Following Mao's death in 1976, a power struggle ensued with Hua Guofeng, Deng Xiaoping, and the Gang of Four, led by Jiang Qing. Jiang Qing attempted to side-line Hua but was unpopular with Chinese society. Hua was arrested and Deng Xiaoping remained in the background. Hua's industrialization plan faced failures, leading to his resignation and Deng's leadership in June 1981. Deng emphasized change and put the Gang of Four on trial for crimes committed during the Cultural Revolution.

They were all found guilty and sentenced to life imprisonment. The Central Committee of the Party issued a Resolution condemning the Cultural Revolution as a grave Left error, pinning blame on Mao and underwrote a shift

from a single leader to collective leadership within the Central Committee of the Party (CCP).

In 1978, China underwent significant policy changes under Deng Xiaoping's leadership. The Cultural Revolution led to the abolition of revolutionary committees, property return, and increased religious and intellectual freedom. China joined the IMF and World Bank in 1980, allowing private industrial companies and state farms. This led to record-breaking grain output and improved living conditions. In 1979, posters attacked Chairman Mao and demanded human rights, including representation in the National Peoples' Congress, job flexibility, and commune abolition.

Deng, Hu Yaobang, and Zhao Ziyang pushed for modernization after the first reforms and the Democracy Wall embarrassment. They criticized leading dissidents for attempting to destroy the socialist system and arrested them. In 1979, the Democracy Wall was abolished, and law and order were restored. Zhao Ziyang increased industrial production and improved agricultural production, leading to the abandonment of compulsory state purchases and fluctuating prices on the open market.

In 1984, China experienced a record trade deficit of \$1100 million due to modernization and market socialism. The government controlled imports by imposing heavy duties on essential goods, and inflation rose to 22% in 1986. Deng's 1986 vision for China's development aimed to increase income per head and double production by 2000. He supported agricultural reform and emphasized China's international role as a peace alliance against the USA and USSR.

Tiananmen Square 1989

Deng Xiaoping's government sought a balance between traditionalists and reformists, with conservatives fearing his removal if economic reforms failed. Reformers like Zhao Ziyang and Hu Yaobang supported the reforms, while hardliners like Li Peng were skeptical. Student demonstrations in 1986 supported Deng's modernizations, demanding faster reforms and more democracy. Deng dismissed these demonstrations, leading to reformer Hu Yaobang's resignation and Zhao Ziyang taking his place.

Zhao announced economic reform, promising new measures and clampdowns on bourgeois intellectuals. Deng and Zhao faced dilemmas in offering choices in buying and selling while denying them choices in policies and political parties. In 1988 and 1989, economic reforms faced difficulties due to inflation and low wages. Student demonstrations in Tiananmen Square demanded political reform, democracy, and an end to corruption. Zhao Ziyang promised to meet demands, angering Deng.

Protests in Tiananmen Square were unsuccessful due to power struggles between Zhao Ziyang and Li Peng. Deng Xiaoping declared martial law, leading to thousands of students being killed. Prime Minister Li Peng became the leading figure, leading to Deng's resignation in 1989. The Tiananmen Square massacres were condemned globally, but Deng and hardliners believed they had allowed students' demands for democracy and one-party control.



Recap

- ▶ The Soviet Union and China experienced socialist revolutions, led by urban proletariats and rural peasants, leading to one-party totalitarian regimes.
- ▶ Bolshevik Russia faced civil war, but Lenin and Trotsky remained steadfast, introducing reforms like War Communism and later implementing New Economic Policy, i.e. mixed economic policy.
- ▶ Stalin governed the Soviet Union for three decades, expanding the economy, society, and promoting socialist principles. Despite challenges, the Soviet Union emerged as a superpower defeating Hitler in the Second World War.
- ▶ Following Stalin, Khrushchev and Brezhnev led liberal political suppression, dominated the Soviet economy, but stagnation and overemphasis on heavy industries led to disastrous consequences.
- ▶ Gorbachev introduced economic and political reforms in the Soviet system, but their implementation was flawed, leading to the regime's dismemberment.
- ▶ China's socialist policies evolved through trial and error, with Mao skeptical of the Soviet socialist path's suitability for Chinese conditions. In the late 1950s, the 100 Flowers campaign aimed to promote constructive discussions on development, but was dropped due to potential criticism of the party establishment.
- ▶ Mao introduced campaigns like 'Great Leap Forward' and 'Cultural Revolution' to maintain revolutionary fervor, but faced significant human costs. China remained an agrarian economy, focusing on labour-intensive small-scale industries for agricultural machineries.
- ▶ Since the late 1970s, Chinese leaders like Deng Xiaoping changed the direction of economic policies in China. They began to follow market liberal policies within the bounds of a one-party socialist state.

Objective Questions

1. Name the military commander who established a White Government in Siberia during the period of civil war in Russia.
2. Which was the Russo-German treaty that marked the withdrawal of Russia from World War I?
3. Who had served as the Commissar for War in the Bolshevik government that came to power after the revolution of 1917?
4. Which was the treaty that ended the war between Russia on the one side and Polish and French forces on the other over Ukraine in 1920?

5. Where had the naval mutiny against the Bolsheviks in March 1920?
6. Name the communist leaders who opposed Lenin's policy of New Economic Policy.
7. Name the secret agency used by Lenin to suppress factionalism in the party.
8. Who was the main organizer of the Red Army in Russia?
9. Name the intellectual who advocated the strategy known by 'Socialism in One Country' in Russia after the period of Lenin
10. Who was the most important supporter of the strategy of 'Permanent Revolution' in the USSR?

Answers

1. Admiral Kolchak
2. Brest-Litovsk
3. Trotsky
4. Treaty of Riga
5. Kronstadt
6. Kamenev and Zinoviev
7. Cheka
8. Leon Trotsky
9. Bukharin
10. Trotsky

Assignments

1. Assess the impact of the socialist revolutions in the Soviet Union and China on their respective societies and economies. Compare and contrast the approaches taken by these countries in implementing socialist policies, and analyse the short-term and long-term consequences of these policies.
2. Evaluate the successes and failures of the socialist experiments in the Soviet Union and China during the 20th century. Analyse the factors that contributed to the survival and expansion of the Bolshevik government in Russia, as well as the challenges it faced such as civil war and foreign opposition.



Suggested Readings

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Unit 3

New Democracies in the Post World War II Period

Learning Outcomes

Upon the completion of this unit, the learner will be able to:

- ▶ familiarise with the changes brought about by the Second World War in international relations
- ▶ acquainted with the process of decolonization
- ▶ get more clarity regarding the emergence of newly independent nations in Asia, Africa and Latin America, the various challenges they faced and their attempts to overcome them

Prerequisites

In 1992, people around the world celebrated 2500 years of democracy, marking a rare occasion where the anniversary of a political idea was observed globally with great enthusiasm. It is important to note that different political regimes may try to use the label of democracy to legitimize their power. Nevertheless, the concept of democracy is not universally agreed upon. There are no fixed standards to measure the level and quality of democracy and the extent of democratization.

A significant turning point in the development of democracy in the modern world was the French Revolution and the adoption of the Declaration of the Rights of Man. However, during the 19th century, liberal democracies were limited in their reach and scope. It was only in the 20th century that democracy began to spread worldwide, becoming a common form of government and a way of life. The unique political and economic circumstances that emerged after the Second World War played a crucial role in promoting democracy.

Keywords

New Democracies, Second World War, Decolonization, Afro-Asian Countries, Independent Countries



Discussion

5.3.1 Declaration of Independence in Colonies

Upon the end of the Second World War in 1945, the European nations held vast territories in Asia and Africa. Britain's Empire was the largest, encompassing India, Burma, Ceylon, Malaya, Africa, and various islands. France had the second largest empire, with territories in Africa, Indo-China, and the West Indies. Both countries held mandated territories in the Middle East, such as Transjordan and Palestine, and Syria, which were intended to protect them and prepare them for independence.

Over the next 30 years, significant changes occurred in colonial territories, with most gaining independence by 1975. However, some colonies faced resistance from the Europeans, and new political problems arose. In India, religious differences and political issues were mixed, and white settler populations were hostile to independence. Britain was prepared to grant independence when individual territories were ready, and most new states maintained a link with Britain through the British Commonwealth, a voluntary group of former British-controlled nations.

British colonies in India, Pakistan, Burma, Ceylon, Sri Lanka, Transjordan, Palestine, Sudan, Malaysia, Nigeria, Somaliland, Cyprus, Tanzania, Jamaica, Uganda, Kenya, Nyasaland, Malawi, Northern Rhodesia, Malta, British Guiana, Barbados, Bechuanaland, Botswana, Aden, South Yemen, and Southern Rhodesia or Zimbabwe were gained independence.

The other colonial powers were at first determined to hold on to their empires by military force. But they all gave way in the end. The main territories gaining independence were:

French Colonies: Syria- 1946; Indo-China- 1954; Morocco, Tunisia- 1956; Guinea- 1958; Senegal, Ivory Coast, Mauretania, Niger, Upper Volta or Burkina-Faso, Chad, Madagascar or Malagasey, Gabon, French Sudan or Mali, Cameroon, Congo, Oubangui-Shari in Central Africa, Togo, Dahomey or Benin- 1960.

Dutch: East Indies or Indonesia- 1949; Suriname- 1975; Belgian Congo or Zaire- 1960; Ruanda- Urundi or the independent states of Rwanda and Burundi- 1962.

Spanish: Spanish Morocco- 1956; Guinea or Equatorial Guinea- 1968; Ifni or Parts of Morocco- 1969; Spanish Sahara or parts of Morocco and Mauritania- 1975.

Portuguese: Guinea or Guinea-Bissau- 1974; Angola, Mozambique- 1975; East Timor- 1975.

Italian: Ethiopia- 1947; Libya- 1951; Eritrea- 1952; Italian Somaliland- 1960.

5.3.2 Decolonization: The Context and the Debate

Since the 1990s, more documents on decolonization have become available, allowing historians to explore the motives of European powers in giving up their colonies. The debate over whether decolonization was the result of successful nationalist movements or international political and economic considerations has been a major topic. Some historians argue that outside forces, such as metropolitan forces, were more important, while others believe local nationalist movements were more influential. However, it is clear that all factors were present in varying degrees in all colonial territories.

5.3.2.1 Background of the Nationalist Movements

Nationalist movements in European

overseas colonies, particularly in Asia, aimed to remove foreign rulers and establish a government run by their nationality. They claimed benefits from western civilization and exploited colonial peoples. Nationalists in India and Indo-China have campaigned against British rule since 1885. However, nationalism was weaker in other regions, and progress towards independence became possible during the Second World War. Nationalist feelings grew in almost all colonies, forcing colonial powers to grant independence before their intended time, sometimes leading to disastrous results as seen in the British in Nigeria, Belgians in Congo and Rwanda-Urundi, Spanish in Spanish Sahara, and Portuguese in Mozambique and Angola.

The Second World War gave a great stimulus to nationalist movements in a number of ways. Before the war, colonial peoples believed it would be impossible to defeat the militarily superior Europeans by force of arms. Japanese successes in the early part of the war showed that it was possible for non-Europeans to defeat European armies. Japanese forces captured the British territories of Malaya, Singapore, Hong Kong and Burma, the Dutch East Indies and French Indo-China. Although the Japanese were eventually defeated, the nationalists, many of whom had fought against the Japanese, had no intention of accepting European rule again. Some Asian nationalist leaders worked with the Japanese, thinking that after the war there would be more chance of independence being granted by the Japanese than by the Europeans. Many of them, like Dr Sukarno in the Dutch East Indies, gained experience helping to govern the occupied areas. Sukarno later became the first president of Indonesia (1949).

During the war, European policies encouraged colonial peoples to expect

independence, leading to the Atlantic Charter of 1941. This declaration emphasized nations not expanding and allowing peoples to choose their own form of government. The war weakened European states, making them insufficient to hold onto empires. The British recognized this and granted independence to India in 1947. However, they continued to delay independence, but gave way when pressure became irresistible.

Ghana became the first British territory in Africa to win independence, inspiring other African colonies. The French, Dutch, Spanish, and Portuguese reacted differently, focusing on preserving their empires through costly military campaigns.

5.3.2.2 The Second World War and the Weakening of Imperialism

The Second World War significantly weakened imperialist countries in Europe, including France, Belgium, and Holland, due to fascist aggressions. Their military power and economies were shattered, and Britain's largest empire suffered from a weakened economy. Long colonial wars faced internal problems, and imperialism was no longer considered a mark of superior civilization. Apologists argued that control over colonies was important for peaceful transitions, preventing tribal wars, safeguarding minorities' interests, resisting terrorism, and educating the people for a democratic system. However, the cost of maintaining control became too high for colonial countries to afford, and direct political control was no longer necessary to exploit a country's economy.

The Superpowers and the Question of Decolonization

After the Second World War, the USSR and the USA became the most powerful countries replacing Europe. The USA, having declared



independence in 1776, opposed imperialism and sought to end European empires. President Roosevelt applied the Atlantic Charter to all peoples, while Truman pressurized Britain to speed up India's independence. Americans saw newly-independent nations as potential markets for economic and political influence, while the United Nations Organization opposed imperialism and demanded a decolonization program. The USSR, with a strong anti-imperialist approach since 1917, denounced European colonization and supported freedom movements in colonies, putting European states under pressure and encouraging global nationalists to intensify their campaigns.

Solidarity of the Anti-Imperialist Movements

The growth of solidarity among freedom movements in different countries strengthened movements for freedom. Mass demonstrations in 1946 in India supported Indonesia and Indo-China's independence, while Indian troops were sent to restore Dutch and French rule. As countries gained independence, they actively aided other movements. The Non-Aligned Movement, which aimed to promote anti-colonialism and anti-imperialism, supported national independence movements in colonies. South West Africa People's Organization (SWAPO) and Palestine Liberation Organization (PLO) were members of the movement since their independence in 1990.

The UN and Decolonization

The United Nations has played a significant role in promoting the end of colonialism through its Charter and Universal Declaration of Human Rights. As former colonies joined the organization, the issue of ending colonialism gained importance, and the United Nations actively facilitated colonial independence.

5.3.3 Main Trends in the Political Developments in Asia in the Post-Second World War Period

Asian countries' political development since independence has been characterized by various trajectories, with some countries establishing stable democratic systems. India remains the only democratic country, while Pakistan has experienced military rule. In Burma, Nobel Peace Prize-winning activist Aung San Suu Kyi was house-arrested for six years, and efforts by the United Nations to secure her release have failed.

