



世界政治与国际关系原版影印丛书



# 国际政治经典选读

INTERNATIONAL POLITICS: ENDURING CONCEPTS  
AND CONTEMPORARY ISSUES

〔美〕 Robert J. Art, Robert Jervis 编



北京大学出版社  
Peking University Press



# INTERNATIONAL POLITICS

*Enduring Concepts and  
Contemporary Issues*

SEVENTH EDITION

**ROBERT J. ART**

*Brandeis University*

**ROBERT JERVIS**

*Columbia University*

Peking University Press  
Beijing

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## 出版说明

引进和交流,是国际研究诸学科发展壮大所不可或缺的环节和纽带。没有引进和交流,学术就难以活跃,也不易创新。每一位从事世界政治与国际关系研究的学者、每一位学习世界政治与国际关系的学生,无不深感阅读外文原文文献的重要性,他们都深知,原文的报刊、教材和专著,是获取最新国际信息、最新理论论争、最新参考资料的必不可少的重要来源,而获得这样的原文文献的机会是不均等的,因此,他们极其渴望更为方便地直接接触到原文文献。而在目前不易直接在国内购买原版书籍的情况下,采取原版影印的方式引进国际上的优秀教材和专著是解决问题的一条捷径,如此就可以使国内普通读者方便地获得最有权威的原文读物,从而可以快速了解国外同行的教学和学术成果,为深入学习和研究、为开展有效的对外学术交流、也为国际关系诸学科在我国的创新和发展,打下更坚实的基础。

这套“世界政治与国际关系原版影印丛书”,正是基于上述认识而组织出版的,并且得到了我国国际关系教学与科研领域最有权威的专家教授们的认可,他们分别来自于北京大学国际关系学院、复旦大学国际关系与公共事务学院、中国人民大学国际关系学院、外交学院、清华大学国际问题研究所、中国社会科学院世界经济与政治研究所、中共中央党校战略研究所等单位,作为本套丛书的学术顾问,他们愿意向我国该学科及相关领域的广大学者和学生共同推荐这套丛书。

本丛书第一批先行选入了一些经典文献选读性质的国外优秀教材,也包括美国大学中的一些知名国际关系学教员所编著的教材,内容主要在国际关系理论方面,也包括国际政治经济学和比较政治学方面的优秀教材。它们皆可称为原文中的精品,值得研读和收藏,不仅如此,由于它们本身在国外的大学课堂里都是应用较广的教材和读物,所以特别适合作为我国国际关系与世界政治专业大学教学中的参考读物,甚至可以直接作为以外文授课的课堂教材。在每本书的前面,我们都邀请国内比较权威的专家学者撰写了精彩的导论,以指导读者更好地阅读和使用这些文献。

根据读者的反映和我国建设中的国际关系学科的发展需要,我们决定在上述影印图书的基础上,开辟一个“学术精品系列”,以让我国国际关系专业的学者和学生有机会更方便地接触到那些堪称“精品中的精品”的学术书籍,比如摩根索的《国家间政治》、沃尔兹的《国际政治理论》和基欧汉的《权力与相互依赖》等等。这些作品大都已经有了中文译本,而且有的还不只一种中译本,它们的学术和学科地位是不言而喻的,在中国读者心目中也已有着持久深入的影响,正因如此,在这个新系列的每一种图书前面我们没有再烦请学术顾问们撰写导言。我们相信,如此有生命力的作品,当它们以新的面目出现在中国读者面前时,一定会引发新的阅读感受、新的理论遐思和新的战略决策思考。至少,

它们可以带给我们真正原汁原味的享受,让我们更加贴近当代的国际关系理论和国际关系理论家。

今后,我们会陆续推出更新、更好的原版教材和专著,希望广大读者提出宝贵意见和建议,尤其欢迎更多的专家学者向我们推荐适合引进的国外优秀教材和专著,以帮助我们完善这套丛书的出版,并最终形成一套完整的世界政治与国际关系及其相关学科适用的原文教学研究参考书系。

