

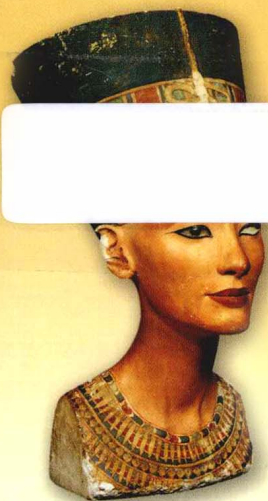
THE WESTERN HUMANITIES

英文大学人文经典教材

西方人文读本

【美】罗伊·T. 马修斯 德维特·普拉特/著
胡鹏 苏政 注释

(注释版)



第6版

Sixth Edition



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第一卷

1999年



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SIXTH EDITION (第六版)

[美] 罗伊·T. 马修斯 Roy T. Matthews

[美] 德维特·普拉特 F. Dewitt Platt

著

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The Western Humanities, 6e

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PREFACE

This new edition of *The Western Humanities* represents a personal and cultural milestone. We claim it as a personal milestone, because for more than twenty years we have been defined by this project (which we affectionately call, “the Book”)—reading, researching, writing, revising, and refining the manuscript, attending concerts, plays, operas, films, lectures, exhibitions, and gallery openings, and discussing the meaning of the Western heritage with colleagues, students, friends, and family. We also claim “the Book” as a cultural milestone because when it existed only in outline form in 1985, academia was in the midst of a culture war in which the future of textbooks devoted exclusively to Western culture seemed in doubt. Throughout the course of five editions, however, *The Western Humanities* has established itself as a strong presence on the academic scene, and we hope that in some small way it has contributed to the revitalization of arts and humanities survey courses in colleges and universities. Its reach now extends around the world—the latest translation has been published in mainland China.

With this sixth edition, we continue in the same spirit with which we first approached our subject. In the first edition, we placed Western cultural achievements within their historical context. In the second and third editions, we expanded coverage of the contributions of women and other artists outside the traditional canon. In the fourth edition, we added a multicultural dimension, with the expectation that students would gain a greater appreciation of world cultures beyond the Western traditions. In the fifth edition, we expanded our coverage of Islamic civilization, as a way of helping students to better grasp contemporary political and cultural issues. For the sixth edition, we have made the most extensive revision yet, increasing the coverage of philosophy, science, music,

and religion, broadening the definition of creativity to embrace advances in technology, and enhancing our treatment of the history of film and photography. It is our hope that the sixth edition of *The Western Humanities* will continue to assist instructors in meeting today’s teaching challenges, as well as help the next generation of students understand and claim their cultural heritage.

AIMS OF THE WESTERN HUMANITIES

In its origin *The Western Humanities* was an outgrowth of our careers as university teachers. Instructing thousands of undergraduate students throughout the years had left us dissatisfied with available textbooks. In our eyes, the existing books failed in one of two ways: They either ignored material developments and focused exclusively on cultural artifacts without context or perspective, or they stressed political, social, and economic history with too little or too disjointed a discussion of literature and the arts. Our goal in writing this book was to balance and integrate these two elements—that is, to provide an analysis and an appreciation of cultural expression and artifacts within an interpretive historical framework.

When we sat down to write the first edition of *The Western Humanities*, we feared that the world of the late twentieth century was in danger of being engulfed by present-minded thinking. Students merely mirror the wider society when they show little knowledge of, or even concern about, the great artistic and literary monuments and movements of the Western tradition, or about the political, economic, and social milestones of Western history. In *The Western Humanities*, we address the problem of present-mindedness by discussing not

only the works that were produced in successive periods but also the prevailing historical and material conditions that so powerfully influenced their form and content. Our intention is to demystify the cultural record by showing that literature and the arts do not spring forth spontaneously and independently of each other, but reflect a set of specific historical circumstances. By providing this substantial context, out of which both ideas and artifacts emerge, we hope to give students a deeper understanding of the meaning of cultural works and a broader basis for appreciating the humanities.

We also emphasize the universal aspects of creativity and expression. People everywhere have the impulse to seek answers to the mysteries of human existence; to discover or invent order in the universe; to respond creatively to nature, both inner and outer; to delight the senses and the mind with beauty and truth; to communicate their thoughts and share their visions with others. Thus, another of our intentions is to demonstrate that the desire to express oneself and to create lasting monuments has been a compelling drive in human beings since before the dawn of civilized life. We believe that this emphasis will help students see that they are not isolated from the past but belong to a tradition that began thousands of years ago.

We also aim to help students prepare themselves for the uncertainties of the future. When they examine the past and learn how earlier generations confronted and overcame crises—and managed to leave enduring legacies—students will discover that the human spirit is irrepressible. In the humanities—in philosophy, religion, art, music, literature—human beings have found answers to their deepest needs and most perplexing questions. We hope that students will be encouraged by this record as they begin to shape the world of the twenty-first century.

ORGANIZATION AND CONTENT

The twenty-two chapters of this text provide a balanced treatment of history and culture. The chapters follow a consistent organization, as described below.

An interpretive context for the humanities. The first part of every chapter covers the material conditions of the era—the historical, political, economic, and social developments. We aim to capture the essence of complex periods and to fashion a coherent narrative framework for the story of Western culture.

Cultural expression. The remaining part of each chapter is devoted to cultural expression, both in the realm of ideas (philosophy, history, religion, science) and in the realm of cultural artifact (art, music, drama, literature, and film). In this part we describe and ana-

lyze the significant cultural achievements of the age, and we examine how creative individuals responded to the challenges presented to them by their society and how they chose values and forms by which to live.

