

Political Science 160

# Political Science 160

*Introduction to Political Thought*

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# MODULE I: THINKING ABOUT BIG POLITICAL IDEAS

# 1.1 Plato, Apology

## *About this Text*

In the *Apology*, Plato describes the trial of Socrates. Some key things to look for as you read:

- Socrates' description of his visit to the oracle at Delphi and his response to the oracle's insistence that no human is wiser than Socrates.
- Socrates' description of practicing philosophy in the streets of Athens as he attempts to prove the oracle wrong.
- Socrates' description of his relationship to Athens. Look for his claim that he is a "stinging fly" or "gadfly."
- Socrates' claim that "the unexamined life is not worth living."
- The charges brought against Socrates and his response to them.
- Socrates' suggestion of an appropriate punishment.

Though it isn't required, you might also want to read Plato's *Crito*, in which an old friend of Socrates tries to convince him to escape from prison as he awaits execution. You'll find more the text of the *Crito* below, in section 1.2

## APOLOGY

Plato

*Translated by Benjamin Jowett*

source

How you, O Athenians, have been affected by my accusers, I cannot tell; but I know that they almost made me forget who I was—so persuasively did they speak; and yet they have hardly uttered a word of truth. But of the many falsehoods told by them, there was one which quite amazed me;—I mean when they said that you should be upon your guard and not allow yourselves to be deceived by the force of my eloquence. To say this, when they were certain to be detected as soon as I opened my lips and proved myself to be anything but a great speaker, did indeed appear to me most shameless—unless by the force of eloquence they mean the force of truth; for is such is their meaning, I admit that I am eloquent. But in how different a way from theirs! Well, as I was saying, they have scarcely spoken the truth at all; but from me you shall hear the whole truth: not, however, delivered after their manner in a set oration duly ornamented with words and phrases. No, by heaven! but I shall use the words and arguments which occur to me at the moment; for I am confident in the justice of my cause (Or, I am certain that I am right in taking this course.):



at my time of life I ought not to be appearing before you, O men of Athens, in the character of a juvenile orator—let no one expect it of me. And I must beg of you to grant me a favour:—If I defend myself in my accustomed manner, and you hear me using the words which I have been in the habit of using in the agora, at the tables of the money-changers, or anywhere else, I would ask you not to be surprised, and not to interrupt me on this account. For I am more than seventy years of age, and appearing now for the first time in a court of law, I am quite a stranger to the language of the place; and therefore I would have you regard me as if I were really a stranger, whom you would excuse if he spoke in his native tongue, and after the fashion of his country:—Am I making an unfair request of you? Never mind the manner, which may or may not be good; but think only of the truth of my words, and give heed to that: let the speaker speak truly and the judge decide justly.

And first, I have to reply to the older charges and to my first accusers, and then I will go on to the later ones. For of old I have had many accusers, who have accused me falsely to you during many years; and I am more afraid of them than of Anytus and his associates, who are dangerous, too, in their own way. But far more dangerous are the others, who began when you were children, and took possession of your minds with their falsehoods, telling of one Socrates, a wise man, who speculated about the heaven above, and searched into the earth beneath, and made the worse appear the better cause. The disseminators of this tale are the accusers whom I dread; for their hearers are apt to fancy that such enquirers do not believe in the existence of the gods. And they are many, and their charges against me are of ancient date, and they were made by them in the days when you were more impressible than you are now—in childhood, or it may have been in youth—and the cause when heard went by default, for there was none to answer. And hardest of all, I do not know and cannot tell the names of my accusers; unless in the chance case of a Comic poet. All who from envy and malice have persuaded you—some of them having first convinced themselves—all this class of men are most difficult to deal with; for I cannot have them up here, and cross-examine them, and therefore I must simply fight with shadows in my own defence, and argue when there is no one who answers. I will ask you then to assume with me, as I was saying, that my opponents are of two kinds; one recent, the other ancient: and I hope that you will see the propriety of my answering the latter first, for these accusations you heard long before the others, and much oftener.

Well, then, I must make my defence, and endeavour to clear away in a short time, a slander which has lasted a long time. May I succeed, if to succeed be for my good and yours, or likely to avail me in my cause! The task is not an easy one; I quite understand the nature of it. And so leaving the event with God, in obedience to the law I will now make my defence.

I will begin at the beginning, and ask what is the accusation which has given rise to the slander of me, and in fact has encouraged Meletus to proof this charge against me. Well, what do the slanderers say? They shall be my prosecutors, and I will sum up their words in an affidavit: ‘Socrates is an evil-doer, and a curious person, who searches into things under the earth and in heaven, and he makes the worse appear the better cause; and he teaches the aforesaid doctrines to others.’ Such is the nature of the accusation: it is just what you have yourselves seen in the comedy of Aristophanes (Aristoph., *Clouds*.), who has introduced a man whom he calls Socrates, going about and saying that he walks in air, and talking a deal of nonsense concerning matters of which I do not pretend to know either much or little—not that I mean to speak disparagingly of any one who is a student of natural philosophy. I should be very sorry if Meletus could bring so grave a charge against me. But the simple truth is, O Athenians, that I have nothing to do with physical

speculations. Very many of those here present are witnesses to the truth of this, and to them I appeal. Speak then, you who have heard me, and tell your neighbours whether any of you have ever known me hold forth in few words or in many upon such matters...You hear their answer. And from what they say of this part of the charge you will be able to judge of the truth of the rest.

As little foundation is there for the report that I am a teacher, and take money; this accusation has no more truth in it than the other. Although, if a man were really able to instruct mankind, to receive money for giving instruction would, in my opinion, be an honour to him. There is Gorgias of Leontium, and Prodicus of Ceos, and Hippias of Elis, who go the round of the cities, and are able to persuade the young men to leave their own citizens by whom they might be taught for nothing, and come to them whom they not only pay, but are thankful if they may be allowed to pay them. There is at this time a Parian philosopher residing in Athens, of whom I have heard; and I came to hear of him in this way:—I came across a man who has spent a world of money on the Sophists, Callias, the son of Hipponicus, and knowing that he had sons, I asked him: ‘Callias,’ I said, ‘if your two sons were foals or calves, there would be no difficulty in finding some one to put over them; we should hire a trainer of horses, or a farmer probably, who would improve and perfect them in their own proper virtue and excellence; but as they are human beings, whom are you thinking of placing over them? Is there any one who understands human and political virtue? You must have thought about the matter, for you have sons; is there any one?’ ‘There is,’ he said. ‘Who is he?’ said I; ‘and of what country? and what does he charge?’ ‘Evenus the Parian,’ he replied; ‘he is the man, and his charge is five minae.’ Happy is Evenus, I said to myself, if he really has this wisdom, and teaches at such a moderate charge. Had I the same, I should have been very proud and conceited; but the truth is that I have no knowledge of the kind.

I dare say, Athenians, that some one among you will reply, ‘Yes, Socrates, but what is the origin of these accusations which are brought against you; there must have been something strange which you have been doing? All these rumours and this talk about you would never have arisen if you had been like other men: tell us, then, what is the cause of them, for we should be sorry to judge hastily of you.’ Now I regard this as a fair challenge, and I will endeavour to explain to you the reason why I am called wise and have such an evil fame. Please to attend then. And although some of you may think that I am joking, I declare that I will tell you the entire truth. Men of Athens, this reputation of mine has come of a certain sort of wisdom which I possess. If you ask me what kind of wisdom, I reply, wisdom such as may perhaps be attained by man, for to that extent I am inclined to believe that I am wise; whereas the persons of whom I was speaking have a superhuman wisdom which I may fail to describe, because I have it not myself; and he who says that I have, speaks falsely, and is taking away my character. And here, O men of Athens, I must beg you not to interrupt me, even if I seem to say something extravagant. For the word which I will speak is not mine. I will refer you to a witness who is worthy of credit; that witness shall be the God of Delphi—he will tell you about my wisdom, if I have any, and of what sort it is. You must have known Chaerephon; he was early a friend of mine, and also a friend of yours, for he shared in the recent exile of the people, and returned with you. Well, Chaerephon, as you know, was very impetuous in all his doings, and he went to Delphi and boldly asked the oracle to tell him whether—as I was saying, I must beg you not to interrupt—he asked the oracle to tell him whether anyone was wiser than I was, and the Pythian prophetess answered, that there was no man wiser. Chaerephon is dead himself; but his brother, who is in court, will confirm the truth of what I am saying.