最后也要特别提醒读者,我们引进这套丛书,目的主要在于推动学术交流、促进学科发育、完善教学体系,而其著作者的出发点和指导思想、基本观点和结论等,则完全属于由读者加以认识、比较、讨论甚至批评的内容,均不代表北京大学出版社。

# 导 读

王逸舟

在我们这些长期搞国际政治理论的人看来,美国在国际政治学界的地位,恰似它作为超级大国在全球政治中的位置一样,有着难以撼动的优势和特色,也有不易察觉的弱点和盲点。我手边这本列入北京大学出版社《世界政治与国际关系原版影印丛书》出版计划的《国际政治经典选读》,便是一本有代表性的美国作品。

先介绍一下全书的架构和主要内容。

这部由两位著名美国国际关系理论家选编的文集,从1973年第1版问世就受到普遍好评,后经过多次修订增补,到2005年已经是第7版。作为一部篇幅长达近600页的著作,这部国际政治学作品试图涵盖当代国际政治的所有主要领域,征集了美国最知名学者(另有个别非美国作者)的代表性论文,提示了最重要的范畴和术语,探讨了受到广泛关注的重大问题。

全书分为四大部分。第一部分“无政府状态及其后果”,从经典的国际政治命题出发,讨论国际无政府状态的特质、约束这种状态的各种因素,以及权力对于国家行为体的重要性。这一部分既收入了摩根索的《政治现实主义六原则》、沃尔兹的《世界政治的无政府构造》、米尔斯海默的《无政府状态及对权力的争夺》等名篇,也把诸如蒂克纳对摩根索的批判文章、温特的《无政府状态正是国家自身制造的》等重要诘疑之作纳入,此外还有关于“外交的作用”、“合作的前提”、“联盟的平衡”、“国际法的运用”、“国际制度的效用”及“联合国在国际安全中的影响”等议题的分篇研究。

第二部分“武力的使用”,在前一部分的基础上,聚焦于国家如何在国际政治舞台上使用武力以实现国家利益的问题。这中间,有关于“暴力外交”的说明,有关于武力的不同效用的分析,有对于安全困境的追究,有对自杀性恐怖袭击之内在逻辑的探讨,有对核武器及其区域分布(例如南亚)特征的研究。这些话题的讨论者,同样都是声名赫赫、著述等身,例如以对核武器时代的外交博弈过程加以分析而闻名的哈佛大学的谢林教授、以政治心理学研究享誉学界的杰维斯教授(也是本书的编者之一),以及阿特教授等人。

第三部分“国际政治经济学”,表现了美国学者最喜爱的研究领域之一。这一部分节选了吉尔平、基欧汉、斯科特等国际政治经济学大家的代表作,讨论了国际政治经济学这门分支学科的演化和前景,特别是探讨了全球化的当代条件下国际政治经济分析者必须关注的若干课题,如霸权的确立与削减、“全球村的分裂”、世界经济的走势、全球治理的难度与挑战等等,从不同侧面(尤其是大国政治的角度)透视了当代全球复杂问题和各种所谓“全球性危机”形成的某些内在根源。这一部分的经济术语比较多,阅读时能够感受

国际政治学者运用另一大学科工具箱时的尝试及其限度。

最后一部分“当代世界政治”，主要是提示了时下困扰世人的许多热点与危机，涉及的问题有亨廷顿的“文明的冲突”、反美恐怖主义“基地”的狡诈多端、布什主义的特点、美国新保守主义的“帝国”野心、单极世界下的多极角逐、“失败国家”与内战频发、种族冲突的各种形态、自然资源的掠夺性开发、温室效应的成因、跨国行为体的网络、人权问题的国际化、欧洲的一体化推进及其问题、国际法在新形势下面临的深刻矛盾等等。这些专题在美国国际政治学界得到充分的争论，形成了大量著述和观点，本部分选取的是那些由名家撰写并产生了广泛影响的内容。