Cultural legacy. Each chapter ends with a brief section describing the cultural legacy of that era. Students will find that some ideas, movements, or artistic methods with which they are familiar have a very long history. They will also discover that the meaning and ascribed value of cultural objects and texts can change from one time and place to another. Our goal is not only to help students establish a context for their culture but to show that the humanities have developed as a dynamic series of choices made by individuals in one era and transformed by individuals in other eras.

SPECIAL FEATURES

The Sixth Edition includes a variety of features to enhance student understanding of the humanities.

- **Encounter boxes.** A special feature introduced in the fifth edition was the **Encounter**, which recounts meetings between the West and other cultures. Through text and art, each Encounter focuses on critical interchanges that influenced both cultures. As we seek to nurture global awareness in today's students, these Encounters demonstrate that cultural encounters and exchanges are an enduring part of history, with both positive and negative consequences.
- **Slices of Life features.** Formerly known as Personal Perspectives, these boxes offer students the opportunity to hear voices from the past of those who witnessed or participated in the historical and cultural events described in the text. These excerpts from primary sources and original documents are designed to bring history to life for the reader.
- **Learning through Maps.** This feature encourages students to develop geographical skills—a highly desirable ability in this age of globalization. By performing map exercises and answering map-related questions, students learn to read maps and understand historical and cultural developments within a specific geographic setting.
- **Legacy sections.** Each chapter ends with a section that conveys the enduring legacy of the traditions described in the chapter. For example, in Chapter 8, the legacy section talks about the ongoing cultural influence of medieval Islam on both modern Islam and on the West.

In addition to the chapter features, each chapter offers several important features at its conclusion:

Terminology. In the text, when a new cultural term is introduced, it is boldfaced and defined immediately. At the end of each chapter, a list of **Key Cultural Terms** appears, serving as a handy review of important words for the student to know. The **Suggestions for Further Reading** is a list, in alphabetic order by author, of one or two literary works by the major writers discussed in the chapter. We provide this list—naming a readily available edition along with an assessment of its usefulness—so that students may do some additional reading on their own. The **Suggestions for Listening** feature offers a list, in alphabetic order by composer, of musical compositions covered in each chapter. The list, with brief annotations, is provided as a follow-up to the music discussion in the chapter, so that students may listen on their own.

CHANGES TO THE SIXTH EDITION

We have made several significant changes in this sixth edition of *The Western Humanities*:

Increased global emphasis. A new final chapter on the impact of globalization and terror on the arts, fourteen new Encounter features highlighting interactions between the West and other cultures, and the addition of numerous writers, artists, and philosophers from around the world (all discussed in detail below), strengthen the book's focus on the global roots of the Western humanities. The illustration program also includes new globally-oriented images, such as a map of the Silk Road in Chapter 7, and manuscript illuminations depicting the Crusades in Chapter 9.

Reorganization and expansion of final chapters. Chapter 21 now focuses on Late Modernism, from 1945 to 1970, while a brand-new Chapter 22 is devoted to Post-Modernism, from 1970 to the present. In Chapter 21, additions include Neo-Orthodoxy; Vatican II reforms; a new and extensive section on film; a new Encounter, "The Globalization of Popular Music"; and a new Slice of Life giving the words of the first astronauts as they recalled their impressions of being on the Moon. We also discuss many individuals not covered in previous editions, such as theologian Paul Tillich; and writers and artists who had not been previously included, such as painter Willem de Kooning, sculptor Eva Hesse, and architect Eero Saarinen. In Chapter 22, we stress both globalization and terrorism and their impact across global culture, as well as include enhanced treatment of science and technology; the birth of liberation theology; the papacy of Pope John Paul II; the rise of radical Islam; the maturation of woodwind chamber music; the rise of hip-hop culture in music; a film section; an Encounter about demography and migration and their impact on globalization; and a Slice

of Life dealing with the sources of Islamic terrorism. New individuals covered include novelist Zadie Smith, poet Derek Walcott, playwrights Dario Fo and Franca Rame, painters Susan Rothenberg and Sam Gilliam, sculptor Maya Lin, architect Zaha Hadid, and composer Tan Dun.

Expanded coverage of selected cultural topics. Science, for example, now appears in ten chapters, including Hellenistic Greece and Post-Modernism. Similarly, philosophy is expanded to bridge gaps in our treatment of the history of thought, with the addition of Jean Bodin, David Hume, Paul Tillich, and Christian Existentialism. Medicine is now discussed in many chapters, beginning with the Mesopotamians and Egyptians and ranging from the Greeks—with the inclusion of Hippocrates—through the Romans, the Muslims and Renaissance Europe to Post-Modern times. Religion is now given more visibility, by focusing on the growth of evangelicalism in Protestantism and the Roman Catholic Church's hostile reaction to modernity, after 1850. This enhanced coverage of religion thus presents more clearly the history of the continuing dialogue between secular culture and religion—a central feature of Western life today. And music is now expanded to provide brief but intense discussions of 23 musical works. These music discussions also serve a secondary goal: They function as "mini-Listening Guides" for students who listen along with the Music CD that is part of the ancillary materials associated with our textbook. Other noteworthy additions to music include the Encounter "The Globalization of Popular Music" in Chapter 21, and an enlarged treatment of Post-Modern music, in Chapter 22.