Why do I mention this? Because I am going to explain to you why I have such an evil name. When

I heard the answer, I said to myself, What can the god mean? and what is the interpretation of his riddle? for I know that I have no wisdom, small or great. What then can he mean when he says that I am the wisest of men? And yet he is a god, and cannot lie; that would be against his nature. After long consideration, I thought of a method of trying the question. I reflected that if I could only find a man wiser than myself, then I might go to the god with a refutation in my hand. I should say to him, 'Here is a man who is wiser than I am; but you said that I was the wisest.' Accordingly I went to one who had the reputation of wisdom, and observed him—his name I need not mention; he was a politician whom I selected for examination—and the result was as follows: When I began to talk with him, I could not help thinking that he was not really wise, although he was thought wise by many, and still wiser by himself; and thereupon I tried to explain to him that he thought himself wise, but was not really wise; and the consequence was that he hated me, and his enmity was shared by several who were present and heard me. So I left him, saying to myself, as I went away: Well, although I do not suppose that either of us knows anything really beautiful and good, I am better off than he is,—for he knows nothing, and thinks that he knows; I neither know nor think that I know. In this latter particular, then, I seem to have slightly the advantage of him. Then I went to another who had still higher pretensions to wisdom, and my conclusion was exactly the same. Whereupon I made another enemy of him, and of many others besides him.

Then I went to one man after another, being not unconscious of the enmity which I provoked, and I lamented and feared this: but necessity was laid upon me,—the word of God, I thought, ought to be considered first. And I said to myself, Go I must to all who appear to know, and find out the meaning of the oracle. And I swear to you, Athenians, by the dog I swear!—for I must tell you the truth—the result of my mission was just this: I found that the men most in repute were all but the most foolish; and that others less esteemed were really wiser and better. I will tell you the tale of my wanderings and of the 'Herculean' labours, as I may call them, which I endured only to find at last the oracle irrefutable. After the politicians, I went to the poets; tragic, dithyrambic, and all sorts. And there, I said to myself, you will be instantly detected; now you will find out that you are more ignorant than they are. Accordingly, I took them some of the most elaborate passages in their own writings, and asked what was the meaning of them—thinking that they would teach me something. Will you believe me? I am almost ashamed to confess the truth, but I must say that there is hardly a person present who would not have talked better about their poetry than they did themselves. Then I knew that not by wisdom do poets write poetry, but by a sort of genius and inspiration; they are like diviners or soothsayers who also say many fine things, but do not understand the meaning of them. The poets appeared to me to be much in the same case; and I further observed that upon the strength of their poetry they believed themselves to be the wisest of men in other things in which they were not wise. So I departed, conceiving myself to be superior to them for the same reason that I was superior to the politicians.

At last I went to the artisans. I was conscious that I knew nothing at all, as I may say, and I was sure that they knew many fine things; and here I was not mistaken, for they did know many things of which I was ignorant, and in this they certainly were wiser than I was. But I observed that even the good artisans fell into the same error as the poets;—because they were good workmen they thought that they also knew all sorts of high matters, and this defect in them overshadowed their wisdom; and therefore I asked myself on behalf of the oracle, whether I would like to be as I was, neither having their knowledge nor their ignorance, or like them in both; and I made answer to myself and to the oracle that I was better off as I was.

This inquisition has led to my having many enemies of the worst and most dangerous kind, and has given occasion also to many calumnies. And I am called wise, for my hearers always imagine that I myself possess the wisdom which I find wanting in others: but the truth is, O men of Athens, that God only is wise; and by his answer he intends to show that the wisdom of men is worth little or nothing; he is not speaking of Socrates, he is only using my name by way of illustration, as if he said, He, O men, is the wisest, who, like Socrates, knows that his wisdom is in truth worth nothing. And so I go about the world, obedient to the god, and search and make enquiry into the wisdom of any one, whether citizen or stranger, who appears to be wise; and if he is not wise, then in vindication of the oracle I show him that he is not wise; and my occupation quite absorbs me, and I have no time to give either to any public matter of interest or to any concern of my own, but I am in utter poverty by reason of my devotion to the god.

There is another thing:—young men of the richer classes, who have not much to do, come about me of their own accord; they like to hear the pretenders examined, and they often imitate me, and proceed to examine others; there are plenty of persons, as they quickly discover, who think that they know something, but really know little or nothing; and then those who are examined by them instead of being angry with themselves are angry with me: This confounded Socrates, they say; this villainous misleader of youth!—and then if somebody asks them, Why, what evil does he practise or teach? they do not know, and cannot tell; but in order that they may not appear to be at a loss, they repeat the ready-made charges which are used against all philosophers about teaching things up in the clouds and under the earth, and having no gods, and making the worse appear the better cause; for they do not like to confess that their pretence of knowledge has been detected—which is the truth; and as they are numerous and ambitious and energetic, and are drawn up in battle array and have persuasive tongues, they have filled your ears with their loud and inveterate calumnies. And this is the reason why my three accusers, Meletus and Anytus and Lycon, have set upon me; Meletus, who has a quarrel with me on behalf of the poets; Anytus, on behalf of the craftsmen and politicians; Lycon, on behalf of the rhetoricians: and as I said at the beginning, I cannot expect to get rid of such a mass of calumny all in a moment. And this, O men of Athens, is the truth and the whole truth; I have concealed nothing, I have dissembled nothing. And yet, I know that my plainness of speech makes them hate me, and what is their hatred but a proof that I am speaking the truth?—Hence has arisen the prejudice against me; and this is the reason of it, as you will find out either in this or in any future enquiry.

I have said enough in my defence against the first class of my accusers; I turn to the second class. They are headed by Meletus, that good man and true lover of his country, as he calls himself. Against these, too, I must try to make a defence:—Let their affidavit be read: it contains something of this kind: It says that Socrates is a doer of evil, who corrupts the youth; and who does not believe in the gods of the state, but has other new divinities of his own. Such is the charge; and now let us examine the particular counts. He says that I am a doer of evil, and corrupt the youth; but I say, O men of Athens, that Meletus is a doer of evil, in that he pretends to be in earnest when he is only in jest, and is so eager to bring men to trial from a pretended zeal and interest about matters in which he really never had the smallest interest. And the truth of this I will endeavour to prove to you.

Come hither, Meletus, and let me ask a question of you. You think a great deal about the improvement of youth?

Yes, I do.

Tell the judges, then, who is their improver; for you must know, as you have taken the pains to discover their corrupter, and are citing and accusing me before them. Speak, then, and tell the judges who their improver is.—Observe, Meletus, that you are silent, and have nothing to say. But is not this rather disgraceful, and a very considerable proof of what I was saying, that you have no interest in the matter? Speak up, friend, and tell us who their improver is.

The laws.

But that, my good sir, is not my meaning. I want to know who the person is, who, in the first place, knows the laws.

The judges, Socrates, who are present in court.

What, do you mean to say, Meletus, that they are able to instruct and improve youth?

Certainly they are.

What, all of them, or some only and not others?

All of them.

By the goddess Here, that is good news! There are plenty of improvers, then. And what do you say of the audience,—do they improve them?

Yes, they do.

And the senators?

Yes, the senators improve them.

But perhaps the members of the assembly corrupt them?—or do they too improve them?

They improve them.

Then every Athenian improves and elevates them; all with the exception of myself; and I alone am their corrupter? Is that what you affirm?

That is what I stoutly affirm.

I am very unfortunate if you are right. But suppose I ask you a question: How about horses? Does one man do them harm and all the world good? Is not the exact opposite the truth? One man is able to do them good, or at least not many;—the trainer of horses, that is to say, does them good, and others who have to do with them rather injure them? Is not that true, Meletus, of horses, or of any other animals? Most assuredly it is; whether you and Anytus say yes or no. Happy indeed would be the condition of youth if they had one corrupter only, and all the rest of the world were their improvers. But you, Meletus, have sufficiently shown that you never had a thought about the young: your carelessness is seen in your not caring about the very things which you bring against me.