介绍完这本书的大体结构之后，我想再作两点评论，供读者在阅读时参考。

首先，可以说，这是一本比较适合于专业研究生以上水平的人学习的作品，是一本有小百科性质的“全书”。对于中国目前四十几所国际关系学院的博士生、硕士生及老师们，如果抽出一段时间，认真阅读和思考《国际政治经典选读》，将它批判地借鉴到自己平日的学习和研究中去，会是一件大有帮助的事情。不夸张地讲，在我所见到的中文教科书和专业书籍里，尚无类似广度和深度的作品。不妨与我们当年初涉国际关系领域时的主要读物、亦是经典著作的《国家间政治》(摩根索著)简单比较一下：两本书的基本偏好和风格是一致的，都是对国际无政府状态和相应的权力政治学的精心阐述，都有体系论和国家中心主义的特点，只不过现在这本书远较摩根索的著作“时髦”，特别是给出了不同的乃至对立的观点与角度；我曾经讲过，摩根索的大作是老一辈人必读的“百科”，而现在读者见到的这本更像新一代学人的案头必备书。中国的物质建设过程正在全速追赶发达国家，我们的思想能力(包括视野、责任感和好奇心)也应当相应加强；研讨美国学者这方面的著作，学学美国人的全球视野，是尽快提升这方面能力的捷径之一。

其次，我还想指出，《国际政治经典选读》也从一个侧面典型地反映出霸权者美国的心态与问题。与欧洲国际研究界相比，譬如讲，美国人比较重视科学与理性，重视结构与系统，重视力量与国家，然而却相对轻视历史与文化，轻视模糊性与不确定，轻视非国家行为体与“低政治领域”，尤其轻视其他地区和国家的理论范式。我前面之所以说这些属于“不易察觉的缺点和盲点”，是因为后面这些东西从决策者的角度看往往不太重要，而美国的优势总能压倒或掩盖人文方面的缺失；涉及国家利益时，尤其涉及安全和政治重大利害关系时，当行为主体与国家、政府和当权者联系在一起时，美国学说比较“管用”，其优点显得格外突出。仅仅是当学者们关注理论学术发展面对的制约时，或者当谈论或欣赏作为一门“艺术”的外交时，美国人的短项才在不知不觉中显露出来。以“9·11”事件以来美国的基本态势为例：布什的强力及单边主义，在面对恐怖主义袭击和阿富汗、伊拉克的战事时，表达得特别有力，短时间内也很奏效，合乎美国人的口味和外界的预期；只是到了军事之后的政治重建过程，到了强力无法伸展的领域，如宗教教派的对立、文明观的差异、对不同文化民族理解方面的误读，布什学说的内在制约和先天不足才被视为美国沉陷泥潭的原因，才会使基辛格关于“美国难道不需要外交了？”的批评受到越来越多的重视。对比之下，欧洲人就绝不会忽略政治对话与外交手腕的价值，事实上他们把

这些东西放到比军事力量更前面的位置。这是我想在此特别指出并提请读者注意的地方。总而言之,虽然《国际政治经典选读》是一个宽度、广度都不错的书籍,但若与欧洲一些最好的著作比较,至少在我的眼里,它的探索范围仍然狭窄许多,“文化味”和“社会性”仍然弱了许多。

如果读者有兴趣,不妨购买和认真阅读近几年译成中文的欧洲学者的一些著述,如克努成的《国际关系理论史导论》、布赞的《新安全论》和霍布斯鲍姆的《非凡的小人物》等等,然后将它们与本书进行对照、鉴别。我相信这种比照会是非常有价值的,特别是如果学习得法、途径得当的话。欧美这两大发达区域,尽管科学技术和人均收入位居世界前列,都有许多值得中国效法之处,然而仔细判别就会发现,它们之间的差异性和特色非常明显,值得我们学习或批判的内容都不太一样。至少就我个人的研究体会而言,这里面有大学问,需要下大工夫。说到这里,我想顺便向北京大学出版社提一点批评和建议:在已经影印的这套丛书中,美国作者所占比重太大,而美国以外的作品太少,譬如讲欧洲国际研究界近期的一些佳作就很少见,因此应当考虑在未来适当增加非美国作者群的优秀作品,让中国读者有更多的选择。