Expanded coverage of Technology. Technology, which in earlier editions of *The Western Humanities* had been treated as the handmaid of the arts and humanities, is presented in this sixth edition as a form of creative expression whose roots go back to prehistoric times. We show that technology is subject to the same historical and cultural forces that operate on other creative achievements in each period of history. Our coverage of technology extends to most chapters, ranging from Stone Age culture to today's nanotechnology, with a focus especially on those technologies with transformative potential, such as machines, papermaking, food production, and power sources. Along with technology, we have included sections on warfare, which is central to the human experience, embracing the military, science, technology, and governments, and we also show warfare's impact on the wider culture.

New Encounters features. An Encounter feature now appears in all 22 chapters, resulting in an addition of fourteen new episodes for this sixth edition. The new Encounters include such major cultural exchanges as

the invention of the alphabet by the ancient Phoenicians, which became the alphabet for virtually all Western languages; the creation of the Silk Road, linking ancient Rome and the Far East, the world's first attempt at globalization; and the development of the civil disobedience techniques of Gandhi, the father of Indian independence. We have made the Encounters more engaging by adding a set of questions at the end of each, entitled Learning from the Encounter, a pedagogical device meant to help students understand the historical and cultural significance of these meetings.

Enhanced Slices of Life features. We have revised the Slices of Life so that this feature reflects a rich variety of voices including people of diverse religious outlook, including Christian, Muslim, Jewish, and pagan. We have also added questions to each feature, entitled Interpreting this Slice of Life, which are meant to assist students in understanding each speaker.

Enhanced art program. About 115 new artworks are included. Every illustration in the book is discussed both in the text and in a detailed caption. The new illustrations include the Cylinder Seal of Queen Pu-abi, with Banqueting Scene; one of the Vaphio Cups; Horsemen, from the west frieze of the Parthenon; a Hunt Scene from the Piazza Armerina; Arches of the Great Mosque in Cordoba; manuscript illuminations of Crusaders Attacking a Muslim Fortress and Muslims Attacking Crusaders; Ghiberti's *Gates of Paradise*; Bellini's *Mehmet II*; Holbein's *Henry VIII*; Brueghel's *Netherlandish Proverbs*; Rembrandt's etching of *Christ Preaching*; Chambers' Pagoda in Kew Gardens, London; a Gillray caricature; Ingres's *Madame Rivière*; Solar's *Drago*; the Bauhaus Workshop; Moore's *Reclining Figure*; De Kooning's *Woman and Bicycle*; a still from Bergman's *The Seventh Seal*; Rothenberg's *Butterfly*; Richter's *Betty*; and Koolhaas' Seattle Public Library. We have also introduced students to less well-known artists, such as Gerard Ter Borch, Raoul Dufy, and Childe Hassam, through their paintings of historical events.

Increased coverage of women and people of diverse origins. These additions include Encounter 13, "Indigenous Peoples and New Spain"; DeIslas's portrait of Sor Juana Inés de la Cruz, the Mexican nun and early feminist; Slice of Life 17, the testimony of Elizabeth Bentley, a working class woman, before an English parliamentary commission; Inman's portrait of *Sequoyah*, the Cherokee leader, in Encounter 18; the rise of hip hop music; two women photographers (Margaret Bourke-White and Dorothea Lange); one woman film director (Leni Riefenstahl); two African American film directors (Melvin van Peebles and Spike Lee); one Iraqi-born woman architect, living in the U.K. (Zaha Hadid); one Chinese-American architect (I. M. Pei); one Chinese-American sculptor (Maya Lin); two

women sculptors (Eva Hesse and Jeanne-Claude); two women painters (Bridget Riley and Susan Rothenberg); one African American painter (Samuel Gilliam); the Jamaican-British woman writer (Zadie Smith); one woman playwright-performer (Franca Rame); one West Indian-American poet (Derek Walcott); a woodwind ensemble composed of minority musicians (Imani Winds); and a Chinese-American actor (Bruce Lee).

TEACHING AND LEARNING RESOURCES

As instructors, we are keenly aware of the problems encountered in teaching the humanities, especially to large, diverse classes. This text comes with a comprehensive package of supplementary resource materials, designed to help solve those problems.

Instructor's Manual. The sixth edition of the Instructor's Manual has been revised and expanded. For each chapter the manual includes teaching strategies and suggestions; learning objectives; key cultural terms; film, reading, and Internet site suggestions; and a detailed outline revised to accompany the sixth edition of *The Western Humanities*. References to the accompanying anthology, *Readings in the Western Humanities*, are included in each chapter so that primary source material can be easily incorporated into each lesson. In addition to chapter-by-chapter materials, the Instructor's Manual offers five basic teaching strategies and seven lecture models in the preface. The Instructor's Manual is available on the Online Learning Center.

The Image Vault. A large percentage of images from the illustration program are available to adopt-instructors in digital format in **The Image Vault**, McGraw-Hill's new Web-based presentation manager. Instructors can incorporate images from The Image Vault in digital presentations that can be used in class (no Internet access required), burned to CD-ROM, or embedded in course Web pages. See www.mhhe.com/theimagevault for more details.

Music selections. An audio CD that accompanies the sixth edition covers the broad spectrum of music discussed in the text and includes pieces by such composers as Hildegard of Bingen, J. S. Bach, Igor Stravinsky, and Philip Glass.

MyHumanitiesStudio. The student content for the Online Learning Center of this new edition of *The Western Humanities* has been reorganized and newly enriched. All of the Core Concepts content previously available on DVD-ROM has been converted so that students can access the information online. Students can watch videos about various art techniques and access interactive activities designed to strengthen their understanding of visual art, dance, music, sculpture,

literature, theater, architecture, and film. They will also be able to use the guided Research in Action tool to enhance their understanding of time periods, genres, and artists. We hope that this online availability will strengthen student understanding of the humanities as well as spark their own creativity. All of this information is available at www.mhhe.com/mp6 when you click on the **MyHumanitiesStudio** link.