And now, Meletus, I will ask you another question—by Zeus I will: Which is better, to live among bad citizens, or among good ones? Answer, friend, I say; the question is one which may be easily answered. Do not the good do their neighbours good, and the bad do them evil?

Certainly.

And is there anyone who would rather be injured than benefited by those who live with him? Answer, my good friend, the law requires you to answer—does any one like to be injured?

Certainly not.

And when you accuse me of corrupting and deteriorating the youth, do you allege that I corrupt them intentionally or unintentionally?

Intentionally, I say.

But you have just admitted that the good do their neighbours good, and the evil do them evil. Now, is that a truth which your superior wisdom has recognized thus early in life, and am I, at

my age, in such darkness and ignorance as not to know that if a man with whom I have to live is corrupted by me, I am very likely to be harmed by him; and yet I corrupt him, and intentionally, too—so you say, although neither I nor any other human being is ever likely to be convinced by you. But either I do not corrupt them, or I corrupt them unintentionally; and on either view of the case you lie. If my offence is unintentional, the law has no cognizance of unintentional offences: you ought to have taken me privately, and warned and admonished me; for if I had been better advised, I should have left off doing what I only did unintentionally—no doubt I should; but you would have nothing to say to me and refused to teach me. And now you bring me up in this court, which is a place not of instruction, but of punishment.

It will be very clear to you, Athenians, as I was saying, that Meletus has no care at all, great or small, about the matter. But still I should like to know, Meletus, in what I am affirmed to corrupt the young. I suppose you mean, as I infer from your indictment, that I teach them not to acknowledge the gods which the state acknowledges, but some other new divinities or spiritual agencies in their stead. These are the lessons by which I corrupt the youth, as you say.

Yes, that I say emphatically.

Then, by the gods, Meletus, of whom we are speaking, tell me and the court, in somewhat plainer terms, what you mean! for I do not as yet understand whether you affirm that I teach other men to acknowledge some gods, and therefore that I do believe in gods, and am not an entire atheist—this you do not lay to my charge,—but only you say that they are not the same gods which the city recognizes—the charge is that they are different gods. Or, do you mean that I am an atheist simply, and a teacher of atheism?

I mean the latter—that you are a complete atheist.

What an extraordinary statement! Why do you think so, Meletus? Do you mean that I do not believe in the godhead of the sun or moon, like other men?

I assure you, judges, that he does not: for he says that the sun is stone, and the moon earth.

Friend Meletus, you think that you are accusing Anaxagoras: and you have but a bad opinion of the judges, if you fancy them illiterate to such a degree as not to know that these doctrines are found in the books of Anaxagoras the Clazomenian, which are full of them. And so, forsooth, the youth are said to be taught them by Socrates, when there are not unfrequently exhibitions of them at the theatre (Probably in allusion to Aristophanes who caricatured, and to Euripides who borrowed the notions of Anaxagoras, as well as to other dramatic poets.) (price of admission one drachma at the most); and they might pay their money, and laugh at Socrates if he pretends to father these extraordinary views. And so, Meletus, you really think that I do not believe in any god?

I swear by Zeus that you believe absolutely in none at all.

Nobody will believe you, Meletus, and I am pretty sure that you do not believe yourself. I cannot help thinking, men of Athens, that Meletus is reckless and impudent, and that he has written this indictment in a spirit of mere wantonness and youthful bravado. Has he not compounded a riddle, thinking to try me? He said to himself:—I shall see whether the wise Socrates will discover my facetious contradiction, or whether I shall be able to deceive him and the rest of them. For he certainly does appear to me to contradict himself in the indictment as much as if he said that Socrates is guilty of not believing in the gods, and yet of believing in them—but this is not like a person who is in earnest.

I should like you, O men of Athens, to join me in examining what I conceive to be his

inconsistency; and do you, Meletus, answer. And I must remind the audience of my request that they would not make a disturbance if I speak in my accustomed manner:

Did ever man, Meletus, believe in the existence of human things, and not of human beings?...I wish, men of Athens, that he would answer, and not be always trying to get up an interruption. Did ever any man believe in horsemanship, and not in horses? or in flute-playing, and not in flute-players? No, my friend; I will answer to you and to the court, as you refuse to answer for yourself. There is no man who ever did. But now please to answer the next question: Can a man believe in spiritual and divine agencies, and not in spirits or demigods?

He cannot.

How lucky I am to have extracted that answer, by the assistance of the court! But then you swear in the indictment that I teach and believe in divine or spiritual agencies (new or old, no matter for that); at any rate, I believe in spiritual agencies,—so you say and swear in the affidavit; and yet if I believe in divine beings, how can I help believing in spirits or demigods;—must I not? To be sure I must; and therefore I may assume that your silence gives consent. Now what are spirits or demigods? Are they not either gods or the sons of gods?

Certainly they are.

But this is what I call the facetious riddle invented by you: the demigods or spirits are gods, and you say first that I do not believe in gods, and then again that I do believe in gods; that is, if I believe in demigods. For if the demigods are the illegitimate sons of gods, whether by the nymphs or by any other mothers, of whom they are said to be the sons—what human being will ever believe that there are no gods if they are the sons of gods? You might as well affirm the existence of mules, and deny that of horses and asses. Such nonsense, Meletus, could only have been intended by you to make trial of me. You have put this into the indictment because you had nothing real of which to accuse me. But no one who has a particle of understanding will ever be convinced by you that the same men can believe in divine and superhuman things, and yet not believe that there are gods and demigods and heroes.

I have said enough in answer to the charge of Meletus: any elaborate defence is unnecessary, but I know only too well how many are the enmities which I have incurred, and this is what will be my destruction if I am destroyed;—not Meletus, nor yet Anytus, but the envy and detraction of the world, which has been the death of many good men, and will probably be the death of many more; there is no danger of my being the last of them.

Some one will say: And are you not ashamed, Socrates, of a course of life which is likely to bring you to an untimely end? To him I may fairly answer: There you are mistaken: a man who is good for anything ought not to calculate the chance of living or dying; he ought only to consider whether in doing anything he is doing right or wrong—acting the part of a good man or of a bad. Whereas, upon your view, the heroes who fell at Troy were not good for much, and the son of Thetis above all, who altogether despised danger in comparison with disgrace; and when he was so eager to slay Hector, his goddess mother said to him, that if he avenged his companion Patroclus, and slew Hector, he would die himself—'Fate,' she said, in these or the like words, 'waits for you next after Hector;' he, receiving this warning, utterly despised danger and death, and instead of fearing them, feared rather to live in dishonour, and not to avenge his friend. 'Let me die forthwith,' he replies, 'and be avenged of my enemy, rather than abide here by the beaked ships, a laughing-stock and a burden of the earth.' Had Achilles any thought of death and danger? For wherever a man's place is, whether the place which he has chosen or that in which he has been placed by a commander,

there he ought to remain in the hour of danger; he should not think of death or of anything but of disgrace. And this, O men of Athens, is a true saying.