In 1948, Burma and Ceylon became independent. Later Burma, renamed Myanmar in 1989, started as a political democracy in 1948 but came under one-party rule in the early 1960s. Malaya became independent in 1957. Malaysia, along with Sabah, Sarawak, and Singapore, formed the Malaysian Federation in 1963. In 1965, Singapore declared itself an independent state. Indonesia, proclaimed by the nationalists after Japan's surrender, faced Dutch and British rule, leading to a war in 1949. Indonesia became independent on December 27, 1949.

5.3.3.1 India and Pakistan

India, one of the first countries to achieve independence after World War II, was considered of historic importance. Its freedom movement inspired freedom movements in Asia and Africa. The leaders of India's freedom movement organized the Asian Relations Conference, symbolizing Asia's emergence as a new global factor. Independent India became a source of strength for people fighting for their independence.

After 1945, there have been numerous conflicts and wars between Asian countries, with four wars between India and Pakistan. The first war occurred in 1947, immediately

after India gained independence. The second war occurred in 1965, when Pakistan sent infiltrators into Kashmir. The third war took place in 1971 over Bangladesh. Relations between the two countries were strained in the 1980s due to Pakistan's aid to terrorists in Punjab.

Pakistan's support for secessionist elements in Jammu and Kashmir, particularly its training and arming of terrorist groups, has been a major issue since the late 1980s. Despite talks, the infiltration of armed groups into Jammu and Kashmir across the Line of Control continues. In 1999, a war broke out in the Kargil region, with Indian forces defeating Pakistani forces. In 1999, army chief Pervez Musharaf overthrew the civilian government and became the President of Pakistan. In 2001, a summit meeting between Musharaf and Indian Prime Minister Atal Bihari Vajpayee ended without a formal agreement. In 2008, Musharaf resigned as president after the 2008 elections in Pakistan, which had been preceded by former Prime Minister Benazir Bhutto's assassination.

Citizens in both countries are actively promoting people-to-people contacts to create a peaceful and harmonious atmosphere. Governments have taken steps towards normalization, such as resuming train services between Delhi and Lahore and resuming bus services between the two cities. Road transport between Srinagar and Muzaffarabad has also been initiated. The end of army rule and the restoration of democracy have opened up possibilities for further peace and harmony between the two countries. Since 1998, both countries have nuclear weapons, making peaceful and cordial relations more imperative.

5.3.3.2 Bangladesh as an Independent Nation

Pakistan, created after India's partition in 1947, was divided into East Pakistan and West Pakistan, separated by 1600 km of Indian territory. The majority of the population was Muslim, and religion could not be the basis of nationhood. In December 1970, a movement for autonomy led by Sheikh Mujibur Rahman emerged, with the Awami League winning 168 out of 169 seats in East Pakistan. The Awami League was expected to form the government, but the assembly was not held, leading to widespread demonstrations. The independent state of Bangladesh was proclaimed, with a guerrilla army fighting against the Pakistan army.

India intervened in the Bangladesh issue in 1971, and Pakistani troops surrendered unconditionally two weeks later. Mujibur Rahman was released in 1972 and became the first prime minister of the independent state of Bangladesh.

Bangladesh's post-independence period has been marked by political instability and military rule. Sheikh Mujibur Rahman was assassinated in 1975, following army rule. In 1991, elections were held, with Khaleda Zia as prime minister. Sheikh Hasina, the surviving daughter of Mujib, won the 1996 election but was defeated in 2001. Political disturbances continued, with religious fundamentalism increasing. In 2006, elections were not held, and a caretaker government with army backing took over in 2007. Opposition parties demanded a neutral caretaker government, but the ruling Awami League remained unopposed.



5.3.3.3 Singapore

In 1959, Singapore became independent with Prime Minister Lee Kuan Yew. The federation of Malaysia was proposed by Tunku Abdul Rahman, leading to the formation of the Federation of Malaysia in 1963. However, the merger caused economic and religious problems, leading to intolerance and riots. Singapore eventually resigned from the Malaysian Federation in 1965. Lee Kuan Yew's autocratic policies and one-party rule contributed to economic progress, but he remained as 'Senior Minister' and general secretary of the People's Action Party after his retirement in 1990.

Singapore's post-independence history marked a significant shift from poverty to prosperity. Developed by the British as an entrepot, the nation-builders focused on export-oriented industrialization and services, establishing light industries and export-oriented services. This led to Singapore's economic success and transformation from an economic parasite to a prosperous nation.

5.3.3.4 Hong Kong

Hong Kong, located along the south coast of China, was seized by Britain in 1841 due to opium import restrictions. It became a crown colony and was acquired by Britain in 1898 through a 99-year lease. In the 1970s and early 1980s, Hong Kong became a significant economic and business center. In 1984, the British government began negotiations with China for the transfer of Hong Kong. The Sino-British Joint Declaration was issued in 1984, transferring sovereignty to China in 1997.

The agreement promised no changes to Hong Kong's economic and social system for 50 years, and a high degree of autonomy for the government. During British rule, Hong Kong had a multi-party Legislative Council,

which China deemed unacceptable. On June 30, 1997, a nominated council replaced it, and the colony was handed over to China, becoming a special administrative region of China.

5.3.3.5 Indonesia

Indonesia, Southeast Asia's largest country, experienced an anti-imperialist revolution in the early 20th century, leading to its liberation. The National Party was formed in 1927, led by Dr. Sukarno and Dr. Hatta. Throughout the 1930s, Nationalist leaders campaigned against the Dutch, leading to their arrest. In 1942, Japan occupied Indonesia, but Sukarno and other leaders were released and promised independence. In 1945, Sukarno declared Indonesia's independence, despite Dutch attempts to reestablish control.

In 1947, the Dutch initiated a police action in Indonesia, leading to a ceasefire and international criticism. In 1948, Dr. Sukarno and Dr. Hatta were arrested, resulting in the suspension of economic aid. In 1949, Holland recognized Indonesia's independence, excluding West Irian, and Sukarno agreed to a Netherlands-Indonesia union under the Dutch crown. Power was transferred to the Indonesian government, and Dutch troops withdrew.

Indonesian leader Sukarno broke away from the union and pressured West Irian to ascend. In 1963, Holland allowed West Irian to become part of Indonesia, completing the process of Indonesian independence. Sukarno was appointed President for life and introduced a new political structure called 'Guided Democracy.' In 1965, a communist revolution failed, leading to the army staging a coup. The Communist Party was banned, and General Suharto took control of the government. In 1967, Sukarno was deposed and Suharto became President, with America

welcoming his rule through stage-managed elections.

Suharto's Indonesian regime was marked by corruption, inefficiency, and economic chaos. He introduced the New Order, purging communists and causing thousands of deaths. Suharto's military rule allowed no opposition, but faced opposition from the wealthy middle class and discontent students. Megawati Sukarnoputri, daughter of Dr. Sukarno, became an opposition leader. In 1998, economic chaos led to Suharto's resignation. In 1999, Abdurrahman Wahid defeated Megawati Sukarnoputri and became President. However, Wahid was dismissed in 2001, and Megawati Sukarnoputri became the new President of Indonesia.

5.3.3.6 Democracy in Japan

Japan was occupied by US forces after its war defeat, leading to political, economic, and social reforms. The US Occupation Authorities prepared a new constitution in 1947, introducing a democratic parliamentary system and universal adult franchise. The constitution renounced war as a national policy and prohibited Japan from having a standing army or navy. In 1952, the US occupation ended, but a security pact retained the right to station troops in Japan. Japan is currently ruled by the conservative Liberal Democratic Party, the socialist party advocating nationalization of industry, and the Japanese Communist Party, which opposes militarism revival.

In recent years, right-wing groups in Japan have advocated for military power revival and instilling militarism values. Japan has become a global economic power, challenging US dominance in various sectors, and has allied with advanced capitalist economies in the West.

5.3.3.7 Indo-China

Indo-China, including Vietnam, Laos, and Cambodia, experienced significant expansion during the Vietnam War. Vietnam gained independence in 1975, while Laos proclaimed independence in 1945. Cambodia became independent in 1953, but faced US intervention in 1970, leading to a puppet government. In 1979, an authoritarian government led by Pol Pot emerged in Cambodia. The Khmer Rouge continued the war against the Vietnamese supported government. In 1989, Vietnamese troops were withdrawn from Cambodia, and in 1991, opposing groups united under the UN.

In 1993, elections were held in Cambodia, and a coalition government was formed. However, the Khmer Rouge refused to join the government and continued its guerilla activities, with most of its leaders being captured and tried for their crimes against their own people.

5.3.4 The Arab Countries

In the twentieth century, Arab countries experienced nationalist fervor, with Lebanon becoming independent in 1943 but facing political instability since the 1950s. Syria and Egypt joined together as the United Arab Republic from 1958 to 1961, while Iraq experienced a revolution and British rule. Kuwait became a fully sovereign state in 1967, and North Yemen became independent in 1967, but South Yemen consolidated British rule. In 1956, French rule ended in Tunisia and Morocco, while Libya became an independent monarchy in 1951 and a republic in 1969. The Arab League united Arab states, promoted nationalism, and strengthened independence.

Palestine was a major concern for Arabs, as Israel was created and sustained with support



from the US and other Western countries. Political organizations have been formed to liberate Palestine since Israel's formation, including Al Fatah, the Marxist Popular Front, and the Democratic Front.

Yasser Arafat, a Palestinian leader, organized guerrilla raids against Israel in 1969 and became chairman of the Palestinian Liberation Organization (PLO). The organization was eventually expelled from Jordan, Egypt, and Lebanon. Arafat supported terrorism as a weapon for Palestinians, drawing global attention to their cause. The US sought a solution to the Arab-Israeli conflict, leading to negotiations with Egypt and Israel in 1978. However, the Camp David Agreement was condemned by the PLO and Arab states.

In 1987, massive demonstrations in Gaza and the West Bank led to the Intifada, which was condemned by the UN and the world. Arafat later renounced terrorism and accepted Israel's right to exist. The Oslo Agreements between Israel and the PLO opened up possibilities for an independent state and peace in the region.

The agreements between Israel and Palestinian forces were met with resistance from right-wing Israeli forces. Yitzhak Rabin, who was awarded the Nobel Peace Prize in 1994, was assassinated by an Israeli in 1995. The Palestinian Authority, led by Yasser Arafat, has not made significant progress in creating an independent Palestinian state. Israel refuses to vacate parts of the West Bank with Israeli settlements, and the Gaza Strip remains virtually occupied. The Israeli position on Jerusalem's status also hinders peaceful settlements.

The Oslo Agreements are believed to be crucial for Palestinian independence and ending tensions in West Asia. The US, a

staunch ally of Israel, has nuclear weapons and threatening postures towards Iran, further escalating tensions. Asian countries' political development since independence has been characterized by stable democratic systems, with some establishing stable systems. Nobel Peace Prize-winning activist Aung San Suu Kyi was house-arrested for six years, but efforts to secure her release have failed. Political turmoil, often accompanied by violence, has not always led to democratic regimes in countries like Iran and Iraq.

Religion has been used as a basis for political activities and nationhood in some countries, such as Pakistan. Religious-political movements emphasize the inviolability of religious principles and advocate for their fundamental basis in state policy. In Asia, communist parties have been ruling in countries like China, North Korea, and Vietnam, and in Mongolia, the former communist party is a major political force.

5.3.5 The African Scenario

In the early twentieth century, African thinking emphasized the unity of all Africans, regardless of cultural or spiritual heritage. Pan-Africanism, first popularized by Jamaican Marcus Garvey, inspired African students to think beyond colonial borders and achieve a federal United States of Africa. Kwame Nkrumah, Ghana's future president, supported Pan-Africanism, but most African states opposed it. By 1963, the prospect of a United States of Africa disappeared, and the Organization of African Unity (OAU) was formed. Pan-Africanism also influenced anti-colonial nationalist movements in many former colonies, with peoples' rights for national self-determination being the most influential principle in international political thinking.

5.3.5.1 Algeria

Algeria faced a long struggle for freedom after the French occupation began in 1830. Following the Second World War, France engaged in a colonial war to maintain its rule. French colonial settlers controlled the economy and administration. In 1954, a nationalist movement called for a popular uprising, leading to a full-scale war of national liberation. The National Liberation Front (FLN) of Algeria established its own army, with over 800,000 members.

In 1958, a revolt by French settlers and the French army led to the overthrow of the Fourth Republic. General de Gaulle took power in France and created the Fifth Republic. The French settlers and army hoped the new government would support the war to maintain French rule. In 1962, de Gaulle's government opened negotiations with the FLN, leading to a ceasefire and an agreement on Algeria's independence. A referendum in France in 1962 overwhelmingly voted in favor of Algeria's independence, and on July 3, 1962, Algeria's independence was recognized by France.

5.3.5.2 Freedom Movements in Kenya

British Prime Minister Harold Macmillan emphasized the importance of national consciousness and policies in Africa. In Kenya, British imperialism attempted to prevent change, leading to the formation of the Kenya African Union in 1943. The Mau Mau rebellion in 1952 was suppressed by the British, leading to the release of independence leader Jomo Kenyatta's in 1961. In 1964, Kenya became a republic with Jomo Kenyatta as its first President.

5.3.5.3 Zimbabwe

Zimbabwe, formerly Southern Rhodesia, faced long struggles before becoming

independent. White settlers, led by Ian Smith, captured power in 1965, fearing independence would lead to Black majority rule. A White minority government was established with South African support, declaring the Unilateral Declaration of Independence (UDI). Despite international sanctions, a powerful guerrilla movement emerged, supported by neighboring African states, the Non-Aligned Movement, and socialist countries. The White minority government gave up after a civil war and in 1980, elections were held, with nationalist parties winning.

5.3.5.4 End of British Colonial Rule in Africa

In the 1960s, most British colonies in Africa became independent, including Tanzania, Sierra Leone, Uganda, Zambia, Malawi, Gambia, Botswana, Swaziland, and Lesotho. Rwanda and Burundi, under Belgian rule since the end of the First World War, became independent in 1962. Most African countries became free by the end of the 1960s, with Portuguese colonies Angola, Mozambique, Guinea Bissau, and Cape Verde Islands remaining in the 1970s. Namibia, ruled by South Africa since the end of the First World War, became independent on 21 March 1990.

5.3.6 Newly Independent Countries and the Neo-colonial Chains

The transition to independence in the countries mentioned above has been challenging, with colonial powers often retaining influence even after granting independence. In Guyana, the Progressive People's Party (PPP) won 18 out of 25 seats in 1953, led by Dr. Cheddi Jagan and Forbes Burnham. The PPP implemented a radical social and economic program, but the government was dismissed and the constitution suspended. The British troops arrested the PPP



leaders, causing ethnic conflicts and splitting the PPP. In 1957, Jagan's party won again, but the government was denied financial help, leading to ethnic disturbances and violence. Burnham's party became Prime Minister in 1964, and Guyana became independent in 1966. In 1992, Dr. Cheddi Jagan was elected president.