Readings in the Western Humanities. Selections in this anthology of primary source materials are arranged chronologically to follow the 22 chapters of the text, and are divided into two volumes. Volume I covers ancient Mesopotamia through the Renaissance; Volume II, the Renaissance into the 21st century. This anthology gives students access to our literary and philosophical heritage, allowing them to experience firsthand the ideas and voices of the great writers and thinkers of the Western tradition.

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This sixth edition, for reasons beyond our control, has been a challenge in preparation. We thank Alexis Walker for her early role in this project. And, we especially thank Clare Payton for her certain and steady guidance. It was Clare's vision that sustained us through the many months of this endeavor, and she proved to be a calm and wise influence for us both. Special thanks to Lisa Moore, and, especially, Lisa Pinto, Kristen Mellitt, and Christina Gimlin, and to the entire editorial and production team at McGraw-Hill.

INTRODUCTION

Why Study Cultural History?

To be ignorant of what occurred before you were born is to remain always a child.

—CICERO, FIRST CENTURY B.C.E.

Anyone who cannot give an account to oneself of the past three thousand years remains in darkness, without experience, living from day to day.

—GOETHE, NINETEENTH CENTURY C.E.

The underlying premise of this book is that some basic knowledge of the Western cultural heritage is necessary for those who want to become educated human beings in charge of their own destinies. If people are not educated into their place in human history—five thousand years of relatively uninterrupted, though sometimes topsy-turvy, developments—then they are rendered powerless, subject to passing fads and outlandish beliefs. They become vulnerable to the flattery of demagogues who promise heaven on earth, or they fall prey to the misconception that present-day events are unique, without precedent in history, or superior to everything that has gone before.

Perhaps the worst that can happen is to exist in a limbo of ignorance—in Goethe's words, "living from day to day." Without knowledge of the past and the perspective it brings, people may come to believe that their contemporary world will last forever, when in reality much of it is doomed to be forgotten. In contrast to the instant obsolescence of popular culture, the study of Western culture offers an alternative that has passed the unforgiving test of time. Long after today's heroes and celebrities have fallen into oblivion, the achievements of our artistic and literary ancestors—those who have forged the Western tradition—will remain. Their works echo down the ages and seem fresh

in every period. The ancient Roman writer Seneca put it well when he wrote, in the first century C.E., "Life is short but art is long."

When people realize that the rich legacy of Western culture is their own, their view of themselves and the times they live in can expand beyond the present moment. They find that they need not be confined by the limits of today but can draw on the creative insights of people who lived hundreds and even thousands of years ago. They discover that their own culture has a history and a context that give it meaning and shape. Studying and experiencing their cultural legacy can help them understand their place in today's world.

THE BOUNDARIES OF THE WEST

The subject of this text is Western culture, but what exactly do we mean, first, by "culture" and, second, by the "West"? *Culture* is a term with several meanings, but we use it here to mean the artistic and intellectual expressions of a people, their creative achievements. By the *West* we mean that part of the globe that lies west of Asia and Asia Minor and north of Africa, especially Europe—the geographical framework for much of this study.

The Western tradition is not confined exclusively to Europe as defined today, however. The contributions of peoples who lived beyond the boundaries of present-day Europe are also included in Western culture, either because they were forerunners of the West, such as those who created the first civilizations in Mesopotamia and Egypt, or because they were part of the West for periods of time, such as those who lived in the North African and Near Eastern lands bordering the

topsy-turvy: 颠倒的
demagogue: 鼓动者
limbo: 图图

Goethe: 歌德
Asia Minor: 小亚细亚
Mesopotamia: 美索不达米亚

Mediterranean Sea during the Roman and early Christian eras. Regardless of geography, Western culture draws deeply from ideals forged in these lands.

When areas that had been part of the Western tradition at one time were absorbed into other cultural traditions—as happened in the seventh century in Mesopotamia, Egypt, and North Africa when the people embraced the Muslim faith—then they are generally no longer included in Western cultural history. Because of the enormous influence of Islamic civilization on Western civilization, however, we do include in this volume both an account of Islamic history and a description and appreciation of Islamic culture. Different in many ways from our own, the rich tradition of Islam has an important place in today's world.

After about 1500, with voyages and explorations reaching the farthest parts of the globe, the European focus of Western culture that had held for centuries began to dissolve. Starting from this time, the almost exclusively European mold was broken and Western values and ideals began to be exported throughout the world, largely through the efforts of missionaries, soldiers, colonists, and merchants. Coinciding with this development and further complicating the pattern of change were the actions of those who imported and enslaved countless numbers of black Africans to work on plantations in North and South America. The interplay of Western culture with many previously isolated cultures, whether desired or not, forever changed all who were touched by the process.

The Westernization of the globe that has been going on ever since 1500 is perhaps the dominant theme of our time. What human greed, missionary zeal, and dreams of empire failed to accomplish before 1900 was achieved during the twentieth century by modern technology, the media, and popular culture. The world today is a global village, much of it dominated by Western values and styles of life. In our time, Westernization has become a two-way interchange. When artists and writers from other cultures adopt Western forms or ideas, they are not only Westernizing their own traditions but also injecting fresh sensibilities and habits of thought into the Western tradition. The globalization of culture means that a South American novel or a Japanese film can be as accessible to Western audiences as a European painting, and yet carry with it an intriguingly new vocabulary of cultural symbols and meanings.