但愿读者明鉴是非,学习美国人的长处,避免其短处。

更希望中国国际政治学界将来也能推出有竞争性的佳作。

2005年8月9日



# PREFACE

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The first edition of *International Politics* appeared in 1973. Since then, the field of international relations has experienced a dramatic enrichment in the subjects studied and the quality of works published. Political economy came into its own as an important subfield in the 1970s. New and important works in the field of security studies appeared. The literature on cooperation among states flourished in the early 1980s, and important studies about the environment began to appear in the mid-1980s. Feminist, postmodernist, and constructivist critiques of the mainstream made their appearance also. With the end of the Cold War, these new issues came to the fore: human rights, the tension between state sovereignty and the obligations of the international community, the global environment, civil wars, failed states, and nation-building. The growing diversity of the field has closely mirrored the actual developments in international relations.

As for the previous editions, in fashioning the seventh, we have kept in mind both the new developments in world politics and the literature that has accompanied them. Central to this edition, though, as for the other six, is our belief that the realm of international politics differs fundamentally from that of domestic politics. Therefore, we have continued to put both the developments and the literature in the context of the patterns that still remain valid for understanding the differences between politics in an anarchic environment and politics that takes place under a government. The theme for this edition continues to revolve around enduring concepts and contemporary issues in world politics.

The seventh edition retains the four major subdivisions of the sixth edition. We have left Part One as it appears in the sixth edition, but have added new selections by Hans J. Morgenthau, John J. Mearsheimer, and Robert O. Keohane. Part Two retains the first two subsections of the sixth edition, but with two new selections by Robert Art and Robert Pape. In addition, a new subsection on the spread of nuclear weapons has been added with articles by Scott Sagan and Kenneth Waltz. We have consolidated the discussion of globalization in Part Three, and added two new selections by Jeffrey Frankel and William Finnegan. Finally, in Part Four, we have added two new subsections—one on the uses of American power; the other on failed states, civil war, and nation-building—and added eleven new selections by Jessica Stern, Robert Jervis, John Ikenberry, Charles Krauthammer, Joseph Nye, Robert Rotberg, Paul Collier, James Dobbins, Thomas Schelling, Moisés Naím, and Jack Rakove.

The seventh edition of *International Politics* is 40 percent new, but it continues to follow the four principles that have guided us throughout all previous editions:

1. A selection of subjects that, even though they do not exhaustively cover the field of international politics, nevertheless encompasses most of the essential topics that we teach in our introductory courses.
2. Individual readings that are mainly analytical in content, that take issue with one another, and that thereby introduce the student to the fundamental debates and points of view in the field.
3. Editors' introductions to each part that summarize the central concepts the student must master, that organize the central themes of each part, and that relate the readings to one another.
4. A reader that can be used either as the core around which to design an introductory course or as the primary supplement to enrich an assigned text.

Finally, in putting together the fourth, fifth, sixth, and seventh editions, we received excellent advice from the following colleagues, whom we would like to thank for the time and care they took: Andrew Bennett, Georgetown University; Timothy McKeown, University of North Carolina at Chapel Hill; Roslin Simowitz, University of Texas at Arlington; Robert J. Griffiths, University of North Carolina at Greensboro; Linda S. Adams, Baylor University; Timothy M. Cole, University of Maine; Robert C. Gray, Franklin & Marshall College; James A. Mitchell, California State University, Northridge; Margaret E. Scranton, University of Arkansas at Little Rock; David G. Becker, Dartmouth College; James A. Caporaso, University of Washington; Ken Wise, Creighton University; Sonia Gardenas, Trinity College; Philip Schrodtt, University of Kansas; and Jane Cramer, University of Oregon.