Strange, indeed, would be my conduct, O men of Athens, if I who, when I was ordered by the generals whom you chose to command me at Potidaea and Amphipolis and Delium, remained where they placed me, like any other man, facing death—if now, when, as I conceive and imagine, God orders me to fulfil the philosopher's mission of searching into myself and other men, I were to desert my post through fear of death, or any other fear; that would indeed be strange, and I might justly be arraigned in court for denying the existence of the gods, if I disobeyed the oracle because I was afraid of death, fancying that I was wise when I was not wise. For the fear of death is indeed the pretence of wisdom, and not real wisdom, being a pretence of knowing the unknown; and no one knows whether death, which men in their fear apprehend to be the greatest evil, may not be the greatest good. Is not this ignorance of a disgraceful sort, the ignorance which is the conceit that a man knows what he does not know? And in this respect only I believe myself to differ from men in general, and may perhaps claim to be wiser than they are:—that whereas I know but little of the world below, I do not suppose that I know: but I do know that injustice and disobedience to a better, whether God or man, is evil and dishonourable, and I will never fear or avoid a possible good rather than a certain evil. And therefore if you let me go now, and are not convinced by Anytus, who said that since I had been prosecuted I must be put to death; (or if not that I ought never to have been prosecuted at all); and that if I escape now, your sons will all be utterly ruined by listening to my words—if you say to me, Socrates, this time we will not mind Anytus, and you shall be let off, but upon one condition, that you are not to enquire and speculate in this way any more, and that if you are caught doing so again you shall die;—if this was the condition on which you let me go, I should reply: Men of Athens, I honour and love you; but I shall obey God rather than you, and while I have life and strength I shall never cease from the practice and teaching of philosophy, exhorting any one whom I meet and saying to him after my manner: You, my friend,—a citizen of the great and mighty and wise city of Athens,—are you not ashamed of heaping up the greatest amount of money and honour and reputation, and caring so little about wisdom and truth and the greatest improvement of the soul, which you never regard or heed at all? And if the person with whom I am arguing, says: Yes, but I do care; then I do not leave him or let him go at once; but I proceed to interrogate and examine and cross-examine him, and if I think that he has no virtue in him, but only says that he has, I reproach him with undervaluing the greater, and overvaluing the less. And I shall repeat the same words to every one whom I meet, young and old, citizen and alien, but especially to the citizens, inasmuch as they are my brethren. For know that this is the command of God; and I believe that no greater good has ever happened in the state than my service to the God. For I do nothing but go about persuading you all, old and young alike, not to take thought for your persons or your properties, but first and chiefly to care about the greatest improvement of the soul. I tell you that virtue is not given by money, but that from virtue comes money and every other good of man, public as well as private. This is my teaching, and if this is the doctrine which corrupts the youth, I am a mischievous person. But if any one says that this is not my teaching, he is speaking an untruth. Wherefore, O men of Athens, I say to you, do as Anytus bids or not as Anytus bids, and either acquit me or not; but whichever you do, understand that I shall never alter my ways, not even if I have to die many times.

Men of Athens, do not interrupt, but hear me; there was an understanding between us that you should hear me to the end: I have something more to say, at which you may be inclined to cry out;



but I believe that to hear me will be good for you, and therefore I beg that you will not cry out. I would have you know, that if you kill such an one as I am, you will injure yourselves more than you will injure me. Nothing will injure me, not Meletus nor yet Anytus—they cannot, for a bad man is not permitted to injure a better than himself. I do not deny that Anytus may, perhaps, kill him, or drive him into exile, or deprive him of civil rights; and he may imagine, and others may imagine, that he is inflicting a great injury upon him: but there I do not agree. For the evil of doing as he is doing—the evil of unjustly taking away the life of another—is greater far.

And now, Athenians, I am not going to argue for my own sake, as you may think, but for yours, that you may not sin against the God by condemning me, who am his gift to you. For if you kill me you will not easily find a successor to me, who, if I may use such a ludicrous figure of speech, am a sort of gadfly, given to the state by God; and the state is a great and noble steed who is tardy in his motions owing to his very size, and requires to be stirred into life. I am that gadfly which God has attached to the state, and all day long and in all places am always fastening upon you, arousing and persuading and reproaching you. You will not easily find another like me, and therefore I would advise you to spare me. I dare say that you may feel out of temper (like a person who is suddenly awakened from sleep), and you think that you might easily strike me dead as Anytus advises, and then you would sleep on for the remainder of your lives, unless God in his care of you sent you another gadfly. When I say that I am given to you by God, the proof of my mission is this:—if I had been like other men, I should not have neglected all my own concerns or patiently seen the neglect of them during all these years, and have been doing yours, coming to you individually like a father or elder brother, exhorting you to regard virtue; such conduct, I say, would be unlike human nature. If I had gained anything, or if my exhortations had been paid, there would have been some sense in my doing so; but now, as you will perceive, not even the impudence of my accusers dares to say that I have ever exacted or sought pay of any one; of that they have no witness. And I have a sufficient witness to the truth of what I say—my poverty.

Some one may wonder why I go about in private giving advice and busying myself with the concerns of others, but do not venture to come forward in public and advise the state. I will tell you why. You have heard me speak at sundry times and in divers places of an oracle or sign which comes to me, and is the divinity which Meletus ridicules in the indictment. This sign, which is a kind of voice, first began to come to me when I was a child; it always forbids but never commands me to do anything which I am going to do. This is what deters me from being a politician. And rightly, as I think. For I am certain, O men of Athens, that if I had engaged in politics, I should have perished long ago, and done no good either to you or to myself. And do not be offended at my telling you the truth: for the truth is, that no man who goes to war with you or any other multitude, honestly striving against the many lawless and unrighteous deeds which are done in a state, will save his life; he who will fight for the right, if he would live even for a brief space, must have a private station and not a public one.

I can give you convincing evidence of what I say, not words only, but what you value far more—actions. Let me relate to you a passage of my own life which will prove to you that I should never have yielded to injustice from any fear of death, and that ‘as I should have refused to yield’ I must have died at once. I will tell you a tale of the courts, not very interesting perhaps, but nevertheless true. The only office of state which I ever held, O men of Athens, was that of senator: the tribe Antiochis, which is my tribe, had the presidency at the trial of the generals who had not taken up the bodies of the slain after the battle of Arginusae; and you proposed to try them in

a body, contrary to law, as you all thought afterwards; but at the time I was the only one of the Prytanes who was opposed to the illegality, and I gave my vote against you; and when the orators threatened to impeach and arrest me, and you called and shouted, I made up my mind that I would run the risk, having law and justice with me, rather than take part in your injustice because I feared imprisonment and death. This happened in the days of the democracy. But when the oligarchy of the Thirty was in power, they sent for me and four others into the rotunda, and bade us bring Leon the Salaminian from Salamis, as they wanted to put him to death. This was a specimen of the sort of commands which they were always giving with the view of implicating as many as possible in their crimes; and then I showed, not in word only but in deed, that, if I may be allowed to use such an expression, I cared not a straw for death, and that my great and only care was lest I should do an unrighteous or unholy thing. For the strong arm of that oppressive power did not frighten me into doing wrong; and when we came out of the rotunda the other four went to Salamis and fetched Leon, but I went quietly home. For which I might have lost my life, had not the power of the Thirty shortly afterwards come to an end. And many will witness to my words.

Now do you really imagine that I could have survived all these years, if I had led a public life, supposing that like a good man I had always maintained the right and had made justice, as I ought, the first thing? No indeed, men of Athens, neither I nor any other man. But I have been always the same in all my actions, public as well as private, and never have I yielded any base compliance to those who are slanderously termed my disciples, or to any other. Not that I have any regular disciples. But if any one likes to come and hear me while I am pursuing my mission, whether he be young or old, he is not excluded. Nor do I converse only with those who pay; but any one, whether he be rich or poor, may ask and answer me and listen to my words; and whether he turns out to be a bad man or a good one, neither result can be justly imputed to me; for I never taught or professed to teach him anything. And if any one says that he has ever learned or heard anything from me in private which all the world has not heard, let me tell you that he is lying.

But I shall be asked, Why do people delight in continually conversing with you? I have told you already, Athenians, the whole truth about this matter: they like to hear the cross-examination of the pretenders to wisdom; there is amusement in it. Now this duty of cross-examining other men has been imposed upon me by God; and has been signified to me by oracles, visions, and in every way in which the will of divine power was ever intimated to any one. This is true, O Athenians, or, if not true, would be soon refuted. If I am or have been corrupting the youth, those of them who are now grown up and have become sensible that I gave them bad advice in the days of their youth should come forward as accusers, and take their revenge; or if they do not like to come themselves, some of their relatives, fathers, brothers, or other kinsmen, should say what evil their families have suffered at my hands. Now is their time. Many of them I see in the court. There is Crito, who is of the same age and of the same deme with myself, and there is Critobulus his son, whom I also see. Then again there is Lysanias of Sphettus, who is the father of Aeschines—he is present; and also there is Antiphon of Cephissus, who is the father of Epigenes; and there are the brothers of several who have associated with me. There is Nicostratus the son of Theosdotides, and the brother of Theodotus (now Theodotus himself is dead, and therefore he, at any rate, will not seek to stop him); and there is Paralus the son of Demodocus, who had a brother Theages; and Adeimantus the son of Ariston, whose brother Plato is present; and Aeantodorus, who is the brother of Apollodorus, whom I also see. I might mention a great many others, some of whom Meletus should have produced as witnesses in the course of his speech; and let him still produce

them, if he has forgotten—I will make way for him. And let him say, if he has any testimony of the sort which he can produce. Nay, Athenians, the very opposite is the truth. For all these are ready to witness on behalf of the corrupter, of the injurer of their kindred, as Meletus and Anytus call me; not the corrupted youth only—there might have been a motive for that—but their uncorrupted elder relatives. Why should they too support me with their testimony? Why, indeed, except for the sake of truth and justice, and because they know that I am speaking the truth, and that Meletus is a liar.