HISTORICAL PERIODS AND CULTURAL STYLES

In cultural history, the past is often divided into historical periods and cultural styles. A historical period

is an interval of time that has a certain unity because it is characterized by the prevalence of a unique culture, ideology, or technology, or because it is bounded by defining historical events, such as the death of a military leader like Alexander the Great or a political upheaval like the fall of Rome. A cultural style is a combination of features of artistic or literary expression, execution, or performance that defines a particular school or era. A historical period may have the identical time frame as a cultural style, or it may embrace more than one style simultaneously or two styles successively. Each chapter of this survey focuses on a historical period and includes significant aspects of culture—usually the arts, architecture, literature, religion, music, and philosophy—organized around a discussion of the relevant style or styles appropriate to that time.

The survey begins with prehistory, the era before writing was invented, setting forth the emergence of human beings from an obscure past. After the appearance of writing in about 3000 B.C.E., the Western cultural heritage is divided into three sweeping historical periods: ancient, medieval, and modern.

The ancient period dates from 3000 B.C.E. to 500 C.E. (Timeline 1). During these thirty-five hundred years the light of Western civilization begins to shine in Mesopotamia and Egypt, shines more brightly still in eighth-century-B.C.E. Greece and Rome, loses some of its luster when Greece succumbs to Rome in 146 B.C.E., and finally is snuffed out when the Roman Empire collapses in the fifth century C.E. Coinciding with these historical periods are the cultural styles of Mesopotamia; Egypt; Greece, including Archaic, Classical (or Hellenic), and Hellenistic styles; and Rome, including Republican and Imperial styles.

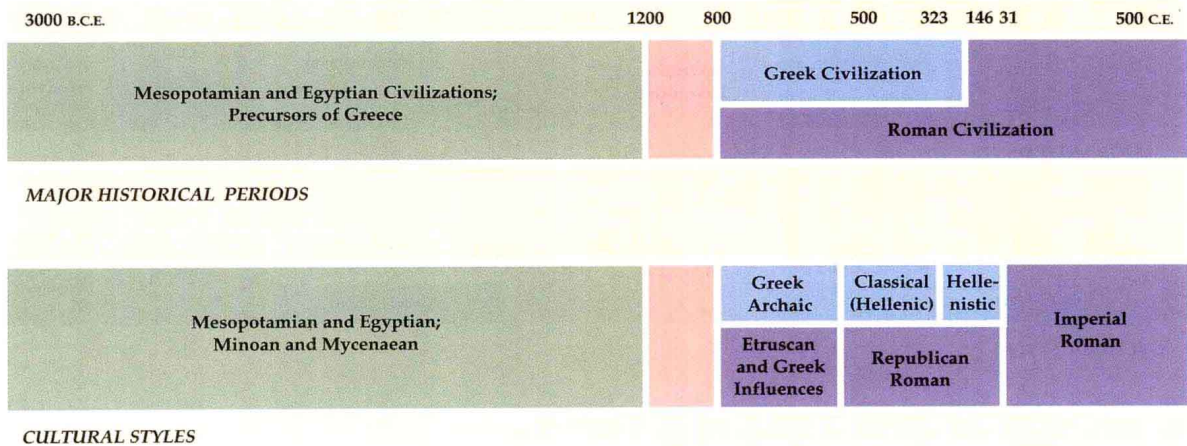
The medieval period, or the Middle Ages, covers events between 500 and 1500 C.E., a one-thousand-year span that is further divided into three subperiods (Timeline 2). The Early Middle Ages (500–1000) is typified by frequent barbarian invasions and political chaos so that civilization itself is threatened and barely survives. No single international style characterizes this turbulent period, though several regional styles flourish. The High Middle Ages (1000–1300) is a period of stability and the zenith of medieval culture. Two successive styles appear, the Romanesque and the Gothic, with the latter dominating culture for the rest of the medieval period. The Late Middle Ages (1300–1500) is a transitional period in which the medieval age is dying and the modern age is struggling to be born.

The modern period begins in about 1400 (there is often overlap between historical periods) and continues today (Timeline 3). With the advent of the modern period, a new way of defining historical changes starts

intriguingly: 有趣地

upheaval: 动荡
obscure: 模糊的

Timeline 1 THE ANCIENT WORLD



to make more sense—the division of history into movements, the activities of large groups of people united to achieve a common goal. The modern period consists of waves of movements that aim to change the world in some specific way.

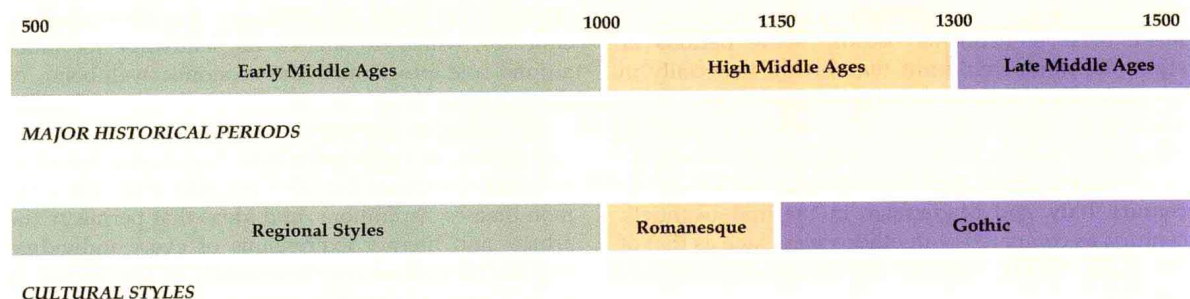
The first modern movement is the Renaissance (1400–1600), or “rebirth,” which attempts to revive the cultural values of ancient Greece and Rome. It is accompanied by two successive styles, Renaissance and Mannerism. The next significant movement is the Reformation (1500–1600), which is dedicated to restoring Christianity to the ideals of the early church set forth in the Bible. Although it does not spawn a specific style, this religious upheaval does have a profound impact on the subjects of the arts and literature and the

way they are expressed, especially in the Mannerist style.