Robert J. Art

Robert Jervis



# BRIEF CONTENTS

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Detailed Contents	vii	
Preface	xi	
<b>PART 1</b>	<b>ANARCHY AND ITS CONSEQUENCES</b>	<b>1</b>
	Power and Principle in Statecraft	7
	The Consequences of Anarchy	29
	The Mitigation of Anarchy	69
<b>PART 2</b>	<b>THE USES OF FORCE</b>	<b>137</b>
	The Political Uses of Force	141
	The Political Utility of Force Today	199
	The Spread of Nuclear Weapons	251
<b>PART 3</b>	<b>THE INTERNATIONAL POLITICAL ECONOMY</b>	<b>275</b>
	Perspectives on Political Economy	281
	Interdependence and Globalization	325
	The Pros and Cons of Globalization	365
<b>PART 4</b>	<b>CONTEMPORARY WORLD POLITICS</b>	<b>393</b>
	Conflict, War, and Terrorism	399
	The Uses of American Power	439
	Failed States, Civil Wars, and Nation-Building	481
	The Environment and Climate Change	525
	New Actors and New Forces	551

# DETAILED CONTENTS

---

Preface	xi
<b>PART 1 Anarchy and Its Consequences</b>	<b>1</b>
<b>POWER AND PRINCIPLE IN STATECRAFT</b>	<b>7</b>
HANS J. MORGENTHAU <i>Six Principles of Political Realism</i>	7
J. ANN TICKNER <i>A Critique of Morgenthau's Principles of Political Realism</i>	15
<b>THE CONSEQUENCES OF ANARCHY</b>	<b>29</b>
KENNETH N. WALTZ <i>The Anarchic Structure of World Politics</i>	29
JOHN J. MEARSHEIMER <i>Anarchy and the Struggle for Power</i>	50
ALEXANDER WENDT <i>Anarchy Is What States Make of It</i>	61
<b>THE MITIGATION OF ANARCHY</b>	<b>69</b>
KENNETH A. OYE <i>The Conditions for Cooperation in World Politics</i>	69
MICHAEL W. DOYLE <i>Kant, Liberal Legacies, and Foreign Affairs</i>	83
STEPHEN M. WALT <i>Alliances: Balancing and Bandwagoning</i>	96
HANS J. MORGENTHAU <i>The Future of Diplomacy</i>	104
STANLEY HOFFMANN <i>The Uses and Limits of International Law</i>	114
ROBERT O. KEOHANE <i>International Institutions: Can Interdependence Work?</i>	119
ADAM ROBERTS <i>The United Nations and International Security</i>	127

<b>PART 2</b>	<b>The Uses of Force</b>	<b>137</b>
<hr/>		
THE POLITICAL USES OF FORCE		141
ROBERT J. ART		
<i>The Four Functions of Force</i>	141	
THOMAS C. SCHELLING		
<i>The Diplomacy of Violence</i>	149	
ROBERT J. ART		
<i>Coercive Diplomacy</i>	163	
ROBERT JERVIS		
<i>Offense, Defense, and the Security Dilemma</i>	178	
THE POLITICAL UTILITY OF FORCE TODAY		199
ROBERT O. KEOHANE AND JOSEPH S. NYE		
<i>Complex Interdependence and the Role of Force</i>	199	
ROBERT J. ART		
<i>The Fungibility of Force</i>	215	
ROBERT A. PAPE		
<i>The Strategic Logic of Suicide Terrorism</i>	232	
THE SPREAD OF NUCLEAR WEAPONS		251
SCOTT D. SAGAN		
<i>Nuclear Instability in South Asia</i>	251	
KENNETH N. WALTZ		
<i>Nuclear Stability in South Asia</i>	263	
<b>PART 3</b>	<b>The International Political Economy</b>	<b>275</b>
<hr/>		
PERSPECTIVES ON POLITICAL ECONOMY		281
ROBERT GILPIN		
<i>The Nature of Political Economy</i>	281	
ROBERT O. KEOHANE		
<i>Hegemony in the World Political Economy</i>	298	
BRUCE R. SCOTT		
<i>The Great Divide in the Global Village</i>	311	
INTERDEPENDENCE AND GLOBALIZATION		325
JEFFREY FRANKEL		
<i>Globalization of the International Economy</i>	325	