5.3.6.1 Democratic Republic of Congo

In the Democratic Republic of Congo, Patrice Lumumba led the freedom movement and became the prime minister in 1960. However, the province of Katanga, supported by the Western companies, announced its secession. United Nations troops were sent to end the secession but failed to protect Lumumba, who was murdered. Colonel Mobutu, who led the Congolese army, captured power in 1965 and became the president of Zaire. Mobutu's authoritarian rule continued until 1997, when he was overthrown.

In Angola, a government led by Agostinho Neto was formed after independence but was sought to be overthrown by the US and South Africa. Angola requested Cuba's help in resisting foreign invaders, attempts at destroying its independence were thwarted. Agreements were reached to end foreign intervention and the withdrawal of Cuban troops from there.

5.3.6.2 South Africa

South Africa was a country that experienced racial segregation, known as apartheid, enforced by the White minority government led by Daniel Malan. This system excluded non-Whites, including over 80% of the population, from voting, imposed restrictions on strikes, deported Africans, and segregated education. The Suppression of Communism Act banned dissent, and some world literature was banned. The policy of apartheid led to South Africa leaving the Commonwealth when it was

attacked at a conference of Prime Ministers of Commonwealth countries. The system of apartheid led to widespread revulsion, leading most countries to ban relations with South Africa. The United Nations called for military and economic sanctions against South Africa, and Western countries also began applying these sanctions.

South Africa continued to pursue inhumane policies, including brutal repression, similar to Nazis. In 1960, an anti-apartheid rally was dispersed, leading to the arrest and imprisonment of most leaders. The African National Congress (ANC) led the struggle against apartheid and White minority rule for decades.

The African National Congress (ANC) initially followed a peaceful non-violent struggle but shifted to an armed struggle due to suppressed protests. The ANC trained guerrillas and soldiers, gaining support from African states, the Non-Aligned Movement, and socialist countries. The White rulers of South Africa were forced to negotiate to end apartheid. Nelson Mandela, the vice-president of the ANC, was released from jail in 1990, becoming a symbol of the struggle. The release led to the lifting of ANC bans and repeal of apartheid laws.

Agreements were reached to end racial oppression and hold democratic elections based on one-person-one-vote. In 1994, the first democratic elections were held, with Nelson Mandela becoming the president of the first non-racist democratic government, the Government of National Unity (GNU). This event marked a glorious event in recent world history, marking the liberation of Africa.

5.3.6.3 South America

British and Dutch Colonies in South America

Britain's colonial possessions in South America and the West Indies led to the independence of several countries in the 1960s. The US had economic interests in Latin America, encouraging undemocratic regimes with military influence. The US viewed these regimes as communist-inspired and a threat to its security. Few countries in the region have had a continuous history of elected governments since World War II.

5.3.7 US Interventions against Radical Regimes

Since the late 1940s, radical and left-wing trends have gained power in Latin American countries, forming governments and introducing reforms. However, they are often overthrown through coups, often with US support. Mexico and Cuba are exceptions, with Cuba being a notable exception.

5.3.7.1 Guatemala

Guatemala experienced free elections in 1944 and a reformist government led by Jacobo Arbenz Guzman. This led to social and economic reforms and expropriation of the United Fruit Company, which was a US-dominated economy. The US-supported military coup overthrew this government in 1954, sparking resentment in Latin America. The Cuban revolution in 1959, led by Fidel Castro, led to the fall of Batista's dictatorship. Che Guevara left Cuba in 1965 to help organize a revolution in Bolivia, but was captured and killed by Bolivian troops in 1967.

5.3.7.2 Chile

In the 1970s, Salvador Allende's government in Chile was overthrown by

a military junta led by General Pinochet, supported by the CIA. A brutal military regime remained in power until 1990, when a democratically elected government emerged. Pinochet faced prosecution for human rights violations but escaped prosecution due to his immunity as a senator. The US has intervened in Latin American countries, including Haiti, and the Catholic clergy has become more responsive to social and economic reform. Many priests have actively participated in radical social and political movements.

5.3.8 Recent Changes in Latin America

The US has historically been involved in Latin American internal affairs, recognizing radical regimes prioritizing common people's interests over US companies. However, recent years have seen a loss of US influence, with many adopting leftist governments through free elections. Hugo Chavez, a key supporter of Cuba, may use Venezuela's oil resources to pursue social and economic change policies.

5.3.9 Role of International Organizations

The presence of international organizations like the United Nations, the Non-aligned Movement, G-77 and other regional groups such as ASEAN, OAU etc. have promoted solidarity among the newly independent countries. The UN's role was particularly important in the hastening of the decolonization process. The UN observed the year 1960 as the year of decolonization. In that year alone, about seventeen African countries gained independence from colonial rule. All of them were admitted to the United Nations.



Recap

1. The Second World War had brought about enormous transformations in international relations. The most important being the eclipse of European imperial hegemony and the emergence of the USA and USSR as superpowers.
2. European economies were largely shattered. With this, the classical form of colonialism and imperialism proved to be less viable.
3. Nationalist movements began to become strong and intensive in most of the colonies. In this scenario, the process of decolonization became a reality.
4. The transition of Asian and African colonies to independent sovereign states was not smooth, with European powers often attempting to maintain colonies. Political developments in newly independent countries often became embroiled in cold war politics. The US's foreign policy of 'containment of communism' often intervened, causing political disruptions and derailing the democratic process in these countries.
5. Newly independent nations often face political destinies that disrupt democratic processes. Factors include tribal conflicts, leader interests, military interventions, and monarchies. Some countries remain monarchies.
6. International organizations like the United Nations, Non-aligned Movement, G-77, and regional groups like ASEAN and OAU promote solidarity among newly independent countries

Objective Questions

1. Which country controlled Transjordan and Palestine as mandated territories?
2. Which country had Syria as a mandated territory?
3. Which country had Ruanda Urundi as colonies?
4. What is the voluntary association of former British colonies formed to maintain socio-cultural and economic ties called?
5. What is North Rhodesia now known as?
6. Which party spearheaded the nationalist movement in India?
7. Who were the leaders that signed the Atlantic Charter, a joint declaration by the US and Britain?
8. Which association led the movement for independence in Namibia?
9. Who led the liberation struggle in Palestine?
10. Who started the Hundred Flowers Campaign?

Answers

1. Britain
2. France
3. Belgium
4. Commonwealth
5. Zimbabwe
6. Indian National Congress
7. Roosevelt and Churchill
8. South West Africa Peoples' Organization (SWAPO)
9. Palestine Liberation Organization (PLO)
10. Mao

Assignments

1. Analyze the challenges and obstacles faced by newly independent nations during the process of decolonization. Explore the political disruptions, tribal conflicts, and military interventions that hindered the democratic processes in these countries. Provide specific examples to support your arguments.
2. Evaluate the role of the United Nations in the hastening of the decolonization process. Discuss the initiatives taken by the UN and the impact they had on facilitating the independence of numerous African countries.
3. Analyze the challenges and obstacles faced by newly independent nations during the process of decolonization. Explore the political disruptions, tribal conflicts, and military interventions that hindered the democratic processes in these countries. Provide specific examples to support your arguments.

Suggested Readings

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Unit 4

Post-Industrial Society

Learning Outcomes

Upon the completion of this unit, the learner will be able to:

- ▶ explain post-industrial society and understand its historical context
- ▶ assess the nature and development of the post-industrial Society
- ▶ evaluate the significance of post-industrial societies

Prerequisites

We have already discussed the industrial revolution and the changes that brought in the society. The Industrial revolution had a tremendous effect on the life of the common man, opening up wider vistas of human progress. Great transformation brought about by discoveries and inventions. There was a change in the methods of production and distribution and also mass production of consumer goods with newly invented machines. What began in Great Britain soon spread to other countries of Europe and then to the USA and then to the rest of the world. The Industrial revolution led to the growth of capitalism and industrial society is very much different from the then existing society. Comforts and luxuries in the life of people's increased. After an industrialised society, where the service sector predominates the manufacturing sector, follows, in which cultures, producing tangible commodities is less essential than providing information, services, and cutting-edge technology. In this unit we will discuss the society which replaced the industrial society and dominates in the 21st century.

Keywords

Industrial societies, Post- Industrial societies, Service Sector, White Collar Jobs.

Discussion

5.4.1 Post-Industrial Society

A post-industrial society is a type of society where the focus shifts from making things to providing services, a transition that

is also connected with subsequent societal restructuring. It happens after industrial society and can be seen most clearly in countries like the United States, Western Europe, and Japan, which were among the first to go through the Industrial Revolution.



The term ‘postindustrial society’ is used to describe the structure, changes, and potential future of highly developed industrial societies. Similar to other concepts like postmodern and radically modern society, the idea of postindustrial society aims to understand the significant transformations that advanced industrial societies have undergone since the end of World War II. Sociologists who analyze these societies often try to envision their future, acknowledging that their analyses can influence and shape the course of society.

An industrial society is characterized by the use of mass production technologies in factories to create large quantities of goods, making it the primary mode of production and social organization. In addition to the emphasis on factory production, a genuine industrial society has a specific social structure that enables and sustains these operations. This type of society is typically structured hierarchically based on social classes, and there is a strict division of labour between workers and factory owners.

In a post-industrial society, there is a transition from an economy focused on producing goods to one that primarily provides services. A manufacturing society involves jobs related to construction, textiles, mills, and production, while the service sector includes occupations like teaching, healthcare, law, and retail. In a post-industrial society, technology, information, and services become more significant compared to the production of tangible goods.

The theorists of the 19th century who studied ‘industrial society’, just like the postindustrial theorists later on, aimed to understand the various changes happening around them, often with the intention of influencing the future. For example, Claude-Henri de Saint-Simon in the early 19th century tried to create

a picture of the emerging industrial society, hoping that scientists and industrialists would recognize their important roles in a society driven by scientific knowledge. Similarly, Karl Marx and Friedrich Engels, in the mid-19th century, described the characteristics of industrial capitalism, including the significant role of the working class, even when the factory system in England was still in its early stages and most people worked in agriculture, domestic service, or traditional craft industries. While these theorists may not have been entirely accurate in all aspects, they correctly identified major aspects of industrialization, providing an insightful depiction of a society fundamentally distinct from previous forms of human organization.

The emerging industrial society relied increasingly on technology and machinery for work, experienced significant advancements in communication, transportation, markets, and income, embraced urban living as the norm, witnessed a complex division of labour, saw a growing influence of the state and bureaucratic systems in government and the economy, and observed increasing secularization and rationalization in societal aspects.

5.4.2 Difference Between Industrial and Post-Industrial Societies

1. An industrial society features a labour theory based on value, and industry develops proceeds with the creation of labour-saving devices which substitute capital for labor. In a post-industrial society, knowledge is the basis for invention and innovation. It creates added value, increases returns and saves capital.

2. The infrastructure of a post-industrial society is based on communication whereas the infrastructure of industrial society was transportation.

3. In post-industrial society, production of goods (like clothing) declines and the production of services goes up and in industrial society viceversa.

4. Manual labour jobs and blue collar jobs which are predominant in Industrial society are replaced with technical while professional jobs in post-industrial society.

Post-industrial industrial society experiences a shift from focusing on practical knowledge (industrial society) to theoretical knowledge, involving the creation of new, inventive solutions.

5.4.3 Origin of Post-Industrial Societies

The term 'postindustrial' was first introduced by the American sociologist Daniel Bell in 1973 in his book called 'The Coming of Post-Industrial Society: A Venture in Social Forecasting,' where he discussed various characteristics of a postindustrial society. However, it is worth noting that the French sociologist Alain Touraine had published the first significant work on the concept of post-industrial society in 1969. Additionally, the term was utilized by the social philosopher Ivan Illich in his paper titled 'Tools for Conviviality,' (1973) and it appeared occasionally in the Leftist texts during the mid-to-late 1960s.

Over time, the term has evolved and gained popularity. Today, it is employed by marketers like Seth Godin, public policy experts such as Keith Boeckelman, and sociologists like Neil Fligstein and Ofer Sharone. Even U.S. President Bill Clinton referred to the term when discussing the economic growth in China during a round-table discussion in Shanghai in 1998.

5.4.4 Characteristics of Post-industrial Societies

In a post-industrial society, not only do changes in economic aspects, but values and norms also undergo transformations reflecting the evolving influences on the society. For instance, outsourcing of manufactured goods affects how people perceive and interact with foreigners or immigrants. Moreover, individuals who were previously employed in the manufacturing sector often face challenges in finding a clearly defined social role.

The shift towards post-industrialism has several direct effects on communities. For the first time, the concept of community becomes less associated with geographical proximity and more with dispersed individuals who share similar interests. The advancements in telecommunications and the internet contribute to the rise of telecommuting, leading to people being physically distant from their workplaces and coworkers.

In a post-industrial society, the dynamic between manufacturing and services undergoes a significant shift. With the transition to a service-based economy, manufacturing activities are often relocated and outsourced to industrial economies, meaning they are contracted out to external suppliers. While this might create the perception that the post-industrial society is primarily focused on services, it remains closely interconnected with the industrial economies to which manufacturing is outsourced.

To analyze society, Bell identifies three main components: social structure, culture, and the polity. The idea of a post-industrial society primarily examines changes in the social structure, which include shifts in the economy, technology, and occupational patterns. While the social structure, polity,



and culture can influence each other, it is not assumed that they have a harmonious relationship. In reality, changes in any one of these components can create challenges for the others.

5.4.4.1 Theoretical knowledge

Bell's depiction of post-industrial society focuses on two main aspects: the significance of theoretical knowledge and the growth of the service sector, particularly professional and human services. The central importance of theoretical knowledge is considered the key dimension or principle of post-industrial society. The institutions that best embody this dimension are the university and research institutes. In a post-industrial society, major advancements are more often a result of applying theoretical knowledge, like Albert Einstein's work on the photoelectric effect leading to the development of lasers, holography, and photonics, rather than relying solely on skilled equipment users like Alexander Graham Bell or Thomas Edison. The use of theoretical knowledge increases the importance of higher education, as evidenced by the significant enrollment numbers in colleges and universities and the growing numbers of scientists, engineers, and individuals with advanced degrees. For instance, in the United States, the number of scientists and engineers increased over fivefold between 1939 and 1964, from 263,000 to 1,475,000, as the country transitioned from an industrial to a post-industrial society. Similarly, the percentage of 20- to 24-year-olds pursuing college degrees rose from 4 percent in 1900 to 15 percent in 1940, 26 percent in 1950, and 34 percent in 1960. Estimates also indicate a rise in tertiary enrollment rates, from 32 percent in 1960 to 56 percent in 1980 and 81 percent in 1993 (World Bank 1980, 1997).