Well, Athenians, this and the like of this is all the defence which I have to offer. Yet a word more. Perhaps there may be some one who is offended at me, when he calls to mind how he himself on a similar, or even a less serious occasion, prayed and entreated the judges with many tears, and how he produced his children in court, which was a moving spectacle, together with a host of relations and friends; whereas I, who am probably in danger of my life, will do none of these things. The contrast may occur to his mind, and he may be set against me, and vote in anger because he is displeased at me on this account. Now if there be such a person among you,—mind, I do not say that there is,—to him I may fairly reply: My friend, I am a man, and like other men, a creature of flesh and blood, and not ‘of wood or stone,’ as Homer says; and I have a family, yes, and sons, O Athenians, three in number, one almost a man, and two others who are still young; and yet I will not bring any of them hither in order to petition you for an acquittal. And why not? Not from any self-assertion or want of respect for you. Whether I am or am not afraid of death is another question, of which I will not now speak. But, having regard to public opinion, I feel that such conduct would be discreditable to myself, and to you, and to the whole state. One who has reached my years, and who has a name for wisdom, ought not to demean himself. Whether this opinion of me be deserved or not, at any rate the world has decided that Socrates is in some way superior to other men. And if those among you who are said to be superior in wisdom and courage, and any other virtue, demean themselves in this way, how shameful is their conduct! I have seen men of reputation, when they have been condemned, behaving in the strangest manner: they seemed to fancy that they were going to suffer something dreadful if they died, and that they could be immortal if you only allowed them to live; and I think that such are a dishonour to the state, and that any stranger coming in would have said of them that the most eminent men of Athens, to whom the Athenians themselves give honour and command, are no better than women. And I say that these things ought not to be done by those of us who have a reputation; and if they are done, you ought not to permit them; you ought rather to show that you are far more disposed to condemn the man who gets up a doleful scene and makes the city ridiculous, than him who holds his peace.

But, setting aside the question of public opinion, there seems to be something wrong in asking a favour of a judge, and thus procuring an acquittal, instead of informing and convincing him. For his duty is, not to make a present of justice, but to give judgment; and he has sworn that he will judge according to the laws, and not according to his own good pleasure; and we ought not to encourage you, nor should you allow yourselves to be encouraged, in this habit of perjury—there can be no piety in that. Do not then require me to do what I consider dishonourable and impious and wrong, especially now, when I am being tried for impiety on the indictment of Meletus. For if, O men of Athens, by force of persuasion and entreaty I could overpower your oaths, then I should be teaching you to believe that there are no gods, and in defending should simply convict myself of the charge of not believing in them. But that is not so—far otherwise. For I do believe that there

are gods, and in a sense higher than that in which any of my accusers believe in them. And to you and to God I commit my cause, to be determined by you as is best for you and me.

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There are many reasons why I am not grieved, O men of Athens, at the vote of condemnation. I expected it, and am only surprised that the votes are so nearly equal; for I had thought that the majority against me would have been far larger; but now, had thirty votes gone over to the other side, I should have been acquitted. And I may say, I think, that I have escaped Meletus. I may say more; for without the assistance of Anytus and Lycon, any one may see that he would not have had a fifth part of the votes, as the law requires, in which case he would have incurred a fine of a thousand drachmae.

And so he proposes death as the penalty. And what shall I propose on my part, O men of Athens? Clearly that which is my due. And what is my due? What return shall be made to the man who has never had the wit to be idle during his whole life; but has been careless of what the many care for—wealth, and family interests, and military offices, and speaking in the assembly, and magistracies, and plots, and parties. Reflecting that I was really too honest a man to be a politician and live, I did not go where I could do no good to you or to myself; but where I could do the greatest good privately to every one of you, thither I went, and sought to persuade every man among you that he must look to himself, and seek virtue and wisdom before he looks to his private interests, and look to the state before he looks to the interests of the state; and that this should be the order which he observes in all his actions. What shall be done to such an one? Doubtless some good thing, O men of Athens, if he has his reward; and the good should be of a kind suitable to him. What would be a reward suitable to a poor man who is your benefactor, and who desires leisure that he may instruct you? There can be no reward so fitting as maintenance in the Prytaneum, O men of Athens, a reward which he deserves far more than the citizen who has won the prize at Olympia in the horse or chariot race, whether the chariots were drawn by two horses or by many. For I am in want, and he has enough; and he only gives you the appearance of happiness, and I give you the reality. And if I am to estimate the penalty fairly, I should say that maintenance in the Prytaneum is the just return.

Perhaps you think that I am braving you in what I am saying now, as in what I said before about the tears and prayers. But this is not so. I speak rather because I am convinced that I never intentionally wronged any one, although I cannot convince you—the time has been too short; if there were a law at Athens, as there is in other cities, that a capital cause should not be decided in one day, then I believe that I should have convinced you. But I cannot in a moment refute great slanders; and, as I am convinced that I never wronged another, I will assuredly not wrong myself. I will not say of myself that I deserve any evil, or propose any penalty. Why should I? because I am afraid of the penalty of death which Meletus proposes? When I do not know whether death is a good or an evil, why should I propose a penalty which would certainly be an evil? Shall I say imprisonment? And why should I live in prison, and be the slave of the magistrates of the year—of the Eleven? Or shall the penalty be a fine, and imprisonment until the fine is paid? There is the same objection. I should have to lie in prison, for money I have none, and cannot pay. And if I say exile (and this may possibly be the penalty which you will affix), I must indeed be blinded by

the love of life, if I am so irrational as to expect that when you, who are my own citizens, cannot endure my discourses and words, and have found them so grievous and odious that you will have no more of them, others are likely to endure me. No indeed, men of Athens, that is not very likely. And what a life should I lead, at my age, wandering from city to city, ever changing my place of exile, and always being driven out! For I am quite sure that wherever I go, there, as here, the young men will flock to me; and if I drive them away, their elders will drive me out at their request; and if I let them come, their fathers and friends will drive me out for their sakes.

Some one will say: Yes, Socrates, but cannot you hold your tongue, and then you may go into a foreign city, and no one will interfere with you? Now I have great difficulty in making you understand my answer to this. For if I tell you that to do as you say would be a disobedience to the God, and therefore that I cannot hold my tongue, you will not believe that I am serious; and if I say again that daily to discourse about virtue, and of those other things about which you hear me examining myself and others, is the greatest good of man, and that the unexamined life is not worth living, you are still less likely to believe me. Yet I say what is true, although a thing of which it is hard for me to persuade you. Also, I have never been accustomed to think that I deserve to suffer any harm. Had I money I might have estimated the offence at what I was able to pay, and not have been much the worse. But I have none, and therefore I must ask you to proportion the fine to my means. Well, perhaps I could afford a mina, and therefore I propose that penalty: Plato, Crito, Critobulus, and Apollodorus, my friends here, bid me say thirty minae, and they will be the sureties. Let thirty minae be the penalty; for which sum they will be ample security to you.