PETER F. DRUCKER		
<i>The Changed World Economy</i>	341	
KENNETH N. WALTZ		
<i>Globalization and Governance</i>	352	
<b>THE PROS AND CONS OF GLOBALIZATION</b>		<b>365</b>
DANI RODRIK		
<i>Trading in Illusions</i>	365	
JOHN MICKLETHWAIT AND ADRIAN WOOLDRIDGE		
<i>Why the Globalization Backlash is Stupid</i>	374	
WILLIAM FINNEGAN		
<i>The Economics of Empire</i>	381	
<b>PART 4</b>	<b>Contemporary World Politics</b>	<b>393</b>
<hr/>		
<b>CONFLICT, WAR, AND TERRORISM</b>		<b>399</b>
ROBERT JERVIS		
<i>The Era of Leading Power Peace</i>	399	
SAMUEL P. HUNTINGTON		
<i>The Clash of Civilizations?</i>	415	
JESSICA STERN		
<i>Al Qaeda: The Protean Enemy</i>	431	
<b>THE USES OF AMERICAN POWER</b>		<b>439</b>
ROBERT JERVIS		
<i>Explaining the Bush Doctrine</i>	439	
G. JOHN IKENBERRY		
<i>America's Imperial Ambition</i>	454	
CHARLES KRAUTHAMMER		
<i>The Unipolar Moment Revisited</i>	461	
JOSEPH S. NYE, JR.		
<i>The Battle Between Unilateralists and Multilateralists</i>	472	
<b>FAILED STATES, CIVIL WARS, AND NATION-BUILDING</b>		<b>481</b>
ROBERT I. ROTBERG		
<i>Failed States, Collapsed States, Weak States:     Causes and Indicators</i>	481	
PAUL COLLIER		
<i>The Market for Civil War</i>	489	

x DETAILED CONTENTS

CHAIM KAUFMANN  
*Possible and Impossible Solutions to Ethnic Civil Wars* 496

JAMES DOBBINS  
*The United States and Nation-Building* 518

THE ENVIRONMENT AND CLIMATE CHANGE 525

GARRETT HARDIN  
*The Tragedy of the Commons* 525

JULIAN L. SIMON  
*The Infinite Supply of Natural Resources* 531

THOMAS HOMER-DIXON  
*Cornucopians and Neo-Malthusians* 539

THOMAS C. SCHELLING  
*What Makes Greenhouse Sense?* 542

NEW ACTORS AND NEW FORCES 551

MARGARET E. KECK AND KATHRYN SIKKINK  
*Transnational Activist Networks* 551

RHODA E. HOWARD AND JACK DONNELLY  
*Human Rights in World Politics* 558

MOISÉS NAÍM  
*The Five Wars of Globalization* 571

JACK RAKOVE  
*Europe's Floundering Fathers* 580

STEVEN R. RATNER  
*International Law: The Trials of Global Norms* 589

PART

I

# Anarchy and Its Consequences

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Unlike domestic politics, international politics takes place in an arena that has no central governing body. From this central fact flow important consequences for the behavior of states. In Part One, we explore three of them: the role that principles and morality can and should play in statecraft; the effects that anarchy has on how states view and relate to one another; and the ways that the harsher edges of anarchy can be mitigated, even if not wholly removed.