The Reformation is followed by the Scientific Revolution (1600–1700), a movement that results in the abandonment of ancient science and the birth of modern science. Radical in its conclusions, the Scientific Revolution is somewhat out of touch with the style of its age, which is known as the Baroque. This magnificent style is devoted to overwhelming the senses through theatrical and sensuous effects and is associated with the attempts of the Roman Catholic Church to reassert its authority in the world.

The Scientific Revolution gives impetus to the Enlightenment (1700–1800), a movement that pledges to reform politics and society according to the principles

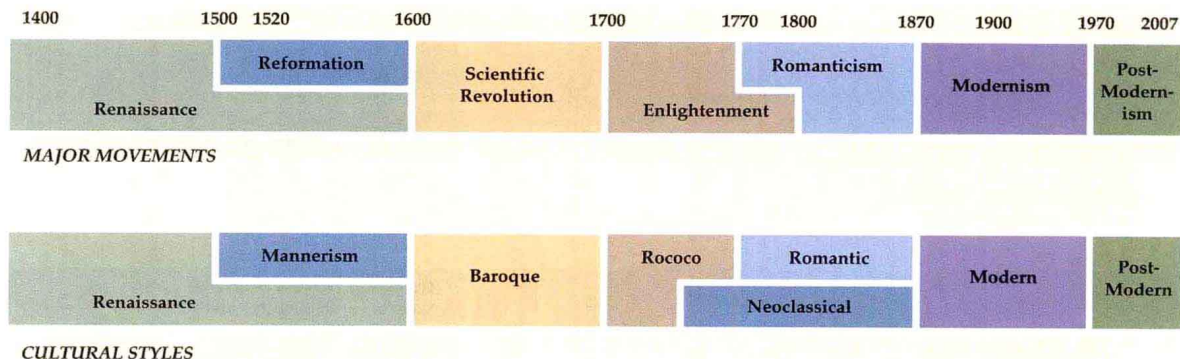
Timeline 2 THE MEDIEVAL WORLD



Renaissance: 文艺复兴
Mannerism: 矫饰主义
spawn: 造成, 产生

Baroque: 巴洛克风格

Timeline 3 THE MODERN WORLD



of the new science. In stylistic terms the eighteenth century is schizophrenic, dominated first by the Rococo, an extravagant and fanciful style that represents the last phase of the Baroque, and then by the Neoclassical, a style inspired by the works of ancient Greece and Rome and reflective of the principles of the Scientific Revolution. Before the eighteenth century is over, the Enlightenment calls forth its antithesis, Romanticism (1770–1870), a movement centered on feeling, fantasy, and everything that cannot be proven scientifically. The Romantic style, marked by a revived taste for the Gothic and a love of nature, is the perfect accompaniment to this movement.

Toward the end of the nineteenth century, Modernism (1870–1970) arises, bent on destroying every vestige of both the Greco-Roman tradition and the Christian faith and on fashioning new ways of understanding that are independent of the past. Since 1970, Post-Modernism has emerged, a movement that tries to make peace with the past by embracing old forms of expression while at the same time adopting a global and multivoiced perspective.

Although every cultural period is marked by innovation and creativity, our treatment of them in this book varies somewhat, with more space and greater weight given to the achievements of certain times. We make these adjustments because some periods or styles are more significant than others, especially in the defining influence that their achievements have had on our own era. For example, some styles seem to tower over the rest, such as Classicism in fifth-century-B.C.E. Greece, the High Renaissance of sixteenth-century Italy, and Modernism in the mid-twentieth century, as compared with other styles, such as that of the Early Middle Ages or the seventeenth-century Baroque.

AN INTEGRATED APPROACH TO CULTURAL HISTORY

Our approach to the Western heritage in this book is to root cultural achievements in their historical settings, showing how the material conditions—the political, social, and economic events of each period—influenced their creation. About one third of each chapter is devoted to an interpretive discussion of material history, and the remaining two thirds are devoted to the arts, architecture, philosophy, religion, literature, and music of the period. These two aspects of history do not occur separately, of course, and one of our aims is to show how they are intertwined.

As just one example of this integrated approach, consider the Gothic cathedral, that lofty, light-filled house of worship marked by pointed arches, towering spires, and radiant stained-glass windows. Gothic cathedrals were erected during the High Middle Ages, following a bleak period when urban life had virtually ceased. Although religion was still the dominant force in European life, trade was starting to flourish once again, town life was reviving, and urban dwellers were beginning to prosper. In part as testimonials to their new wealth, cities and towns commissioned architects and hired workers to erect these soaring churches, which dominated the landscape for miles around and proclaimed the economic well-being of their makers.

We adopt an integrated approach to Western culture not just in considering how the arts are related to material conditions but also in looking for the common themes, aspirations, and ideas that permeate the artistic and literary expressions of every individual era. The creative accomplishments of an age tend to reflect a shared perspective, even when that perspective

schizophrenic: 矛盾的, 对立的
 Rococo: 洛可可风格
 antithesis: 对立面

Gothic: 哥特式的
 cathedral: 大教堂

is not explicitly recognized at the time. Thus, each period possesses a unique outlook that can be analyzed in the cultural record. A good example of this phenomenon is Classical Greece in the fifth century B.C.E., when the ideal of moderation, or balance in all things, played a major role in sculpture, architecture, philosophy, religion, and tragic drama. The cultural record in other periods is not always as clear as that in ancient Greece, but shared qualities can often be uncovered that distinguish the varied aspects of culture in an era to form a unifying thread.