In line with the significance of science

and theoretical knowledge, the occupational structure of postindustrial society sees a greater involvement in service-related fields, with particular emphasis on professional and helping services. This entails a rise in employment opportunities in education, science, and engineering, reflecting the society's focus on scientific advancements and education. Additionally, there is an expansion of white-collar jobs and professionals in government and helping services, driven by the growth of the welfare state and increased attention to healthcare.

5.4.4.2 Shift to White-Collar Employment

The rise in white-collar and professional jobs is largely at the expense of agricultural and, to a lesser extent, manufacturing employment. This shift is driven by the changes in relative demand, as disposable income increases, leading to a greater need for services. As people's incomes rise, the proportion of their income spent on food and agricultural goods decreases, and basic manufactured products become more easily accessible. Consequently, there is a relative increase in demand for services like healthcare and education.

Technological innovations also play a role by improving productivity in agriculture and manufacturing, reducing the need for labour in these sectors. However, technical advancements have a limited ability to replace workers in the service sector, even though they enhance productivity. This is particularly evident in healthcare, where technological progress can expand services and create a need for more personnel. Therefore, economic and technological developments result in a shift in consumer demand and labour towards services. It's important to note that the development of a service-oriented post-industrial economy does not mean that agriculture and manufacturing are neglected;

rather, technology replaces many traditional tasks and redirects productive efforts and labour towards the service sector.

5.4.4.3 Importance to Service Sector

In a post-industrial society, the focus is primarily on 'human services' and 'professional and technical services.' This explains why there has been significant employment growth in areas such as education, health, research, development, and data processing. There is also a notable change in women's roles, with increased participation in the formal labour force. The class structure of postindustrial society revolves more around education and technical expertise, which can lead to tensions between expertise and populist sentiments. Political agendas now include issues related to the environment and quality of life.

Technocratic governance becomes more prevalent in organizations, which raises concerns about prioritizing rationalized means over desired outcomes. Corporations face pressure to consider objectives beyond profit maximization. Social planning efforts intensify, accompanied by the challenge of establishing a rational approach to maximize societal benefits. As citizenship expands and various groups seek representation, society becomes more politically charged and marked by conflicts.

These conditions set the stage for shifts in awareness and worldview as individuals encounter an abundance of information and increasingly specialized knowledge. The focus moves away from a world where individuals primarily interact with nature and machines, towards a world where human interaction takes center stage. The mutual understanding and awareness between oneself and others become increasingly significant in shaping one's perception of the world. Within the culture, contradictions may arise between

values emphasizing self-control, discipline, and work as a purposeful endeavour, and emerging post-industrial values centered on consumption and a departure from traditional bourgeois lifestyles.

5.4.5 Significance

Bell and other social analysts present an image of post-industrial society where technological progress enables the development of a society characterized by the growth and utilization of theoretical knowledge. This leads to an expansion of white-collar and professional employment opportunities. The society's commitment to human well-being and social planning contributes to the expansion of the welfare state and human services, further increasing opportunities in these fields. However, tensions and conflicts exist within the social structure and between the social structure, polity, and culture in such a society. Post-industrial theorists aim to describe and shape the future by identifying and addressing these tensions and problems.

Fred Block's contribution to the post-industrial literature emphasizes the role of social analysis in shaping the future. He highlights the importance of individuals having a conception of the society they live in. Block's book focuses on the changing post-industrial economy of the United States and explores alternative possibilities for the future. He suggests that a postindustrial economy, with advanced technology and a significant service sector, would be most productive by deviating from classical economic theory. Block highlights several factors that enhance productivity, including reduced reliance on market forces, cooperation between labour and management, treating capital as part of a productive process involving human organization, incorporating positive and



negative utilities in measures of economic well-being, and utilizing hybrid forms of market and regulatory mechanisms. His work extends post-industrial theory to traditional economic domains such as labor, capital, and economic output measurement. It represents a revival of analyzing post-industrial society, potentially aligning with the concept of postmodern society.

5.4.6 Impact on Society

The importance of theoretical knowledge as the cornerstone for new technologies, economic development, and social stratification is emphasised by the post-industrial society. With property and inheritance serving as the historical basis of power, it aims to discern changes in social structure. Technical proficiency and education also become crucial, perhaps even surpassing them. Karl Marx emphasised the significance of scientists and engineers in reshaping society.

The organisation of science and primary institutions, like universities and research institutes, is the key problem in the post-industrial society. Steel output served as the primary barometer of a nation's industrial capabilities during the 19th and early 20th centuries. Since the end of World War II, scientific ability has replaced steel as a barometer of strength, determining potential and power. Only 15% of the working population still works in the industrial proletariat, which is comparable to the 5% or fewer of sophisticated civilizations that are engaged in agriculture.

The transition to services has greatly increased the range of a population's competencies and capabilities, especially in the areas of health, education, and social services. With 10.3 million workers in this occupational area in 1968, it has seen tremendous growth

since then. Teachers, medical personnel, scientists, engineers, and technicians make up the major occupational categories. With their share increasing from 17.6% in 1900 to 46.7% in 1968, white collar employees have likewise seen increase. With 20% of black men working in professional, technical, and clerical professions in 1968 compared to 43% of white males in comparable positions, even the most disadvantaged group, blacks, has had an influence on the professional world.

As more women entered the professional and service sectors, the move to the service sector signalled a fundamental change in society. By 2000, women accounted for nearly 60% of service sector workers, changing the way issues pertaining to daily living were defined. With childcare and nursery becoming increasingly necessary, managing work and family has become essential. Additionally important became community support and appropriate neighbourhood schools. The focus shifted to maternity benefits and maternal care, which addressed unresolved medical problems.

5.4.7 Views and Criticisms

It is worth comparing the views of J.K. Galbraith with regards to this emerging society. Galbraith referred to it as the new industrial state, focusing on how new technology has intertwined with multinational corporations and the state. He highlights that we have become heavily reliant on machines, both in our thoughts and actions. Galbraith agrees with Daniel Bell that technology has developed its own momentum. As technology integrates with the military-industrial complex, the economic role of the state becomes more diverse. Galbraith sees a shift from capitalism to industrialism, where mature corporations replace competitive market forces and promote planned economic behavior. He also

suggests that these large corporations can merge with the state. It is important to note that Galbraith's perspective is influenced by the developments of the 1960s and 1970s, while Bell focuses more on the changes of the 1980s and 1990s.

Bell emphasizes the process of political fragmentation as corporations expand their activities overseas. With the end of the Cold War in the 1990s, the military-industrial state's previous influences diminish, leading the society in a new direction. This new society exhibits optimism in utilizing technology to meet daily needs and shows a movement towards freeing human life from technocratic constraints. However, it is essential to recognize that the technocratic legacy still persists, as pointed out by Marcuse, where technologically-driven thought patterns remain prevalent. Bell highlights the potential promises of this society, but it is equally important to acknowledge that the pursuit of the 'good life' comes at a cost. The price we pay includes the detachment of our belief systems from nature, presenting them as abstract logical or mathematical symbols.

However, it is essential to acknowledge criticisms of the concept of post-industrial society. One critique revolves around the perceived overemphasis on the role of theoretical knowledge in decision-making. While critics recognize the increased importance of formal knowledge, they argue that technical experts and scientific knowledge have not assumed the central decision-making role in government or corporations as post-industrial theorists suggested. Political dynamics from the industrial era still persist within government, and within corporations, the expertise and knowledge of individuals are largely integrated into the corporate bureaucracy. Additionally, critics highlight that although there may be

more scientists, individuals with advanced education, and increased investment in research and development, these factors may not necessarily correlate strongly with a commensurate increase in the quantity and effective utilization of theoretical knowledge.

Critics raise concerns about the emphasis placed by post-industrial theorists on the service sector, as well as white-collar and professional work. While acknowledging the growth of the service sector, critics question the attention given to it by post-industrial theorists. They remind us that the service sector has always been a significant part of pre-industrial and industrial societies, with the majority of service employment being in low-skilled and low-paid jobs. They argue that the increase in white-collar and professional employment is a result of dynamics embedded in industrial society. Moreover, most of the growth in white-collar and professional jobs pertains to clerical positions, teaching, nursing, and similar roles that offer less autonomy and income compared to traditional professional occupations. Importantly, critics contend that focusing on the service sector fails to acknowledge the crucial role that manufacturing would continue to play in a post-industrial economy, including the interdependence between the services and manufacturing sectors.

In response to these criticisms and others, it can be noted that post-industrial theory often recognized the points raised by the critics. For instance, it acknowledged that political factors can influence economic trends, that the majority of services involve low-skilled and low-paid labor, and that a robust manufacturing sector remains crucial for a large economy like that of the United States. However, post-industrial theory chose to focus on other developments that may offer insights into the future of advanced industrial



society. Another response to criticisms is that critics themselves have acknowledged the validity of certain aspects of post-industrial claims, such as the increasing role of formal and theoretical knowledge, the importance of technological advancements in information processing, and the growth of a service sector with a significant number of white-collar and professional workers. The disagreements between post-industrial theory and its critics mainly revolve around the overall depiction of society provided by post-industrial theorists: whether this society should be viewed as a new type of society or as a logical continuation of advancing industrialization.

A post-industrial society is primarily characterized by a high-technology economy. However, this type of economy tends to exacerbate the relative gap between wealthy and impoverished nations. Arnold Toynbee coined the term ‘external proletariat’ to describe the effect of this widening disparity. As we approach the end of the 20th century and the beginning of the 21st, the divisions between the ‘south’ and the ‘north’ or the Third World (including the Fourth and Fifth) and the Industrial First World (and even the Communist Second World) will increasingly shape global politics. The consequences of this aspect of post-industrial society are challenging to predict accurately.

Recap

- ▶ Post-industrial society shifts focus from production to services
- ▶ Postindustrial society describes structure, changes, and future of developed industrial societies
- ▶ Post-industrial society transitions from manufacturing economy to service economy, prioritizing technology, information, and services over tangible goods production
- ▶ Difference between industrial and post-industrial society-Industrial society prioritizes value-based labor, while post-industrial society emphasizes knowledge-based invention, innovation, and communication. Production shifts from manual labour to technical, professional jobs, and focuses on theoretical knowledge
- ▶ ·The term ‘postindustrial’ was first introduced by American sociologist Daniel Bell in 1973, followed by French sociologist Alain Touraine’s 1969 work, social philosopher Ivan Illich’s 1973 paper, and occasionally appearing in Leftist texts from the mid 1960s
- ▶ Society is paying more attention to the theoretical and ethical implications of new technologies, avoiding negative features like environmental accidents and power outages
- ▶ Post-industrial society involves technological progress, increased employment opportunities, and human well-being
- ▶ ·Critics of post-industrial society argue that it overemphasizes theoretical knowledge in decision-making, overlooks the importance of formal knowledge, and overlooks the service sector and white-collar and professional work. They argue

that the growth of the service sector is due to industrial dynamics and the interdependence between services and manufacturing sectors.

- ▶ Post-industrial theory acknowledges political factors and the importance of a robust manufacturing sector, but disagrees on whether it should be viewed as a new type of society or a continuation of industrialization.

Objective Questions

1. What do you mean by industrial society?
2. Who introduced the term Post- industrial?
3. Who is the author of ‘The Coming of Post-industrial Society: A Venture in Social Forecasting’?
4. What do you understand about post-industrial society?
5. Mention any one of the characteristics of post-industrial society?
6. Name the French sociologist who published the first significant work on the concept of post-industrial society in 1969.
7. The post-industrial society is designated as?
8. Write an example of a post- industrial society.

Answers

1. Society which prioritised the use of equipment to produce things in large quantities
2. Daniel Bell
3. Daniel Bell
4. The service sector predominates the manufacturing sector
5. The replacement of blue-collar manual labourers with technical and professional workers
6. Alain Touraine
7. Information
8. USA



Assignments

1. Discuss the difference between industrial and post-industrial society.
2. Evaluate the characteristics and significance of post- industrial society.
3. Discuss the critiques of post- industrial society.

Suggested Readings

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BLOCK - 06

Contemporary Capitalism

Unit 1

Globalization

Learning Outcomes

After completing this unit, the learner will be able to:

- ▶ explain globalization and understand its historical context
- ▶ analyze the economic, social, political, and cultural dimensions and the impacts of globalization
- ▶ identify the role of technology, transportation and communication in the process of globalization

Prerequisites

Unlike the previous generations, you might have noticed the sudden surge in following international trends by the young generation. Most of them are connected to people from different parts of the world through social media platforms such as Facebook, Instagram and so on. They share dress patterns and follow the dance steps and music of another country. Further, it is easier these days to get products of your choice, even if they are produced in a faraway country. We have become consumers with a variety of choices in goods and services. The latest models of automobiles, mobile phones and many such products from manufacturers of international repute are available at the click of a mouse. With these fast-forwarding changes, the world has been subjected to transformations socially, economically, politically and culturally during the last fifty years. These can be seen as the effects of globalization. In this unit, let us discuss the phenomenon of globalization and examine how it brings a rapid transformation to this world and its cumulative effects.

Keywords

Market, Globalization, Technology, Transportation, Communication, Multinational Companies, Economic Globalization, Homogenization, Cultural heterogenization

Discussion

Globalization is an explicit expression and effect of contemporary capitalism, which integrates the regional and national markets, making it a world market economy. Multinational Companies or Corporations (MNCs) play a significant role in the globalization process. Through its trading activities and investment projects in various parts of the world, it has interconnected most parts of the world.

Have you ever checked the tags of the products you buy? The backside of these tags shows the details of the company and the place of its manufacture. In some tags, especially in the case of an international brand, there are additional details of the local place of the product or where the manufacturer is given. This will clearly indicate the fact that several international companies have their production units in many countries, which gives a clear idea of the shades and range of globalization. Many factors which accelerate the globalization process include the rapid advancement of technology, coercion from international organizations and the liberalization of investment and trade policies.

Globalization accounts for the free movement of ideas, commodities, capital and people. However, the ideas and capital flowing from one part of the world to other, commodities being traded to different parts of the world, and the migration of people to find better opportunities and livelihoods are not new concepts. The world has been connected in this manner in the capitalist order for a long time. What is particular about contemporary globalization is the pace of the constant flow of these elements. Nevertheless, the scale and speed of these flows increased phenomenally due to the advancement of technology.