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Not much time will be gained, O Athenians, in return for the evil name which you will get from the detractors of the city, who will say that you killed Socrates, a wise man; for they will call me wise, even although I am not wise, when they want to reproach you. If you had waited a little while, your desire would have been fulfilled in the course of nature. For I am far advanced in years, as you may perceive, and not far from death. I am speaking now not to all of you, but only to those who have condemned me to death. And I have another thing to say to them: you think that I was convicted because I had no words of the sort which would have procured my acquittal—I mean, if I had thought fit to leave nothing undone or unsaid. Not so; the deficiency which led to my conviction was not of words—certainly not. But I had not the boldness or impudence or inclination to address you as you would have liked me to do, weeping and wailing and lamenting, and saying and doing many things which you have been accustomed to hear from others, and which, as I maintain, are unworthy of me. I thought at the time that I ought not to do anything common or mean when in danger: nor do I now repent of the style of my defence; I would rather die having spoken after my manner, than speak in your manner and live. For neither in war nor yet at law ought I or any man to use every way of escaping death. Often in battle there can be no doubt that if a man will throw away his arms, and fall on his knees before his pursuers, he may escape death; and in other dangers there are other ways of escaping death, if a man is willing to say and do anything. The difficulty, my friends, is not to avoid death, but to avoid unrighteousness; for that runs faster than death. I am old and move slowly, and the slower runner has overtaken me, and my accusers are keen and quick, and the faster runner, who is unrighteousness, has overtaken them. And now I depart hence

condemned by you to suffer the penalty of death,—they too go their ways condemned by the truth to suffer the penalty of villainy and wrong; and I must abide by my award—let them abide by theirs. I suppose that these things may be regarded as fated,—and I think that they are well.

And now, O men who have condemned me, I would fain prophesy to you; for I am about to die, and in the hour of death men are gifted with prophetic power. And I prophesy to you who are my murderers, that immediately after my departure punishment far heavier than you have inflicted on me will surely await you. Me you have killed because you wanted to escape the accuser, and not to give an account of your lives. But that will not be as you suppose: far otherwise. For I say that there will be more accusers of you than there are now; accusers whom hitherto I have restrained: and as they are younger they will be more inconsiderate with you, and you will be more offended at them. If you think that by killing men you can prevent some one from censuring your evil lives, you are mistaken; that is not a way of escape which is either possible or honourable; the easiest and the noblest way is not to be disabling others, but to be improving yourselves. This is the prophecy which I utter before my departure to the judges who have condemned me.

Friends, who would have acquitted me, I would like also to talk with you about the thing which has come to pass, while the magistrates are busy, and before I go to the place at which I must die. Stay then a little, for we may as well talk with one another while there is time. You are my friends, and I should like to show you the meaning of this event which has happened to me. O my judges—for you I may truly call judges—I should like to tell you of a wonderful circumstance. Hitherto the divine faculty of which the internal oracle is the source has constantly been in the habit of opposing me even about trifles, if I was going to make a slip or error in any matter; and now as you see there has come upon me that which may be thought, and is generally believed to be, the last and worst evil. But the oracle made no sign of opposition, either when I was leaving my house in the morning, or when I was on my way to the court, or while I was speaking, at anything which I was going to say; and yet I have often been stopped in the middle of a speech, but now in nothing I either said or did touching the matter in hand has the oracle opposed me. What do I take to be the explanation of this silence? I will tell you. It is an intimation that what has happened to me is a good, and that those of us who think that death is an evil are in error. For the customary sign would surely have opposed me had I been going to evil and not to good.

Let us reflect in another way, and we shall see that there is great reason to hope that death is a good; for one of two things—either death is a state of nothingness and utter unconsciousness, or, as men say, there is a change and migration of the soul from this world to another. Now if you suppose that there is no consciousness, but a sleep like the sleep of him who is undisturbed even by dreams, death will be an unspeakable gain. For if a person were to select the night in which his sleep was undisturbed even by dreams, and were to compare with this the other days and nights of his life, and then were to tell us how many days and nights he had passed in the course of his life better and more pleasantly than this one, I think that any man, I will not say a private man, but even the great king will not find many such days or nights, when compared with the others. Now if death be of such a nature, I say that to die is gain; for eternity is then only a single night. But if death is the journey to another place, and there, as men say, all the dead abide, what good, O my friends and judges, can be greater than this? If indeed when the pilgrim arrives in the world below, he is delivered from the professors of justice in this world, and finds the true judges who are said to give judgment there, Minos and Rhadamanthus and Aeacus and Triptolemus, and other sons of God who were righteous in their own life, that pilgrimage will be worth making. What would not

a man give if he might converse with Orpheus and Musaeus and Hesiod and Homer? Nay, if this be true, let me die again and again. I myself, too, shall have a wonderful interest in there meeting and conversing with Palamedes, and Ajax the son of Telamon, and any other ancient hero who has suffered death through an unjust judgment; and there will be no small pleasure, as I think, in comparing my own sufferings with theirs. Above all, I shall then be able to continue my search into true and false knowledge; as in this world, so also in the next; and I shall find out who is wise, and who pretends to be wise, and is not. What would not a man give, O judges, to be able to examine the leader of the great Trojan expedition; or Odysseus or Sisyphus, or numberless others, men and women too! What infinite delight would there be in conversing with them and asking them questions! In another world they do not put a man to death for asking questions: assuredly not. For besides being happier than we are, they will be immortal, if what is said is true.

Wherefore, O judges, be of good cheer about death, and know of a certainty, that no evil can happen to a good man, either in life or after death. He and his are not neglected by the gods; nor has my own approaching end happened by mere chance. But I see clearly that the time had arrived when it was better for me to die and be released from trouble; wherefore the oracle gave no sign. For which reason, also, I am not angry with my condemners, or with my accusers; they have done me no harm, although they did not mean to do me any good; and for this I may gently blame them.

Still I have a favour to ask of them. When my sons are grown up, I would ask you, O my friends, to punish them; and I would have you trouble them, as I have troubled you, if they seem to care about riches, or anything, more than about virtue; or if they pretend to be something when they are really nothing,—then reprove them, as I have reproved you, for not caring about that for which they ought to care, and thinking that they are something when they are really nothing. And if you do this, both I and my sons will have received justice at your hands.

The hour of departure has arrived, and we go our ways—I to die, and you to live. Which is better God only knows.

## 1.2 Plato's Crito

### *About this Text*

The text of Plato's *Crito* appears below. In the *Crito*, Plato describes a conversation Socrates has with his old friend Crito, who visits him in prison as he awaits execution. Crito tries to convince Socrates to escape, but Socrates refuses.

CRITO

Plato

*Translated by Benjamin Jowett*

source

PERSONS OF THE DIALOGUE:

Socrates, Crito.

SCENE: *The Prison of Socrates.*

SOCRATES: Why have you come at this hour, Crito? it must be quite early?

CRITO: Yes, certainly.

SOCRATES: What is the exact time?

CRITO: The dawn is breaking.

SOCRATES: I wonder that the keeper of the prison would let you in.

CRITO: He knows me, because I often come, Socrates; moreover, I have done him a kindness.

SOCRATES: And are you only just arrived?

CRITO: No, I came some time ago.

SOCRATES: Then why did you sit and say nothing, instead of at once awakening me?

CRITO: I should not have liked myself, Socrates, to be in such great trouble and unrest as you are—indeed I should not: I have been watching with amazement your peaceful slumbers; and for that reason I did not awake you, because I wished to minimize the pain. I have always thought you to be of a happy disposition; but never did I see anything like the easy, tranquil manner in which you bear this calamity.

SOCRATES: Why, Crito, when a man has reached my age he ought not to be repining at the approach of death.



CRITO: And yet other old men find themselves in similar misfortunes, and age does not prevent them from repining.

SOCRATES: That is true. But you have not told me why you come at this early hour.

CRITO: I come to bring you a message which is sad and painful; not, as I believe, to yourself, but to all of us who are your friends, and saddest of all to me.

SOCRATES: What? Has the ship come from Delos, on the arrival of which I am to die?

CRITO: No, the ship has not actually arrived, but she will probably be here to-day, as persons who have come from Sunium tell me that they have left her there; and therefore to-morrow, Socrates, will be the last day of your life.

SOCRATES: Very well, Crito; if such is the will of God, I am willing; but my belief is that there will be a delay of a day.

CRITO: Why do you think so?

SOCRATES: I will tell you. I am to die on the day after the arrival of the ship?

CRITO: Yes; that is what the authorities say.

SOCRATES: But I do not think that the ship will be here until to-morrow; this I infer from a vision which I had last night, or rather only just now, when you fortunately allowed me to sleep.

CRITO: And what was the nature of the vision?