A corollary of this idea is that creative individuals and their works are very much influenced by the times in which they live. This is not to say that incomparable geniuses—such as Shakespeare in Renaissance England—do not appear and rise above their own ages, speaking directly to the human mind and heart in every age that follows. Yet even Shakespeare reflected the political attitudes and social patterns of his time. Though a man for the ages, he still regarded monarchy as the correct form of government and women as the inferiors of men.

THE SELECTION OF CULTURAL WORKS

The Western cultural heritage is vast, and any selection of works for a survey text reflects choices made by the authors. All the works we chose to include have had a significant impact on Western culture, but for different reasons. We chose some because they blazed a new trail, such as Picasso's *Demoiselles d'Avignon* (see Figure 19.22), which marked the advent of Cubism in painting, or Fielding's *Tom Jones*, one of the earliest novels. Other works were included because they seemed to embody a style to perfection, such as the regal statue called *Poseidon* (or *Zeus*) (see Figure 3.21), executed in the Classical style of fifth-century-B.C.E. Athens, or Dante's *Divine Comedy*, which epitomized

the ideals of the High Middle Ages. On occasion, we chose works on a particular topic, such as the biblical story of David and Goliath, and demonstrated how different sculptors interpreted it, as in sculptures by Donatello (see Figure 11.11), Verrocchio (see Figure 11.12), and Michelangelo (see Figure 12.20). Still other works caught our attention because they served as links between successive styles, as is the case with Giotto's frescoes (see Figure 10.20), or because they represented the end of an age or an artistic style, as in the haunting sculpture called *The Last Pagan* (see Figure 7.12). Finally, we included some works, especially paintings, simply because of their great beauty, such as Ingres's *Madame Rivière* (see Figure 17.7).

Through all the ages of Western cultural history, through all the shifting styles and tastes embodied in painting, sculpture, architecture, poetry, and song, there glows a creative spark that can be found in human beings in every period. This diversity is a hallmark of the Western experience, and we celebrate it in this book.

A CHALLENGE TO THE READER

The purpose of all education is and should be self-knowledge. This goal was first established by the ancient Greeks in their injunction to "Know thyself," the inscription carved above the entrance to Apollo's temple at Delphi. Self-knowledge means awareness of oneself and one's place in society and the world. Reaching this goal is not easy, because becoming an educated human being is a lifelong process, requiring time, energy, and commitment. But all journeys begin with a single step, and we intend this volume as a first step toward understanding and defining oneself in terms of one's historical and cultural heritage. Our challenge to the reader is to use this book to begin the long journey to self-knowledge.

A HUMANITIES PRIMER

How to Understand the Arts

INTRODUCTION

We can all appreciate the arts. We can find pleasure or interest in paintings, music, poems, novels, films, and many other art forms, both contemporary and historical. We don't need to know very much about art to know what we like, because we bring ourselves to the work: What we like has as much to do with who we are as with the art itself.

Many of us, for example, will respond positively to a painting like Leonardo da Vinci's *The Virgin of the Rocks*. The faces of the Madonna and angel are lovely; we may have seen images like these on Christmas cards or in other commercial reproductions. We respond with what English poet William Wordsworth calls the "first careless rapture," which activates our imaginations and establishes a connection between us and the work of art. However, if this is all we see, if we never move from a subjective reaction, we can only appreciate the surface, the immediate form, and then, perhaps subconsciously, accept without question the values it implies. We appreciate, but we do not understand.

Sometimes we cannot appreciate because we do not understand. We may reject Picasso's *Les Femmes d'Alger*, for it presents us with images of women that we may not be able to recognize. These women may make us uncomfortable, and the values they imply may frighten us rather than please or reassure us. Rather than rapture, we may experience disgust; but when we realize that this painting is considered a groundbreaking work, we may wonder what we're missing and be willing to look deeper. (*The Virgin of the Rocks* and *Les Femmes d'Alger* are discussed in the text on page 345 and pages 605–7, respectively.)



LEONARDO DA VINCI. *The Virgin of the Rocks*.

To understand a work of art (a building, a poem, a song, a symphony), we need to keep our “rapture” (our emotional response and connection) but make it less “careless,” less superficial and subjective, less restricted to that which we recognize. We need to enrich our appreciation by searching for a meaning that goes beyond ourselves. This involves understanding the intent or goal of the artist, the elements of form present in the work, the ways in which those elements contribute to the artist’s goal, the context within which the artwork evolved, and the connections of the work to other works. Understanding an artwork requires intellectual involvement as well as an emotional connection. The purpose of this primer is to provide you with some of the tools you will need to understand, as well as appreciate, literature, art, and music.

APPROACHES TO THE ANALYSIS OF LITERATURE, ART, AND MUSIC

When we analyze a work of art, we ask two questions: What is the artist trying to do, and how well is it done? We want to identify the intent of the work, and we want to evaluate its execution. To answer these questions, we can examine the formal elements of the work—an approach known as formalism—and we can explore its context—known as contextualism.