6.1.1 Emergence of Globalization

The origin of globalization can be traced back to the early modern period and its development through different phases of capitalist expansion. In the early modern period, the European powers began to establish overseas empires and engage in long-distance trade with other regions of the world. The Age of Discovery, which began in the 15th century, marked a new phase of globalization as European explorers and traders ventured beyond their borders and encountered new lands, peoples, and cultures. The conquest of America by Spain, Portugal, and other European powers led to the exploitation of natural resources, such as gold, silver, and sugar. It also put in place a kind of forced labour of indigenous and imported people, particularly from Africa. This period also saw the rise of mercantilism, a system of state-controlled trade and industry that aimed to maximise national wealth and power through policies such as tariffs, subsidies, and monopolies.

Colonialism, slavery, and mercantilism shaped the global economy and facilitated the flow of goods, capital, and labour across the world. However, the scale and intensity of globalization have increased significantly in recent decades as new technologies and economic policies have made it easier and more profitable to trade across national borders.

The Industrial Revolution, originating in Britain in the late 18th century, revolutionized global transportation by introducing new machines, technologies, and production modes. This led to increased productivity and reduced costs, as well as the growth of cities, wage labour, and social conflicts like class struggles and anti-colonial nationalism.



The spread of industrialization to Europe, North America and Asia further accelerated globalization by creating new markets, supply chains, and transportation modes.

The 19th century saw the rise of industrial capitalism and imperialism, accelerating globalization. The 20th century saw the expansion of multinational corporations, liberalization of trade, financial markets, and communication technologies. The creation of the International Monetary Fund, World Bank, and World Trade Organization facilitated an interconnected global economic system. However, this phase also faced challenges like environmental degradation, social inequality, and cultural diversity.

The contemporary phase of globalization has been characterized by the liberalization of trade, finance, and investment and the emergence of new technologies that have facilitated the integration of markets and the flow of information. The current wave of globalization, which began in the 1980s, is characterized by the rapid growth of international trade and investment, the spread of information and communication technologies, and the emergence of new global players.

Today, Globalisation has become a reality of life for individuals all around the world. It has brought about many benefits, including increased economic growth, greater access to goods and services, and new opportunities for cultural exchange. However, it has also led to many challenges, including growing inequality, environmental degradation, and social dislocation.

6.1.1.1 Characteristics of Globalization

Globalization refers to the increasing interconnectedness and interdependence of the world's economies, societies, and

cultures. It is a complex phenomenon that has had significant implications for the social formation of the world. Here are some of the key characteristics of globalization with respect to its impact on social formations:

1. **Increased Interconnectedness:** One of the key characteristics of globalization is the increased interconnectedness of people, communities, and nations. Advances in technology and transportation have made it easier for the people to communicate and exchange goods and ideas across borders. This has led to the emergence of global networks and communities that transcend national boundaries.
2. **Homogenization:** Globalization has also led to the homogenization of cultures and social practices. The spread of Western culture and values through popular media and multinational corporations has led to the erosion of local traditions and customs. This has led to the concerns about the loss of cultural diversity and the emergence of a global monoculture.
3. **Uneven Development:** Globalization causes uneven development, with some countries experiencing rapid growth, while others remain behind, resulting in growing inequalities, with the wealthiest individuals benefiting the most.
4. **Increased Mobility:** Globalization has also led to increased mobility of people, goods, and ideas. This has led to the emergence of transnational communities and identities, as well as the spread of diseases and environmental problems across borders.
5. **Power Dynamics:** Finally, globalization has shifted power dynamics in the world. Multinational corporations and international organizations have gained significant influence over national gov-

ernments and policies. This has led to concerns about the erosion of national sovereignty and the rise of global governance structures that may not be accountable to ordinary citizens.

6.1.1.2 Role of Technology, Transportation and Communication

Technology, transportation, and communication have been instrumental in facilitating the process of globalization. The development of transportation technology, such as ships and trains enabled people to travel faster and further than ever before. This, in turn, facilitated the exchange of goods and ideas across the different regions and cultures. For example, the Silk Road, which connected China with Europe and the Middle East, facilitated the exchange of goods such as silk, spices, and ceramics, as well as the transmission of ideas and knowledge between different civilizations.

The industrial revolution in the 18th and 19th centuries introduced new technologies like steam power and telegraphs, enabling globalization. These advancements made it easier to transport goods and people, facilitate communication, and enable real-time communication across vast distances. The telephone and internet further revolutionized communication, enabling real-time communication across regions.

Transportation is crucial in globalization, as air travel and shipping have made global travel easier. Low-cost airlines have made air travel more affordable, allowing more people to travel for business or leisure. The shipping industry enables businesses to trade goods globally, with global brands like Apple and Nike manufacturing products in different countries and shipping them to customers worldwide.

As technology continues to evolve, it is likely that globalization will continue to progress, enabling people and businesses to interact and trade with each other on a global scale. Social media platforms like Facebook, Twitter, and Instagram enable users to connect and promote products and services globally. Telecommunication advancements, like Zoom and Skype, enable real-time communication, allowing for easy business meetings and interviews regardless of location.

6.1.1.3 Political Dimensions of Globalization

Globalization is a multi dimensional phenomenon. Even though the economic aspect is widely discussed, it has manifestations in social, cultural and political arenas. The impact of globalization depends on the context, as it affects different societies in different ways. Global events have repercussions or impacts on the regional or local level. Politically, globalization affects the earlier concepts of state sovereignty as it limits the ability of the state to an extent. The state, which was considered to function for the economic and social welfare of the citizens, has been reduced to mere functionaries of law and order and national security. Although the state remains unchallenged and retains its most important political entity, it is deliberately withdrawing from certain areas it desires. Moreover, the major attention is now focused on the market. Multinational Companies have influenced the decisions of governments.

Apart from the political impact of globalization on the decision-making of the government, the ability of the state increased when it began to adopt advanced technologies in governance. Through access to technology, it gathers the information of the citizens at its fingertips. As a result, the state became more powerful with technology than it was earlier.



6.1.1.4 Economic Dimensions of Globalization

Globalization has transformed the global economy in profound ways. It has created new opportunities for trade and investment, increased competition, and facilitated the spread of technology and innovation. However, globalization has also contributed to the concentration of wealth and power, the erosion of labour standards, and the displacement of workers in certain sectors.

Economic Globalization is a term which denotes the major economic flows in the world among different countries. International organizations like the WTO and IMF play a crucial role in shaping global economic policies. Economic globalization coercively influences dominant countries, affecting the actors who gain and those who lose. Globalization has reduced import restrictions and capital flow constraints, allowing wealthy nations to invest in developing countries, expecting higher returns.

The exchange of ideas across international borders has also been facilitated by globalization. This is well illustrated by the growth of the Internet and computer-related services. However, the migration of people throughout the world has not increased to the same extent as a result of globalization. To prevent foreign nationals from grabbing the jobs of their own residents, developed nations have closely guarded their borders via visa regulations.

Globalization's effects on the world are not universally applicable, as different outcomes are influenced by the economic policies of governments. Social justice advocates are concerned about the disengagement the government adopts due to globalization, particularly for vulnerable populations relying on state welfare. To mitigate the negative

effects, they emphasize the importance of institutional safeguards and demand a halt to forced globalization, as it could lead to financial devastation for weaker nations, particularly the poor. Some economists have compared globalization to a new wave of colonization or 'recolonisation'.

Those who advocate economic globalization contend that deregulation leads to increased economic growth and improved living conditions for larger sections of the population. The increased international trade will benefit the entire world's economies. They further contend that economic globalization is a historical process, and hence it is futile to thwart it. There are also arguments that the challenge posed by globalization has to be rationally addressed rather than blindly followed. However, it is significant to note that globalization has accelerated the interconnectedness and integration of companies, people and governments across the globe.

6.1.1.5 Cultural Dimensions of Globalization

Apart from the political and economic arena, globalization has an effect on our daily life. It determines our thoughts, food habits, and dressing preferences. Critics argue that this leads to the imposition of dominant culture on others. Western culture's privileges and dominance over poorer societies are evident in the standardization of food and dress patterns. However, this does not necessarily obliterate traditional cultures, as they cannot easily replace them. Exposure to these habits increases people's choices and sometimes results in cultural exchange rather than one-sided imposition.

Another argument which supports the effect of globalization is that such homogenisation leads to an opposite effect of increasing cultural

differences and distinctiveness through a process known as cultural heterogenization. It is important to acknowledge that power imbalances may persist in cultural interactions. All cultures involved in the exchange are likely to be affected and transformed in some way, i.e., it is typically a two-way process.

Globalization has transformed the culinary and fashion landscapes, introducing new tastes and options while preserving traditional dishes. Cultural interactions through globalization create unique food cultures

while retaining flavors and local preferences. Fashion trends from specific cultures, such as traditional garments and distinctive styles, gain global recognition and influence designers worldwide. However, these influences are often combined with local aesthetics and preferences, resulting in diverse expressions. For example, the fusion of Western and traditional Indian clothing in Indo-Western attire demonstrates globalization's ability to preserve and reimagine cultural fashion identities.

Recap

- ▶ Globalization and integration of regional and national markets
- ▶ Multinational companies and interconnectedness of far regions
- ▶ Globalization and the flow of ideas, commodities, capital, and people
- ▶ Historical origins of globalization: From the age of discovery to industrial revolution
- ▶ Waves of globalization: From industrial capitalism to contemporary liberalization
- ▶ Drivers of contemporary globalization: Trade, Finance, and Technology
- ▶ Characteristics of globalization: Increased interconnectedness, homogenization, uneven development, increased mobility, power dynamics
- ▶ Impact of the globalization on economy and political impact on state sovereignty
- ▶ The impact on vulnerable populations and calls for institutional safeguards
- ▶ Proponents argue for increased economic growth and benefits for all
- ▶ Impact of globalization on the cultural diversity
- ▶ Homogenization vs Heterogenization of cultures
- ▶ The advancement of technology and the acceleration of globalization
- ▶ Modern communication technologies enabling global connectivity
- ▶ Social media platforms and global business promotion
- ▶ Advancements in telecommunication technology
- ▶ Transportation industry enabling global mobility



Objective Questions

1. Which technology emerged during the industrial revolution that facilitated globalization?
2. What are some social media platforms that have enabled individuals to connect and engage with people from different parts of the world?
3. Mention three key factors that have facilitated globalization.
4. Which ancient trade route facilitated the exchange of goods and ideas between China and Europe?
5. How did the development of the telephone and internet revolutionize communication?
6. How has globalization impacted cultural exchange?
7. How did the spread of industrialization to other parts of Europe, North America, and Asia further accelerate the process of globalization?
8. Mention any three characteristics of globalization?
9. What does the term 'Economic Globalization' denote?
10. Which are the major features of the current wave of globalization, which began in the 1980s?

Answers

1. Steam power and telegraphs
2. Facebook, Twitter, and Instagram
3. Technology, transportation, and communication
4. The Silk Road
5. By enabling people to communicate with each other in real time, regardless of their location
6. By enabling people from different regions and cultures to interact, exchange ideas, and learn from each other
7. By creating new markets, supply chains, and modes of transportation
8. Increased interconnectedness, homogenization and increased mobility
9. The major economic flows in the world among different countries
10. The rapid growth of international trade and investment, the spread of information and communication technologies, and the emergence of new global players

Assignments

1. Evaluate the role of technology, transportation, and communication in facilitating globalization. Provide examples to support your argument.
2. Assess the influence of globalization on the evolving role of the state in developing nations, with a critical focus on its effects.
3. Critically analyze the impact of social media platforms such as Facebook, Twitter, and Instagram on globalization.
4. To what extent does globalization promote cultural heterogeneity?

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Unit 2

Liberalization

Learning Outcomes

After completing this unit, the learner will be able to:

- ▶ define liberalization and its significance in modern history
- ▶ outline the impact of liberalization on society, politics, and the economy
- ▶ explain the pros and cons of liberalization
- ▶ evaluate the relationship between liberalization and globalization

Prerequisites

Have you ever wondered why some countries have more rules and restrictions than others? Or why do some businesses thrive while others struggle? Well, liberalization is one of the key factors that shape our modern world, from economics to politics and social issues. Liberalization is a term used to describe the process of loosening or removing government regulations and restrictions in various domains of society, including economic, political, and social spheres. The liberalization process has been associated with various global transformations, including the rise of neoliberalism, the expansion of globalization, and the proliferation of technology.

Globalization, privatization, liberalization, and multinational corporatization are interconnected processes that have occurred simultaneously in world history, focusing on the economy. Liberalization reformulates the relationship between the state and the economy, emerging in the late 20th century. It promotes economic growth and development by opening markets for competition and removing trade barriers. Studying liberalization is crucial for understanding contemporary social formation and broader trends shaping modern society. This unit discusses the concept of liberalization and its impact on socio-political and economic spheres.

Keywords

Liberalism, Free market economy, Deregulation, Privatization, Neoliberalism, Globalization, Cultural Homogenization

Discussion

6.2.1 Features of Liberalization

Liberalization is a multifaceted concept that has been implemented in various domains of society over the past few decades. As mentioned above, Liberalization is the process of removing or loosening government regulations in various aspects of society, including economic, political, and social spheres. Its main objective is to reduce government intervention and promote individual liberty, equality, and protection of rights. The economic goal is to shift towards a market-based, service-oriented system, promoting private and foreign investment. This is achieved through enhancing trade, competitiveness, corporate power, and foreign equity participation through changes in taxation, trade barriers, and investment regulations.

Through the elimination of barriers to trade and investment, as well as the removal of government regulations and restrictions that limit economic activity, liberalisation enables businesses to operate more freely, expand their operations, and access new markets. Some of the key features of liberalization include:

- ▶ Free movement of capital
- ▶ Dramatic increase in productivity and economic wealth
- ▶ Promotion of corporatism
- ▶ Encourages enormous domestic production

6.2.2 Origin and Development of Liberalization

Before venturing into a detailed discussion on the concept of liberalization, it is necessary to have a basic understanding of the term 'liberalism' in its broader sense. Liberalism, in the simplest terms, refers to a political

ideology that emphasizes the freedom and autonomy of the individual. It asserts that the state must have limited control over the lives of citizens, and individuals should have the right to self-determination. The concept of liberalization is closely associated with the broader political and philosophical ideology of liberalism, which has a long and complex history.