SOCRATES: There appeared to me the likeness of a woman, fair and comely, clothed in bright raiment, who called to me and said: O Socrates,

'The third day hence to fertile Phthia shalt thou go.'<sup>3</sup>CRITO: What a singular dream, Socrates!

SOCRATES: There can be no doubt about the meaning, Crito, I think.

CRITO: Yes; the meaning is only too clear. But, oh! my beloved Socrates, let me entreat you once more to take my advice and escape. For if you die I shall not only lose a friend who can never be replaced, but there is another evil: people who do not know you and me will believe that I might have saved you if I had been willing to give money, but that I did not care. Now, can there be a worse disgrace than this—that I should be thought to value money more than the life of a friend? For the many will not be persuaded that I wanted you to escape, and that you refused.

SOCRATES: But why, my dear Crito, should we care about the opinion of the many? Good men, and they are the only persons who are worth considering, will think of these things truly as they occurred.

CRITO: But you see, Socrates, that the opinion of the many must be regarded, for what is now happening shows that they can do the greatest evil to anyone who has lost their good opinion.

SOCRATES: I only wish it were so, Crito; and that the many could do the greatest evil; for then they would also be able to do the greatest good—and what a fine thing this would be! But in reality they can do neither; for they cannot make a man either wise or foolish; and whatever they do is the result of chance.

CRITO: Well, I will not dispute with you; but please to tell me, Socrates, whether you are not acting out of regard to me and your other friends: are you not afraid that if you escape from prison we may get into trouble with the informers for having stolen you away, and lose either the whole or a great part of our property; or that even a worse evil may happen to us? Now, if you fear on our account, be at ease; for in order to save you, we ought surely to run this, or even a greater risk; be persuaded, then, and do as I say.

SOCRATES: Yes, Crito, that is one fear which you mention, but by no means the only one.

CRITO: Fear not—there are persons who are willing to get you out of prison at no great cost; and

as for the informers, they are far from being exorbitant in their demands—a little money will satisfy them. My means, which are certainly ample, are at your service, and if you have a scruple about spending all mine, here are strangers who will give you the use of theirs; and one of them, Simmias the Theban, has brought a large sum of money for this very purpose; and Cebes and many others are prepared to spend their money in helping you to escape. I say, therefore, do not hesitate on our account, and do not say, as you did in the court <sup>4</sup> that you will have a difficulty in knowing what to do with yourself anywhere else. For men will love you in other places to which you may go, and not in Athens only; there are friends of mine in Thessaly, if you like to go to them, who will value and protect you, and no Thessalian will give you any trouble. Nor can I think that you are at all justified, Socrates, in betraying your own life when you might be saved; in acting thus you are playing into the hands of your enemies, who are hurrying on your destruction. And further I should say that you are deserting your own children; for you might bring them up and educate them; instead of which you go away and leave them, and they will have to take their chance; and if they do not meet with the usual fate of orphans, there will be small thanks to you. No man should bring children into the world who is unwilling to persevere to the end in their nurture and education. But you appear to be choosing the easier part, not the better and manlier, which would have been more becoming in one who professes to care for virtue in all his actions, like yourself. And indeed, I am ashamed not only of you, but of us who are your friends, when I reflect that the whole business will be attributed entirely to our want of courage. The trial need never have come on, or might have been managed differently; and this last act, or crowning folly, will seem to have occurred through our negligence and cowardice, who might have saved you, if we had been good for anything; and you might have saved yourself, for there was no difficulty at all. See now, Socrates, how sad and discreditable are the consequences, both to us and you. Make up your mind then, or rather have your mind already made up, for the time of deliberation is over, and there is only one thing to be done, which must be done this very night, and, if we delay at all, will be no longer practicable or possible; I beseech you therefore, Socrates, be persuaded by me, and do as I say.

SOCRATES: Dear Crito, your zeal is invaluable, if a right one; but if wrong, the greater the zeal the greater the danger; and therefore we ought to consider whether I shall or shall not do as you say. For I am and always have been one of those natures who must be guided by reason, whatever the reason may be which upon reflection appears to me to be the best; and now that this chance has befallen me, I cannot repudiate my own words: the principles which I have hitherto honoured and revered I still honour, and unless we can at once find other and better principles, I am certain not to agree with you; no, not even if the power of the multitude could inflict many more imprisonments, confiscations, deaths, frightening us like children with hobgoblin terrors. <sup>5</sup> What will be the fairest way of considering the question? Shall I return to your old argument about the opinions of men?—we were saying that some of them are to be regarded, and others not. Now were we right in maintaining this before I was condemned? And has the argument which was once good now proved to be talk for the sake of talking—mere childish nonsense? That is what I want to consider with your help, Crito:—whether, under my present circumstances, the argument appears to be in any way different or not; and is to be allowed by me or disallowed. That argument, which, as I believe, is maintained by many persons of authority, was to the effect, as I was saying, that the opinions of some men are to be regarded, and of other men not to be regarded. Now you, Crito, are not going to die to-morrow—at least, there is no human probability of this—and therefore you

are disinterested and not liable to be deceived by the circumstances in which you are placed. Tell me then, whether I am right in saying that some opinions, and the opinions of some men only, are to be valued, and that other opinions, and the opinions of other men, are not to be valued. I ask you whether I was right in maintaining this?

CRITO: Certainly.

SOCRATES: The good are to be regarded, and not the bad?

CRITO: Yes.

SOCRATES: And the opinions of the wise are good, and the opinions of the unwise are evil?

CRITO: Certainly.

SOCRATES: And what was said about another matter? Is the pupil who devotes himself to the practice of gymnastics supposed to attend to the praise and blame and opinion of every man, or of one man only—his physician or trainer, whoever he may be?

CRITO: Of one man only.

SOCRATES: And he ought to fear the censure and welcome the praise of that one only, and not of the many?

CRITO: Clearly so.

SOCRATES: And he ought to act and train, and eat and drink in the way which seems good to his single master who has understanding, rather than according to the opinion of all other men put together?

CRITO: True.

SOCRATES: And if he disobeys and disregards the opinion and approval of the one, and regards the opinion of the many who have no understanding, will he not suffer evil?

CRITO: Certainly he will.

SOCRATES: And what will the evil be, whither tending and what affecting, in the disobedient person?

CRITO: Clearly, affecting the body; that is what is destroyed by the evil.

SOCRATES: Very good; and is not this true, Crito, of other things which we need not separately enumerate? In questions of just and unjust, fair and foul, good and evil, which are the subjects of our present consultation, ought we to follow the opinion of the many and to fear them; or the opinion of the one man who has understanding? ought we not to fear and reverence him more than all the rest of the world: and if we desert him shall we not destroy and injure that principle in us which may be assumed to be improved by justice and deteriorated by injustice—there is such a principle?

CRITO: Certainly there is, Socrates.

SOCRATES: Take a parallel instance:—if, acting under the advice of those who have no understanding, we destroy that which is improved by health and is deteriorated by disease, would life be worth having? And that which has been destroyed is—the body?

CRITO: Yes.

SOCRATES: Could we live, having an evil and corrupted body?

CRITO: Certainly not.

SOCRATES: And will life be worth having, if that higher part of man be destroyed, which is improved by justice and depraved by injustice? Do we suppose that principle, whatever it may be in man, which has to do with justice and injustice, to be inferior to the body?

CRITO: Certainly not.

SOCRATES: More honourable than the body?

CRITO: Far more.

SOCRATES: Then, my friend, we must not regard what the many say of us; but what he, the one man who has understanding of just and unjust, will say, and what the truth will say. And therefore you begin in error when you advise that we should regard the opinion of the many about just and unjust, good and evil, honourable and dishonourable.—‘Well,’ someone will say, ‘but the many can kill us.’

CRITO: Yes, Socrates; that will clearly be the answer.

SOCRATES: And it is true; but still I find with surprise that the old argument is unshaken as ever. And I should like to know whether I may say the same of another proposition—that not life, but a good life, is to be chiefly valued?

CRITO: Yes, that also remains unshaken.

SOCRATES: And a good life is equivalent to a just and honourable one—that holds also?

CRITO: Yes, it does.