Formalism

A formal analysis is concerned with the aesthetic (artistic) elements of a work separate from context. This type of analysis focuses on medium and technique. The context of the work—where, when, and by whom a work was created—may be interesting, but is considered unnecessary to formalist interpretation and understanding. A formal analysis of a painting, sculpture, or architectural structure examines its line, shape, color, texture, and composition, as well as the artist’s technical ability within the medium used; it is not concerned with anything extraneous to the work itself. A formal analysis of a literary work, such as a short story or novel, would explore the relationships among theme, plot, characters, and setting, as well as how well the resources of language—word choice, tone, imagery, symbol, and so on—are used to support the other elements. A formal analysis of a film would also explore theme, plot, characters (as developed both verbally and non-verbally), and setting, as well as how the resources of cinematography—camera techniques, lighting, sound, editing, and so on—support the other elements.

A formal analysis of *The Virgin of the Rocks* would examine the artist’s use of perspective, the arrange-



PABLO PICASSO. *Les Femmes d'Alger (O. J.)*.

ment of figures as they relate to each other and to the grotto that surrounds them, the technical use of color and line, the dramatic interplay of light and shadow (known as *chiaroscuro*). The same technical considerations would be explored in a formal analysis of *Les Femmes d'Alger (O. J.)*. The fact that the two paintings were completed in 1483 and 1907, respectively, would be important only in terms of the technology and mediums available to the artists. In a formal analysis, time and place exist only within the work.

Contextualism

In contrast, a contextual analysis focuses on factors outside the work: why it was created, in response to what artistic, social, cultural, historical, and political forces, events, and trends; who the artist is, and what his or her intent and motives were in creating the work; how the work fits in with other works of the same genre of the same or different eras; and how the work fits in with the rest of the artist’s body of work. Time and place are very important.

A contextual analysis of the da Vinci and Picasso paintings would include information about where and when each painting was completed; the conditions from which it arose; the prevailing artistic styles of the times; the life circumstances of the artists; and so on.

The paintings alone do not provide enough information for contextual inquiry. Similarly, contextual analysis of a novel by Dostoevsky would consider both his personal circumstances and the conditions in Russia and Europe when he wrote. A contextual analysis of a chorale and fugue by Bach would include information on Bach's life, his religious beliefs, and the political climate of Germany in the eighteenth century.

An Integrated Approach

In a strictly contextual analysis of an artwork, the work itself can sometimes be lost in the exploration of context. In a strictly formal analysis, important knowledge that can contribute to understanding may remain unknown. The most effective analyses, therefore, combine and integrate the two approaches, examining the formal elements of the work and exploring the context within which it was created. Such an approach is more effective and, in a sense, more honest than either the formal or the contextual approach alone. A work of art, whether a poem or a painting, a cathedral or a cantata, is a complex entity, as are the relationships it fosters between the artist and the art and between the art and its audience. The integrative approach recognizes these relationships and their complexity. This is the approach to artistic and cultural analysis most frequently used in *The Western Humanities*.

A Variety of Perspectives

Many students and critics of culture, while taking an integrative approach, are also especially interested in looking at things from a particular perspective, a set of interests or a way of thinking that informs and influences their investigations and interpretations. Common perspectives are the psychological, the feminist, the religious, the economic, and the historical.

People working from a psychological perspective look for meaning in the psychological features of the work, such as sexual and symbolic associations; they do a kind of retroactive psychological analysis of the artist. They might look for meaning in the facial expressions, gestures, and body positions of Mary and the angel in *The Virgin of the Rocks*. They might be interested in da Vinci's attitudes toward women and his relationships with them, and they might compare this painting with the *Mona Lisa* in a search for clues about who he was.

Someone working from a feminist perspective would examine the art itself and the context in which it arose from a woman's point of view. To take a feminist perspective is to ask how the work depicts

women, what it says about women and their relationships in general, and how it may or may not reflect a patriarchal society. Many people have discussed the apparent hatred of women that seems to come through in Picasso's *Les Femmes d'Alger*. At the same time, the work, in its size (8 feet by 7 feet 8 inches) and in the unblinking attitude of its subjects, suggests that these women have a kind of raw power. Feminist critics focus on such considerations.

Analysis from a religious perspective is often appropriate when a work of art originated in a religious context. The soaring spires and cruciform floor plans of medieval cathedrals reveal religious meaning, for example, as do Renaissance paintings depicting biblical characters. Many contemporary works of art and literature also have religious content. Religious analyses look to the use of symbolism, the representation of theological doctrines and beliefs, and intercultural connections and influences for meaning.

Someone approaching a work of art from an economic perspective focuses on its economic content—the roles and relationships associated with wealth. Often drawing upon Marx's contention that class is the defining consideration in all human relationships and endeavors, an economic analysis would examine both purpose and content: Was the work created as a display of power by the rich? How does it depict people of different classes? What is the artist saying about the distribution of wealth?

The historical perspective is perhaps the most encompassing of all perspectives, because it can include explorations of psychological, religious, and economic issues, as well as questions about class and gender in various times and places. Historical analysis requires an understanding of the significant events of the time and how they affect the individual and shape the culture. *The Western Humanities* most often takes a historical perspective in its views of art and culture.

The Vocabulary of Analysis

Certain terms and concepts are fundamental to the analysis of any artwork. We review several such general concepts and terms here, before moving on to a consideration of more specific art forms.

Any artwork requires a relationship between itself and its audience. **Audience** is the group for whom a work of art, architecture, literature, drama, film, or music is intended. The audience may be a single person, such as the Medici ruler to whom Machiavelli dedicated his political treatise *The Prince*. The audience can be a small group of people with access to the work, such as the monks who dined in the room where Leonardo da Vinci painted *The Last Supper* on the wall.

chorale: 合唱曲
fugue: 赋格曲
cantata: 大合唱

retroactive: 追溯的
spire: 尖塔
cruciform: 十字形的