The historical context of liberalization can be traced to the Enlightenment period of the 18th century when the ideas of individualism and free markets gained prominence. The Enlightenment was a period of intellectual and cultural awakening, promoting individual rights and freedom, opposing monarchy and Church rule. This period laid the foundation for liberalism, which became dominant in Europe and North America in the 19th and 20th centuries. Liberal thinkers like Mill and Smith emphasized free markets, democracy, and individualism as key to social and economic progress.

In the 19th century, liberalism developed into a political movement, with liberals advocating political and social reforms aimed at promoting individual liberty and equality. They called for the extension of voting rights, the abolition of slavery, and the protection of civil liberties such as freedom of speech and religion.

By understanding the principles of liberalism, one can better analyze the impact of liberalization on society, politics, and the economy. The post-World War II era saw liberalization gain momentum as the US became a global superpower, championing free markets and individualism. The Bretton Woods system, led by the US, established the US dollar as the global reserve currency, promoted free trade, investment and removed trade barriers, resulting in rapid global economic growth.



In the 20th century, liberalism underwent several changes, with the emergence of different strands of ideology. Classical liberalism, which emphasized free markets and individualism, was challenged by social liberalism, which prioritized social welfare and equality. The 1970s saw the rise of neoliberalism, which emphasized the role of the free market in promoting economic growth and individual freedom. Neoliberal policies sought to reduce government intervention in the economy and promote deregulation, privatization and free trade. The neoliberal agenda was championed by international organizations such as the International Monetary Fund (IMF) and the World Bank, which promoted Structural Adjustment Programs (SAPs) in developing countries as a means of promoting economic liberalization and growth.

The Soviet Union was characterized by central planning, state ownership of the means of production, and strict government control over economic activity. The collapse of the Soviet Union led to the spread of liberalization and the adoption of market-based economic systems in many countries of Eastern Europe and Central Asia.

6.2.3 Forms of Liberalization

6.2.3.1 Economic liberalization

Economic liberalization, a common form of liberalization, reduces government regulation and control over the economy. Implemented in countries like the US, China and India, it leads to increased trade, foreign investment and economic growth. However, it also increases inequality, exploitation and environmental degradation. Many countries adopt policies promoting free trade and market competition, promoting innovation and efficiency, leading to increased productivity and economic growth.

Economic liberalization can be divided into deregulation, which removes government restrictions on businesses and industries, such as reducing taxes and simplifying bureaucratic procedures. Deregulation promotes entrepreneurship and investment, leading to job creation and economic growth. On the other hand, privatization involves transferring control of state-owned enterprises to the private sector, such as selling off public utilities and industries like transportation and telecommunications. This allows government or public institutions to access the capital market, promoting competition, efficiency and innovation. Supporters of privatization argue that it leads to lower costs, better services for consumers and innovation, ultimately leading to new industries and economic opportunities.

However, critics argue that economic liberalization can also have negative consequences, including job loss, income inequality, and environmental degradation. They also argue that it can lead to a concentration of wealth and power in the hands of a few individuals or corporations.

6.2.3.2 Political liberalization

Political liberalization involves reducing government control over political institutions and increasing democratic participation. It has been linked to democratic transitions, such as the Arab Spring in the Middle East and North Africa, the collapse of the Soviet Union in Eastern Europe and the end of apartheid in South Africa. The proponents argue that political liberalization promotes social and political stability, civic engagement and respect for individual rights and freedoms. However, it can be complex and challenging, especially in countries with long histories of authoritarian rule or political violence. The Arab Spring, a series of pro-democracy uprisings, exemplified the potential and

complexities of political liberalization. The process of establishing democratic institutions can be slow and difficult with challenges such as power struggles, sectarian tensions and the reassertion of authoritarianism in countries like Egypt and Syria.

6.2.4 Effects of Liberalization

As we discussed, liberalization has had significant effects on various aspects of society, including economic, political and social domains. The effects of liberalization have been both positive and negative and understanding these effects is crucial in comprehending the implications of liberalization on social formation in the world.

6.2.4.1 Economic Effects of Liberalization

Economic liberalization has led to increased competition and market-oriented policies, leading to the growth of economies and the expansion of global trade. Countries that have liberalized their economies have experienced economic growth and improved living standards. For example, India and China are considered to have benefited from economic liberalization policies, leading to their rise as global economic powers.

However, the negative effects of economic liberalization cannot be ignored. Liberalization policies have also led to the exploitation of workers, reduced job security and increased inequality, particularly in developing countries. The rise of neoliberalism, which emphasizes the importance of market forces and limited government intervention has led to the concentration of wealth in the hands of the few, exacerbating economic inequality. The privatization of public services, such as healthcare and education has made access to these services more difficult for marginalized communities.

6.2.4.2 Political Effects of Liberalization

Political liberalization has led to the expansion of democratic principles and the growth of civil society. In many countries, liberalization has led to the establishment of democratic institutions such as free and fair elections, independent media, and the rule of law. However, the potential for authoritarianism also exists, as liberalization has led to the concentration of power in the hands of a few individuals or groups, particularly in countries with weak institutions and governance structures.

For example, in countries like Hungary, the rise of populist leaders and their anti-democratic policies have led to the erosion of democratic institutions and the restriction of civil liberties. In such cases, liberalization has been used as a means to consolidate power rather than promote democratic principles.

6.2.4.3 Social Effects of Liberalization

The social implications of liberalization include the widening of the gap between the rich and poor and cultural changes. Economic liberalization has led to increased inequality, with the concentration of wealth in the hands of the few. This has led to the marginalization of certain groups, particularly women and minority communities. It is considered that the liberalization policies have also led to cultural changes, such as the spread of Western consumer culture, leading to the erosion of traditional cultural practices and values.

For example, it is argued that the spread of global fast-food chains has led to the decline of local food cultures, and the rise of social media has led to the spread of Western cultural values and lifestyles. However, liberalization has also led to the spread of human rights and gender equality, particularly in countries where traditional patriarchal values dominate.



6.2.5 Liberalization across the countries

Liberalization policies have been successful in various countries, with some experiencing significant economic growth and development while others have negative social and economic consequences. The Reagan Revolution in the United States in the 1980s was a notable example of liberalization, implementing neoliberal policies like tax cuts, deregulation, and privatization to stimulate economic growth and reduce government intervention. However, these policies also exacerbated income inequality and declined social welfare programs.

China's Deng Xiaoping's 1980s economic reforms led to significant growth and development, but were accompanied by crackdowns on political dissidents and limitations on freedom of expression and civil liberties. Liberalization refers to removing government regulations and restrictions to encourage greater economic growth and foreign investment. In India, the 1990s liberalization saw a shift towards a market-oriented economy, resulting in increased foreign investment but also increasing income inequality and a lack of adequate social welfare programs.

India's liberalization policy, initiated by finance minister Dr. Manmohan Singh in 1991, aimed to open the Indian economy to foreign investors and companies, allowing greater access to markets. This policy has led to increased foreign trade, foreign direct investment, and job opportunities. Deregulation, removing the need for government licenses, increased competition in the Indian economy. However, liberalization can also worsen income inequality and have negative social and political consequences. Countries like Chile, Mexico, and Russia

have implemented liberalization policies with varying success rates. Studying these case studies can provide a comprehensive understanding of the effects of liberalization in different contexts and emphasize the importance of considering social, political, and economic consequences.

6.2.6 Criticism

Liberalization has been a controversial topic with a range of critiques from various sectors of society. These critiques have been levelled against the economic, political, and social impacts of liberalization, as well as the ideological underpinnings of liberalism. It is important to understand these critiques in order to have a nuanced understanding of the impacts of liberalization and to consider alternative policies that may be more equitable and sustainable. In this section, we will discuss some of the critiques of liberalization from different perspectives.

Liberalization is criticized for increasing inequality, concentrating wealth in a few individuals or corporations, and negatively impacting social welfare programs like healthcare and education. Critics argue that it also leads to worker exploitation, environmental destruction, erosion of traditional values, and homogenization of culture.

Critics argue that liberalization has increased social inequality, with a small elite benefiting at the expense of the wider population. Neoliberal policies have eroded worker rights, dismantled social safety nets, and led to precarious work. Additionally, liberalization has enabled multinational corporations to exploit workers in developing countries, further impoverishing marginalized communities.

Critics argue liberalization has led to job outsourcing and economic growth, while trade liberalization has led to loss of sovereignty, as national governments are forced to abide by unfavorable international agreements. Social and environmental activists argue that liberalization has led to commodification of natural resources, environmental degradation, and exploitation of indigenous and marginalized communities. Deregulation policies have exacerbated these issues, as corporations extract resources without considering social and environmental impacts.

6.2.7 Debates on Liberalization

Some of the most pressing debates surrounding liberalization today concern the role of the state in economic liberalization, the impact of liberalization on cultural identity and diversity, and the relationship between globalization and liberalization.

6.2.7.1 The Role of State

Those who advocates economic liberalization argue that the state should play a minimal role in economic affairs, allowing the market to dictate economic activity and outcomes. On the other hand, critics of liberalization argue that the state must play a more active role in regulating the market, and protecting the interests of workers, consumers, and other stakeholders. Others argue that the state should be responsible for ensuring that liberalization does not lead to social and economic inequalities, environmental degradation, and other negative outcomes.

6.2.7.2 Cultural Homogenization

Liberalization has led to the homogenization of cultural practices and identities, as Western cultural values and products have spread around the world. On the other hand, liberalization

has actually led to greater cultural diversity, as local cultures and identities have been able to flourish alongside global cultural trends. The debate over cultural identity and liberalization is particularly relevant in the context of globalization, as increased economic and cultural interconnectedness has led to both the spread of global cultural values and the strengthening of local cultures.

6.2.8 Globalization and Liberalization

As we discussed above, Liberalization refers to the process of removing restrictions and limitations on private activities in a country's economic policies. This leads to increased international competitiveness and the relaxation of regulations for production, distribution, and buying and selling. Globalization, on the other hand, involves the integration of the domestic economy with the world economy. Both processes are mutually interlinked, with globalization promoting economic growth, cultural exchange, and technological advancement. However, it has also led to increased inequality, exploitation, and environmental degradation.

Understanding the relationship between liberalization and globalization is crucial for understanding the complex relationship between economic policies, social inequality, and environmental sustainability in the global context. Critics argue that globalization can undermine liberalization principles by creating a race to the bottom in labour standards, environmental protections, and regulatory measures. Additionally, globalization has led to a concentration of power in the hands of multinational corporations and wealthy individuals, which undermines democratic institutions and values.



Recap

- ▶ Definition of liberalization
- ▶ Goals and means of liberalization
- ▶ Relation between liberalization and liberalism
- ▶ Historical context of liberalization
- ▶ The emergence of different strands of liberalism in the 20th century
- ▶ Political and Economic liberalization
- ▶ Privatisation
- ▶ Effects of liberalization- Economic, social and political
- ▶ Case studies of liberalization - United States, China and India
- ▶ Criticism on liberalization - environmental degradation, social inequality, outsourcing of jobs, homogenization of culture, the commodification of natural resources
- ▶ Contemporary debates on liberalization - the role of state
- ▶ Globalization and liberalization

Objective Questions

1. What is liberalization?
2. What is liberalism?
3. What is the major goal of liberalization in economic terms?
4. Who were some of the liberal thinkers who promoted free markets, democracy, and individualism as the key to social and economic progress
5. What is privatization?
6. Which regions experienced democratic transitions due to political liberalization?
7. What are the positive effects of economic liberalization?
8. What is neoliberalism?
9. Name one country that has experienced negative social and economic consequences of liberalization policies.
10. What was the Reagan Revolution?

Answers

1. The process of removing or loosening government regulations and restrictions in various domains of society
2. A political ideology that emphasizes the freedom and autonomy of the individual
3. A shift in the economy towards a more market-based and service-oriented system while promoting private and foreign investment
4. John Stuart Mill and Adam Smith
5. Transferring control of state-owned enterprises to the private sector
6. Middle East and North Africa, Eastern Europe, and South Africa
7. Economic growth and improved living standards
8. An economic theory that emphasizes the primacy of market forces and limited government intervention
9. India
10. A series of neoliberal policies implemented in the United States in the 1980s

Assignments

1. Discuss the positive and negative impacts of economic liberalization on developing countries.
2. How has the liberalization of trade affected the cultural identity and diversity of different countries? Analyze the role of globalization in the spread of cultural homogenization.
3. Critically assess the role of the state in regulating economic liberalization.
4. Evaluate the relationship between liberalization and globalization and the role of multinational corporations in shaping economic policies and international relations.
5. In what ways has liberalization contributed to rising inequality, environmental degradation, and the exploitation of workers and marginalized communities? What policies could be implemented to mitigate these negative impacts?

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Unit 3

Multinational Companies

Learning Outcomes

After completing this unit, the learner will be able to:

- ▶ comprehend the relevance of capitalism in the contemporary world
- ▶ critically evaluate the prospects of capitalism
- ▶ understand the consequences or impacts of capitalism in the present world

Prerequisites

Contemporary capitalism refers to the current economic system that is based on private ownership of the means of production, distribution and obviously the exchange of goods and services. It is often characterized by the pursuit of profit through market competition, free trade and globalization. As far as the case of Contemporary Capitalism is considered, it is often associated with neoliberalism solely based on individual freedom, limited government intervention and free market. Domination of multinational corporations and the increasing financialization of the economy, with the financial sector playing a crucial role in shaping the economic policies.

Multinational companies (MNCs) play a significant role in contemporary capitalism. They operate from various countries, and their size and reach allow them to exert considerable influence over the global economy. They have the advantages of differences in labour costs, taxation and regulations across different countries, which eventually leads to a race to the bottom in terms of labour and environmental standards. Furthermore, they do have significant bargaining power in negotiations with governments, suppliers and other stakeholders. They also play a key role in financialization of the economy through mergers, acquisitions, stock buybacks and investments in financial instruments. In fact, it acts as a catalyst to initiate financial growth, job opportunities, resources, and to address global challenges such as climate change and poverty on a global scale. Overall, if we look at the role of MNCs it is complex and multi-faceted, with both positive and negative impacts on any given society.

Keywords

Capitalism, Global Market, Multinational Companies, Globalization, Stakeholder capitalism, Market based Economy



Discussion

6.3.1 Origin of Multinational Companies

The origin of multinational companies and their relationship with contemporary capitalism can be traced back to the expansion of international trade and the Industrial Revolution. While the concept of trade across borders has existed for centuries, the emergence of multinational companies as we understand them today began to take shape in the late 19th and early 20th centuries.