## POWER AND PRINCIPLE IN STATECRAFT

Citizens, students, and scholars alike often take up the study of international politics because they want their country to behave in as principled a way as possible. But they soon discover that principle and power, morality and statecraft do not easily mix. Why should this be? Is it inevitable? Can and should states seek to do good in the world? Will they endanger themselves and harm others if they try?

These are timeless questions, having been asked by observers of international politics in nearly every previous era. They therefore make a good starting point for thinking about the nature of international politics and the choices states face in our era. Hans J. Morgenthau, one of the leading proponents of the approach known as Realism (also known as power politics), takes the classic Realist position: universal standards of morality cannot be an invariable guide to statecraft because there is an “ineluctable tension between the moral command and the requirements of successful political action.” Rather than base statecraft on morality, Morgenthau argues that state actors must think and act in terms of power and must do whatever it takes to defend the national interests of their state. J. Ann Tickner, commenting on the primacy of power in Morgenthau’s writings, explains that what he considers to be a realistic description of international politics is only a picture of the past and therefore not a prediction about the future, and proposes what she considers to be a feminist alternative. A world in which state actors think of power in terms of collective empowerment, not in terms of leverage over one another, could produce more cooperative outcomes and pose fewer conflicts between the dictates of morality and the power of self-interest.



## THE CONSEQUENCES OF ANARCHY

Even those who argue that morality should play a large role in statecraft acknowledge that international politics is not like domestic politics. In the latter, there is government; in the former, there is none. As a consequence, no agency exists above the individual states with authority and power to make laws and settle disputes. States can make commitments and treaties, but no sovereign power ensures compliance and punishes deviations. This—the absence of a supreme power—is what is meant by the anarchic environment of international politics. Anarchy is therefore said to constitute a *state of war*: when all else fails, force is the *ultima ratio*—the final and legitimate arbiter of disputes among states.

The state of war does not mean that every nation is constantly at the brink of war or actually at war with other nations. Most countries, though, do feel threatened by some states at some time, and every state has experienced periods of intense insecurity. No two contiguous states, moreover, have had a history of close, friendly relations uninterrupted by severe tension if not outright war. Because a nation cannot look to a supreme body to enforce laws, nor count on other nations for constant aid and support, it must rely on its own efforts, particularly for defense against attack. Coexistence in an anarchic environment thus requires *self-help*. The psychological outlook that self-help breeds is best described by a saying common among British statesmen since Palmerston: “Great Britain has no permanent enemies or permanent friends, she has only permanent interests.”

Although states must provide the wherewithal to achieve their own ends, they do not always reach their foreign policy goals. The goals may be grandiose; the means available, meager. The goals may be attainable; the means selected, inappropriate. But even if the goals are realistic and the means both available and appropriate, a state can be frustrated in pursuit of its ends. The reason is simple, but fundamental to an understanding of international politics: what one state does will inevitably impinge on some other states—on some beneficially, but on others adversely. What one state desires another may covet. What one thinks its just due another may find threatening. Steps that a state takes to achieve its goals may be rendered useless by the countersteps others take. No state, therefore, can afford to disregard the effects its actions will have on other nations’ behavior. In this sense state behavior is contingent: what one state does is dependent in part upon what others do. Mutual dependence means that each must take the others into account.

Mutual dependence affects nothing more powerfully than it does security—the measures states take to protect their territory. Like other foreign-policy goals, the security of one state is contingent upon the behavior of other states. Herein lies the *security dilemma* to which each state is subject: In its efforts to preserve or enhance its own security, one state can take measures that decrease the security of other states and cause them to take countermeasures that neutralize the actions of the first state and that may even menace it. The first state may feel impelled to take additional actions that will provoke additional countermeasures . . . and so forth. The security dilemma means that an action-reaction spiral can occur between two states or among several of them so that each is forced to spend ever larger sums on arms and be no more secure than before. All will run faster merely to stay where they were.