One key factor in the development of multinational companies was the advancement of transportation and communication technologies. Steamships and railroads made it easier and more difficult to transport goods across long distances while the telegraph allowed for faster communication between different parts of the world. These advances reduced the barriers to international trade and facilitated the growth of the global network.

Another important factor was the availability of natural resources and new markets in different parts of the world. European countries, particularly, Britain, France and Netherlands established colonies and trading ports in various regions such as Asia, Africa and Americas. These colonies provided access to resources and created markets for manufactured goods produced in the colonizing countries. As a result, companies from these colonial powers began to expand their operations beyond their natural borders.

The emergence of multinational companies are also influenced by changes in economic and political ideologies. The rise of Capitalism as the dominant economic system during the Industrial Revolution led to focus on profit monetization and the pursuit of economic

growth. Capitalists sought new markets and investment opportunities to expand their wealth, leading to the establishment of business operations in multiple countries.

Legal and regulatory frameworks in many countries began to evolve to accommodate the growth of multinational companies. Government introduced laws and regulations that protected private property rights, enforced contracts and provided stability for foreign investors. This created a more favourable environment for multi-national companies to operate in different jurisdictions.

Contemporary Capitalism influenced by globalized markets and increased inter connectedness has further propelled the expansion of multinational companies. Technological advances, such as the internet and digital communication have accelerated the speed and ease of conducting business across borders. Supply chains have become more complex and disturbed with their emergence leveraging a global network of suppliers, manufacturers and distributors.

There are numerous important multinational companies across various industries, each with its own unique functionalities and areas of operation. Some notable multinational companies are: Apple Inc. (Technology), Microsoft Corporation (Technology), Amazon.com Inc. (E-commerce/Technology), Alphabet Inc. (Technology), The Coca-Cola Company (Beverages), Toyota Motor Corporation (Automotive), Nestlé SA (Food and Beverages), Exxon Mobil Corporation (Energy) and Walmart Inc. (Retail).

6.3.2 Functionalities of Multinational Companies

The functionalities of multinational companies can vary depending on their industry, size, and business objectives. Here

are some common functionalities and roles for multinational companies.

Global Market Expansion is one of the main functionalities of multinational companies which have the ability to expand their operations and reach into multiple countries and markets. They establish subsidiaries, branches, or joint ventures in different regions to tap into new customer bases and increase their market share globally. This particular function helps it to capture the monopoly over certain products and services, which in turn allows a corporate company or a group of companies to control the world economy and people's needs all at the same time.

Multinational companies manage complex supply chains across countries and regions, coordinating raw material sourcing, production processes, logistics, and distribution networks for efficient operations and timely delivery. They invest heavily in Research and Development (R&D), establishing research centers, and collaborating with universities and institutions to develop innovative products, technologies, and solutions for a competitive edge in the global market.

One of the major functionalities of multinational companies was the activities related with manufacturing and production and hence, often have manufacturing facilities in multiple countries. Companies use global production capabilities and cost efficiencies by establishing factories or outsourcing to different regions. They develop marketing strategies, localized advertising campaigns, and sales teams to promote and sell products in diverse markets. They recruit and manage a diverse workforce, attract and retain top talent, adapt human resources policies, and implement training and development programs to enhance employee skills and performance.

Financial management is a crucial aspect of their functions whereby they handle complex financial operations across multiple currencies, tax jurisdictions, and regulatory frameworks. They also manage cash flow, foreign exchange risks, investment decisions, and financial reporting to optimize profitability and ensure compliance with local and international financial regulations. Moreover, they are well equipped at addressing social and environmental challenges. As a matter of fact, they have developed sustainability programs, support community development projects, and implement responsible business practices to mitigate negative impacts and contribute positively to society.

Technology and Digital Transformation leveraged technology and digital solutions to enhance their operations, improve efficiency, and meet customer expectations. They invest in digital platforms, data analytics, e-commerce capabilities, and cybersecurity measures to stay competitive in the digital age. Multinational companies often form strategic partnerships with local companies or engage in mergers and acquisitions to expand their market presence, access new technologies or distribution networks, and gain competitive advantages in specific regions or industries.

These functionalities illustrate the diverse roles and activities that multinational companies engage in to operate effectively and compete in the global marketplace. However, it's important to note that the specific functionalities can vary depending on the industry, business model, and strategies of each multinational company.

6.3.3 Global impact of multinational companies

Multinational companies have a significant global impact across various dimensions,



including the economy, employment, technology, environment, and social dynamics. Here are some key aspects of their global impact:

Economic Growth: Multinational companies contribute to economic growth by stimulating investment, creating jobs, and generating revenue. They often bring capital, technology, and expertise to host countries, driving economic development and productivity improvements. The presence of multinational companies can attract other businesses and stimulate local industries through supply chain linkages.

Employment Opportunities: Multinational companies are the major employers, providing job opportunities in host countries. They offer employment not only in their direct operations but also through their supply chains and distribution networks. The creation of jobs helps to alleviate unemployment and can have a positive impact on local communities.

Technological Transfer: Existence and operation of these companies often bring advanced technologies, research and development capabilities, and best practices to host countries. This technological transfer can help upgrade local industries, enhance productivity, and foster innovation. Local businesses and employees may gain access to new knowledge and skills through training and collaboration with multinational companies.

Trade and Global Integration: These two factors play a central role in promoting international trade and global integration. They establish networks of suppliers, manufacturers, and distributors across countries, facilitating the flow of goods, services, and capital. This integration strengthens global supply chains, enhances market access, and fosters economic interdependence among nations.

Environmental Impact: The activities of multinational companies can have both positive and negative environmental impacts. On one hand, they can bring advanced environmental technologies and sustainability practices to host countries, promoting resource efficiency and reducing environmental footprints. On the other hand, some multinational companies may contribute to pollution, deforestation, or resource depletion, particularly in regions with weak environmental regulations.

Social and Labour Standards: Activities of multinational companies can influence social and labour standards in host countries. They often adhere to international labour standards, human rights principles, and corporate social responsibility initiatives. This can lead to improvements in working conditions, employee rights, and community engagement. However, there have also been instances of labour rights abuses or inadequate labour standards by some multinational companies, leading to criticisms and calls for greater accountability.

Economic Inequality: The global operations of multinational companies can contribute to economic inequality, both within and between countries. While they create job opportunities and promote economic growth, the distribution of benefits may not be equitable. Disparities in wages, working conditions, and access to resources can exist between multinational company employees and workers in their supply chains or local communities. Furthermore, the concentration of wealth and power in the hands of multinational companies can exacerbate income inequality on a global scale.

Cultural Influence: Multinational companies often introduce new products, services, and cultural influences to host countries. They can shape consumer preferences, lifestyles,

and cultural practices through their marketing and advertising efforts. This cultural influence can lead to both positive and negative impacts on local traditions, languages, and cultural diversity.

Tax and Financial Practices: Global operations can have implications for tax systems and financial practices. Some multinational companies engage in tax planning strategies, such as profit shifting or establishing subsidiaries in low-tax jurisdictions, which can reduce their tax obligations in host countries. This has led to debates about tax fairness and the need for international tax reforms to address these practices.

Political Influence and Governance: They can exert political influence through their economic power and lobbying efforts. They often engage with governments and policymakers to shape regulations, trade agreements, and investment policies. This influence raises concerns about the balance between corporate interests and democratic governance, as well as potential conflicts of interest.

The global impact of multinational companies is complex and multifaceted, with both positive and negative consequences. It highlights the need for effective regulations

6.3.4 Future Prospects of Multinational Companies in the world

The future prospects of multinational companies are shaped by various factors, including technological advancements, geopolitical dynamics, environmental challenges, and evolving consumer preferences. While it is difficult to predict the future with certainty, here are some potential trends and prospects for multinational companies:

Multinational companies will continue to be at the forefront of technological advancements and innovation. Emerging technologies such as artificial intelligence, robotics, blockchain, and renewable energy present opportunities for companies to develop new products, services, and business models. Companies that can effectively harness these technologies may gain a competitive edge in the global market. The digital transformation of industries and societies will have a significant impact on multinational companies. Companies that can successfully navigate the digital landscape, embrace e-commerce, data analytics, and digital marketing, and adapt their operations to leverage digital technologies will be well-positioned for growth. The COVID-19 pandemic has accelerated the adoption of digital solutions, and this trend is likely to continue in the future.

They face increasing pressure to address environmental sustainability and social responsibility concerns. Consumers, investors, and governments are demanding greater transparency, ethical practices, and environmentally friendly operations. Companies that proactively integrate sustainability into their strategies, reduce carbon footprints, and contribute to social well-being are likely to gain a competitive advantage and maintain long-term success. The rise of emerging markets, particularly in Asia and Africa, presents significant opportunities for multinational companies. These markets offer a growing consumer base, expanding middle class, and untapped resources. Companies that can effectively navigate these markets, adapt to local cultures, and build strong partnerships with local businesses and governments may achieve substantial growth.

The recent COVID-19 pandemic exposed vulnerabilities in global supply chains. Multinational companies will focus on



building more resilient and flexible supply chains to mitigate risks and disruptions. There may be a shift towards regionalization and localization of supply chains to reduce dependence on a single region and enhance agility. Geopolitical tensions, trade disputes and changing international relations can impact multinational companies' operations. Shifts in trade policies, tariffs and regulations may require companies to reassess their global strategies and make adjustments accordingly. Collaborative initiatives, such as regional trade agreements and international cooperation, can also shape the business environment for multinational companies.

Evolving consumer preferences and demands will drive multinational companies' strategies. Consumers are increasingly seeking personalized experiences, sustainability and convenience. Companies that can adapt to changing consumer behaviour, leverage data analytics to understand customer needs and deliver innovative products and services will have a competitive advantage.

Factors like regulatory changes, economic fluctuations, geopolitical events and societal shifts can significantly impact their operations. Adaptability, agility and the ability to anticipate and respond to emerging trends will be crucial for multinational companies to thrive in the future global landscape.

Recap

- ▶ Origin of multinational companies and contemporary capitalism is directly related with the Industrial revolution and expansion of trade related activities.
- ▶ Multinational Companies span throughout the length and breadth of the globe.
- ▶ Major functionalities of multinational companies were based on the industry size and their business objectives.
- ▶ Various historical and social factors contributed to the emergence of contemporary capitalism.
- ▶ Unique features of contemporary capitalism and its impact made drastic changes in society.
- ▶ Future prospects of contemporary capitalism and multinational companies are bright and promising once they keep up with the phase of the world.

Objective Questions

1. What were the two major reasons that facilitated the emergence of contemporary capitalism and multinational companies?
2. Name any two of the dominating global companies in the world.
3. What do you mean by 'Market based economy'?
4. What are the major challenges faced by multinational companies right now?

5. What are the areas where multinational companies experience a sense of influence?
6. What is the key factor that accelerates the growth of contemporary capitalism?
7. How do multinational companies influence economic growth?
8. Who are often considered as the major employers in the world?
9. Which is the main aspect behind contemporary capitalism and multinational companies?
10. What do you mean by stakeholder capitalism?

Answers

1. Industrial Revolution and International Trade
2. Apple and Amazon
3. Market based economy is a system where 'supply' and 'demand' controls the production of goods and services.
4. Environmental sustainability and social responsibility
5. Economy, employment, technology, environment, and social dynamics.
6. Globalization
7. By stimulating investment, creating jobs, and generating revenue
8. Multinational companies
9. Financial Management
10. A global economy where their business runs beyond their shareholders

Assignments

1. Write an assignment on the role of multinational companies in boosting up the global economic growth alongside the methods and strategies used by them to achieve the same.
2. Elucidate on the impacts of contemporary capitalism in the world



Suggested Readings

1. Bakan, Joel, *The Corporation: The Pathological Pursuit of Profit and Power*, Free Press, 2004.
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Unit 4

Trade Tariffs

Learning Outcomes

At the conclusion of this unit, the learner will be able to:

- ▶ trace back the origins of trade tariff system in history
- ▶ summarize the basic features of trade tariff system in the contemporary world
- ▶ shed light on the provisions of GATT and WTO
- ▶ address the challenges pertaining to global trade tariff system

Prerequisites

Trade tariffs are taxes or duties imposed on imported goods and services by a country's government. They are one of the tools used in international trade policy to protect domestic industries, regulate trade flows and address economic concerns. Tariffs can be implemented for various reasons, such as protecting domestic industries, generating revenue for the government or addressing unfair trade practices. The primary objective of imposing tax is to make imported goods relatively more expensive compared to domestically produced goods. The price difference encourages consumers to purchase locally produced goods and provides a competitive advantage to domestic industries. By increasing the cost of imports, it aims to reduce competition faced by domestic producers and stimulate the growth of domestic industries.

It can be used in various ways including valorem tariffs, compound tariffs, trade tariffs etc. The imposing of tariffs has been a subject of debate and contention in international trade relations. While they can protect domestic industries, they can also lead to higher prices for consumers, reduced consumer choice and potential retaliation from trading partners. Additionally, it can also disrupt global supply chains and hinder economic growth by impeding the free flow of goods and services. We will venture more into the details of this particular subject in this particular unit.

Keywords

Export, Import, Trade, Tariffs, International Policy, Economic Growth, GATT, World Trade Organization



Discussion

6.4.1 Emergence of Trade Tariff System

In ancient societies, trade tariffs were used as a means to regulate commerce and generate revenue for the ruling powers. However, the concept and implementation of trade tariffs differed significantly from modern practices, as economic systems, political structures and trade patterns were distinct in nature. They employed different methods to control trade and collect tariffs. In ancient Mesopotamia, it has been found that they imposed tariffs on goods passing through their territories. Merchants and traders had to pay tolls or fees at designated checkpoints or city gates. Meanwhile, ancient Egyptians levied customs duties on imports and exports. Records from the reign of Pharaoh Hatshepsut indicate the existence of a well-organized customs system, where officers inspected goods and collected duties at river ports and trading posts.

The Romans, known for their extensive trade networks, imposed custom duties on goods passing through their ports and frontiers. These tariffs, known as 'portoria', were collected on various goods, including imports, exports and transit trade. The Roman government also issued permits called 'tesserae', which granted traders the right to engage in specific commercial activities. The Han dynasty in China is also said to have implemented an extensive tariff system known as the 'lianghui' system. Tariffs were levied on goods transported along the Silk Road and maritime trade routes. Their government stationed customs officers at checkpoints to collect duties and monitor trade activities. In the medieval Islamic world, trade tariffs were imposed under the authority of the ruling caliphates. They collected customs duties known as 'ushr' on goods entering and leaving

major trading cities like Baghdad and Cairo. The rates varied based on the type of goods and were often administered by specialized customs officers. Thus, we can unequivocally state that ancient rulers use tariffs not only to generate revenue but also to control the flow of goods, protect domestic industries and exert influence over foreign merchants.

6.4.2 Modern Trade Tariff System

One of the primary reasons for the emergence of modern trade tariff systems is to protect domestic industries from foreign competition. Governments impose tariffs on imported goods to make them more expensive compared to domestic products, thus providing a competitive advantage to local industries. Tariffs are used as a form of trade protectionism to shield domestic producers from foreign competition and safeguard jobs and economic growth. Tariffs have historically been used as a source of revenue for governments. Import tariffs levied on imported goods can generate income for the state, which can be used to fund public expenditures, infrastructure development, and welfare programs. In earlier times, tariffs on international trade were a significant source of government revenue before the rise of income taxes and other forms of taxation.

Some countries have used trade tariffs strategically to promote economic development. By imposing tariffs on certain goods, governments aim to encourage domestic production, attract foreign investment, and nurture domestic industries. Tariffs can be used as a policy tool to protect infant industries, build local capabilities, and foster industrialization. Trade tariffs can be imposed for national security reasons. Governments may impose tariffs on certain goods that are considered strategically important for national defence or security. This can be seen in industries such

as defense equipment, critical infrastructure, or sensitive technologies, where governments aim to reduce dependence on foreign sources and protect national security interests.

It can be used as a measure to address trade imbalances and protect a country's balance of payments. By imposing tariffs on goods that are imported in large quantities or perceived to be contributing to trade deficits, governments aim to reduce imports and promote domestic production. This is often done to protect domestic industries and safeguard the country's economic interests. Tariffs can be employed as a tool in trade disputes or negotiations between countries. When one country believes its trading partners are engaging in unfair trade practices, it may impose tariffs as a retaliatory measure. Tariffs can be used as leverage to bring about negotiations, resolve trade disputes, and seek more favourable trade terms or market access.

Tariffs can also be driven by political considerations. Governments may impose tariffs in response to domestic political pressures or public sentiment. This can be influenced by concerns over job losses, economic nationalism, protection of certain industries, or responding to demands from influential interest groups. Throughout history, trade tariffs have been a common feature of international trade. Prior to the establishment of international trade rules and institutions, tariffs were often used as a means for countries to protect their economic interests and control trade flows. Even with the rise of global trade agreements and institutions, tariffs continue to exist as a policy tool for governments.

6.4.3 Features of Trade Tariff System in the Contemporary world

In the contemporary world, trade tariff systems have evolved and taken on certain features that reflect the dynamics of global

trade and the interests of countries. Here are some key features of the trade tariff system in the contemporary world:

Tariff levels vary widely across countries and products in the contemporary world. Some countries maintain relatively low tariff rates, while others impose higher tariffs, particularly on sensitive or protected industries. Tariff structures can also differ, ranging from specific tariffs (based on a fixed amount per unit) to ad valorem tariffs (based on a percentage of the product's value). Many countries are members of the World Trade Organization (WTO) or have bilateral or regional trade agreements that include commitments on tariff levels and bindings. These agreements often aim to reduce trade barriers, including tariffs, and provide predictability and stability for international trade. Tariff bindings establish the maximum tariff rates a country can impose, providing some assurance to trading partners.

Preferential tariffs are lower rates applied to goods from specific countries, often granted through free trade agreements or preferential trade arrangements. These agreements promote trade integration and economic cooperation among participating countries. Tariff quotas manage importation of specific products by setting a threshold for imports at a lower or zero tariff rate. Tariff-rate quotas combine elements of both quotas and tariffs, allowing a certain quantity of imports at a lower rate and imposing higher tariffs once the quota is exceeded.

Moreover, this system provides provisions for trade remedies, which are measures taken to address unfair trade practices or to provide temporary protection for domestic industries. These measures include anti-dumping duties when imports are sold below fair market value, countervailing duties to offset export subsidies, and safeguard measures to protect



domestic industries from import surges. Non-tariff barriers, such as regulatory measures, technical standards, and customs procedures, also play a role in preventing trade and protecting domestic industries.

Over the past decades, there have been ongoing efforts to reduce and eliminate tariffs through international negotiations and trade agreements. These efforts aim to promote free trade, lower costs for businesses and consumers, and foster economic integration. Tariff reduction initiatives, such as the WTO's Doha Development Agenda and regional trade agreements like the Comprehensive and Progressive Agreement for Trans-Pacific Partnership (CPTPP), seek to lower tariff barriers among participating countries. The rise of digital trade and e-commerce has brought new challenges to the trade tariff system. The cross-border flow of digital goods and services often faces unique tariff considerations, particularly in relation to intellectual property rights, data localization, and digital services. The regulation of digital trade continues to evolve as countries grapple with the complexities of this rapidly growing sector. Trade tariff systems can be influenced by trade disputes and retaliatory measures between countries.

6.4.4 General Agreement on Trade and Tariffs (GATT)

The General Agreement on Trade and Tariffs (GATT) was a multilateral agreement governing international trade that was in effect from 1948 to 1994. It aimed to promote free trade by reducing trade barriers such as tariffs and quotas provided a framework for negotiating and resolving trade disputes among its member countries. It was established after World War II to promote economic recovery and prevent a return to the perfectionist policies that contribute to the

Great Depression. Its primary objective was to create a stable and predictable trading system by reducing trade barriers and providing a forum for negotiations among member countries.

Throughout its existence, GATT held a series of negotiating rounds known as 'trade rounds'. The most significant of these rounds was the Uruguay Round, which started in 1986 and concluded in 1994. The Uruguay Round led to the creation of the World Trade Organization (WTO) and the replacement of GATT with the WTO as the primary international organization overseeing global trade. The World Trade Organization retained many of the principles established under GATT but expanded its scope to include not only trade in goods but also trade in services and intellectual property rights.

6.4.5 World Trade Organization (WTO)

The World Trade Organization popularly known as WTO is an international organization that deals with the global rules of trade between nations. It was established on January 1st, 2005, following the conclusion of the Uruguay Round of negotiations under the General Agreement on Trade and Tariffs. Its primary goal is to promote free and fair trade by facilitating negotiations, implementing trade agreements, and resolving trade disputes among its member countries. It serves as a forum for member countries to discuss and negotiate trade-related issues aiming to create a more predictable and transparent trading environment. Here member countries engage in discussions to lower trade barriers, reduce tariffs and address other trade related issues.

WTO has a dispute settlement mechanism that helps resolve trade disputes between member countries. It provides a forum for parties to bring forward complaints and a

panel of independent experts who examines cases and issues rulings based on WTO agreements. It also conducts regular reviews of its member countries' trade policies and practices. This enhances its transparency and promotes compliance with WTO rules. One of the major advantages of such a monitoring organization is that it offers technical support and provides capacity-building programmes to help developing countries participate effectively in global trade. It also assists countries in implementing WTO agreements, improving trade infrastructure and building their trade-related capacities. Last, but not the least it monitors member's trade policies, including measures that may affect trade. It encourages members to report on their trade measures and keeps track of global trends and developments.

WTO operates on the basis of the principle of 'Most Favoured Nation'(MFN) treatment, where each country is expected to grant the same favourable treatment to all other members. However, exceptions are allowed under certain circumstances, such as regional trade agreements or developing countries receiving special treatment.

6.4.6 Functionalities of Trade Tariff System

Trade tariffs are a source of revenue for governments. Tariffs imposed on imported goods generate income for the state, which can be used to fund public expenditures, infrastructure development, and welfare programs. Tariff revenue can contribute to a country's fiscal stability and provide resources for government operations. One of the primary functionalities of trade tariffs is to protect domestic industries from foreign competition. By imposing tariffs on imported goods, governments can make foreign products more expensive, giving domestic

producers a competitive advantage. This protectionist measure aims to safeguard jobs, promote economic growth, and prevent the erosion of domestic industries.

Trade tariffs can be used to address trade imbalances by reducing imports and promoting domestic production. Governments may impose tariffs on goods that are imported in large quantities or perceived to contribute to trade deficits. This functionality aims to protect domestic industries, balance trade flows, and maintain a favourable balance of payments. Trade tariffs can be employed to protect national security interests. Governments may impose tariffs on certain goods that are considered strategically important for defense or security purposes. This functionality aims to reduce dependence on foreign sources and ensure the availability of critical goods and technologies for national security.

Trade tariffs can be part of a strategic trade policy to promote economic development and industrialization. Governments may use tariffs strategically to protect infant industries, nurture domestic capabilities, attract foreign investment, and foster economic diversification. This functionality aims to support long-term economic goals and build competitive advantage in specific sectors.

Trade tariffs serve as a bargaining tool in international trade negotiations and dispute resolution. Governments may use the threat or imposition of tariffs to gain leverage and negotiate more favorable trade terms, market access, or resolution of trade disputes. Tariffs can be a mechanism for countries to protect their economic interests and achieve desired outcomes in trade negotiations. Trade tariffs are a key component of trade remedy measures to address unfair trade practices. Measures such as anti-dumping duties, countervailing duties, and safeguard measures involve the



imposition of tariffs. These functionalities aim to counteract dumping (selling goods below fair market value), offset foreign subsidies, or provide temporary protection for domestic industries facing a surge in imports.

In some cases, trade tariffs are used as a tool for revenue redistribution or to support specific policy objectives. Governments may impose tariffs on certain luxury goods or products with negative externalities (e.g., tobacco, alcohol) to generate revenue that can be allocated towards public welfare programs or health initiatives. This functionality aims to align trade policy with social and economic objectives.

6.4.7 Challenges Faced by Trade Tariff System in the Contemporary World

The trade tariff system faces several challenges in the contemporary world due to changing economic dynamics, evolving trade patterns, and global interconnectedness. Here are some of the key challenges faced by the trade tariff system:

1. **Trade Wars and Protectionism:** The rise of trade wars and protectionist measures among countries poses a significant challenge to the trade tariff system. Unilateral imposition of tariffs and retaliatory actions can disrupt global trade flows, undermine cooperation, and lead to a fragmentation of the international trading system. Such actions can have adverse effects on businesses, consumers, and global economic growth.
2. **Non-Tariff Barriers:** While tariffs have traditionally been a prominent trade barrier, the proliferation of non-tariff barriers presents a challenge to the trade tariff system. Non-tariff barriers, including regulatory measures, technical standards,

sanitary and phytosanitary measures, and customs procedures, can impede trade and create obstacles for businesses. These barriers are often more difficult to measure, monitor, and address compared to tariffs.

3. **Global Value Chains:** Contemporary trade is characterized by complex global value chains, where products are often manufactured in multiple countries with intermediate inputs crossing borders multiple times. This interconnectedness poses challenges to the trade tariff system, as tariffs on intermediate goods can disrupt production processes and increase costs for businesses. The fragmented nature of value chains requires coordination and cooperation among countries to avoid trade distortions.
4. **Digital Economy and E-commerce:** The digital economy and e-commerce have transformed global trade, presenting challenges for the trade tariff system. The cross-border flow of digital goods and services often faces unique tariff considerations related to data localization, intellectual property rights, and digital services. The rapid development of digital technologies has outpaced the ability of trade policies to adapt, leading to regulatory gaps and uncertainties.
5. **Regional Trade Agreements:** The proliferation of regional trade agreements (RTAs) poses challenges for the trade tariff system. RTAs often involve the reduction or elimination of tariffs among member countries, creating a complex web of preferential tariff arrangements. This can result in a fragmented trade tariff system with varying tariff rates and rules of origin, making it more challenging for businesses to navigate and comply with trade regulations.

6. **Trade in Services:** Trade in services has become increasingly important in the global economy, but the trade tariff system is primarily focused on goods. Service sectors, such as finance, telecommunications, and transportation, face barriers that go beyond tariffs, including market access restrictions, regulatory differences, and licensing requirements. Addressing these challenges requires new approaches and agreements that encompass services trade.
7. **Global Supply Chain Disruptions:** Global supply chains are vulnerable to disruptions, as witnessed during the COVID-19 pandemic and other unforeseen events. Trade tariffs can exacerbate supply chain disruptions by adding costs, increasing uncertainty, and creating bottlenecks at border crossings. Ensuring the resilience and flexibility of global supply chains while addressing trade tariff challenges requires close coordination and cooperation among countries.
8. **Trade Imbalances and Economic Disparities:** Trade tariff systems can be influenced by concerns over trade imbalances and economic disparities among countries. Addressing these challenges requires a comprehensive approach that goes beyond tariffs, focusing on structural issues, investment flows, technology transfer, and capacity-building initiatives. Trade tariffs alone may not be sufficient to address the underlying causes of imbalances and disparities.
9. **Multilateral Trade Negotiations:** The ability to negotiate and reach consensus on trade tariffs at the multilateral level has become increasingly challenging. The World Trade Organization (WTO) has faced difficulties in advancing global trade liberalization and resolving trade disputes. The lack of progress in multilateral negotiations has led to a proliferation of bilateral and regional trade agreements, contributing to a more fragmented trade tariff landscape.

Recap

- ▶ In ancient societies, the tariff system was used as a means to regulate commerce and generate revenue for ruling elites.
- ▶ Modern tariff system exists to protect domestic industries and restrict foreign competition.
- ▶ Globally tariff is regulated through GATT and WTO.
- ▶ Trade tariffs are one among the main sources of income for governments.
- ▶ It faces challenges owing to changing economic rules, trade patterns and other related factors.
- ▶ It can achieve efficiency and withstand the challenges by increasing its performance and by utilizing the prospects of technologies and man power.



Objective Questions

1. What was the term used for tariffs during the time of ancient Romans?
2. Name the tariff system practiced by the Han.
3. What is the main purpose of the modern trade tariff system?
4. What do you mean by GATT?
5. Name the main global regulatory body for trade and tariff systems.
6. What was the major strategy adopted for improving economic growth and industrialization?
7. What was the name of the meetings conducted by GATT for taking decisions on international trade policies?
8. What led to the creation of the World Trade Organization?
9. How would you describe MFN in relation to the World Trade Organization?
10. In which year did the World Trade Organization come into being?

Answers

1. Portoria
2. Lianghui
3. To protect domestic trade from foreign competition
4. General Agreement on Trade and Tariffs
5. World Trade Organization (WTO)
6. Trade Tariff system
7. Trade Rounds
8. Uruguay Rounds conducted as part of GATT
9. Most-Favoured Nation
10. 2005

Assignments

1. Write an assignment on the evolution of the trade tariff system through ages.
2. Prepare a report based on the kind of trade tariff policy followed by the different countries in the present world.

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Social Formation in World History: Theories and Tools

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