SOCRATES: From these premises I proceed to argue the question whether I ought or ought not to try and escape without the consent of the Athenians: and if I am clearly right in escaping, then I will make the attempt; but if not, I will abstain. The other considerations which you mention, of money and loss of character and the duty of educating one’s children, are, I fear, only the doctrines of the multitude, who would be as ready to restore people to life, if they were able, as they are to put them to death—and with as little reason. But now, since the argument has thus far prevailed, the only question which remains to be considered is whether we shall do rightly either in escaping or in suffering others to aid in our escape and paying them in money and thanks, or whether in reality we shall not do rightly; and if the latter, then death or any other calamity which may ensue on my remaining here must not be allowed to enter into the calculation.

CRITO: I think that you are right, Socrates; how then shall we proceed?

SOCRATES: Let us consider the matter together, and do you either refute me if you can, and I will be convinced; or else cease, my dear friend, from repeating to me that I ought to escape against the wishes of the Athenians: for I highly value your attempts to persuade me to do so, but I may not be persuaded against my own better judgment. And now please to consider my first position, and try how you can best answer me.

CRITO: I will.

SOCRATES: Are we to say that we are never intentionally to do wrong, or that in one way we ought and in another way we ought not to do wrong, or is doing wrong always evil and dishonourable, as I was just now saying, and as has been already acknowledged by us? Are all our former admissions which were made within a few days to be thrown away? And have we, at our age, been earnestly discoursing with one another all our life long only to discover that we are no better than children? Or, in spite of the opinion of the many, and in spite of consequences whether better or worse, shall we insist on the truth of what was then said, that injustice is always an evil and dishonour to him who acts unjustly? Shall we say so or not?

CRITO: Yes.

SOCRATES: Then we must do no wrong?

CRITO: Certainly not.

SOCRATES: Nor, when injured, injure in return, as the many imagine; for we must injure no one at all? <sup>6</sup>

CRITO: Clearly not.

SOCRATES: Again, Crito, may we do evil?

CRITO: Surely not, Socrates.

SOCRATES: And what of doing evil in return for evil, which is the morality of the many—is that just or not?

CRITO: Not just.

SOCRATES: For doing evil to another is the same as injuring him?

CRITO: Very true.

SOCRATES: Then we ought not to retaliate or render evil for evil to anyone, whatever evil we may have suffered from him. But I would have you consider, Crito, whether you really mean what you are saying. For this opinion has never been held, and never will be held, by any considerable number of persons; and those who are agreed and those who are not agreed upon this point have no common ground, and can only despise one another when they see how widely they differ. Tell me, then, whether you agree with and assent to my first principle, that neither injury nor retaliation nor warding off evil by evil is ever right. And shall that be the premise of our argument? Or do you decline and dissent from this? For so I have ever thought, and continue to think; but, if you are of another opinion, let me hear what you have to say. If, however, you remain of the same mind as formerly, I will proceed to the next step.

CRITO: You may proceed, for I have not changed my mind.

SOCRATES: Then I will go on to the next point, which may be put in the form of a question:—Ought a man to do what he admits to be right, or ought he to betray the right?

CRITO: He ought to do what he thinks right.

SOCRATES: But if this is true, what is the application? In leaving the prison against the will of the Athenians, do I wrong any? or rather do I not wrong those whom I ought least to wrong? Do I not desert the principles which were acknowledged by us to be just—what do you say?

CRITO: I cannot tell, Socrates; for I do not know.

SOCRATES: Then consider the matter in this way:—Imagine that I am about to play truant (you may call the proceeding by any name which you like), and the laws and the government come and interrogate me: ‘Tell us, Socrates,’ they say; ‘what are you about? are you not going by an act of yours to overturn us—the laws, and the whole state, as far as in you lies? Do you imagine that a state can subsist and not be overthrown, in which the decisions of law have no power, but are set aside and trampled upon by individuals?’ What will be our answer, Crito, to these and the like words? Anyone, and especially a rhetorician, will have a good deal to say on behalf of the law which requires a sentence to be carried out. He will argue that this law should not be set aside; and shall we reply, ‘Yes; but the state has injured us and given an unjust sentence.’ Suppose I say that?

CRITO: Very good, Socrates.

SOCRATES: ‘And was that our agreement with you?’ the law would answer; ‘or were you to abide by the sentence of the state?’ And if I were to express my astonishment at their words, the law would probably add: ‘Answer, Socrates, instead of opening your eyes—you are in the habit of asking and answering questions. Tell us,—What complaint have you to make against us which justifies you in attempting to destroy us and the state? In the first place did we not bring you into existence? Your father married your mother by our aid and begat you. Say whether you have any objection to urge against those of us who regulate marriage?’ None, I should reply. ‘Or against those of us who after birth regulate the nurture and education of children, in which you also were trained? Were

not the laws, which have the charge of education, right in commanding your father to train you in music and gymnastic?' Right, I should reply. 'Well then, since you were brought into the world and nurtured and educated by us, can you deny in the first place that you are our child and slave, as your fathers were before you? And if this is true you are not on equal terms with us; nor can you think that you have a right to do to us what we are doing to you. Would you have any right to strike or revile or do any other evil to your father or your master, if you had one, because you have been struck or reviled by him, or received some other evil at his hands? You would not say this. And because we think right to destroy you, do you think that you have any right to destroy us in return, and your country as far as in you lies? Will you, O professor of true virtue, pretend that you are justified in this? Has a philosopher like you failed to discover that our country is more to be valued and higher and holier far than mother or father or any ancestor, and more to be regarded in the eyes of the gods and of men of understanding? also to be soothed, and gently and reverently entreated when angry, even more than a father, and either to be persuaded, or if not persuaded, to be obeyed? And when we are punished by her, whether with imprisonment or stripes, the punishment is to be endured in silence; and if she lead us to wounds or death in battle, thither we follow as is right; neither may anyone yield or retreat or leave his rank, but whether in battle or in a court of law, or in any other place, he must do what his city and his country order him; or he must change their view of what is just: and if he may do no violence to his father or mother, much less may he do violence to his country.' What answer shall we make to this, Crito? Do the laws speak truly, or do they not?

CRITO: I think that they do.

SOCRATES: Then the laws will say: 'Consider, Socrates, if we are speaking truly that in your present attempt you are going to do us an injury. For, having brought you into the world, and nurtured and educated you, and given you and every other citizen a share in every good which we had to give, we further proclaim to any Athenian by the liberty which we allow him, that if he does not like us when he has become of age and has seen the ways of the city, and made our acquaintance, he may go where he pleases and take his goods with him. None of us laws will forbid him or interfere with him. Anyone who does not like us and the city, and who wants to emigrate to a colony or to any other city, may go where he likes, retaining his property. But he who has experience of the manner in which we order justice and administer the state, and still remains, has entered into an implied contract that he will do as we command him. And he who disobeys us is, as we maintain, thrice wrong; first, because in disobeying us he is disobeying his parents; secondly, because we are the authors of his education; thirdly, because he has made an agreement with us that he will duly obey our commands; and he neither obeys them nor convinces us that our commands are unjust; and we do not rudely impose them, but give him the alternative of obeying or convincing us;—that is what we offer, and he does neither. These are the sort of accusations to which, as we were saying, you, Socrates, will be exposed if you accomplish your intentions; you, above all other Athenians.'

Suppose now I ask, why I rather than anybody else? they will justly retort upon me that I above all other men have acknowledged the agreement. 'There is clear proof,' they will say, 'Socrates, that we and the city were not displeasing to you. Of all Athenians you have been the most constant resident in the city, which, as you never leave, you may be supposed to love.<sup>7</sup> For you never went out of the city either to see the games, except once when you went to the Isthmus, or to any other place unless when you were on military service; nor did you travel as other men do. Nor had you

any curiosity to know other states or their laws: your affections did not go beyond us and our state; we were your especial favourites, and you acquiesced in our government of you; and here in this city you begat your children, which is a proof of your satisfaction. Moreover, you might in the course of the trial, if you had liked, have fixed the penalty at banishment; the state which refuses to let you go now would have let you go then. But you pretended that you preferred death to exile,<sup>8</sup> and that you were not unwilling to die. And now you have forgotten these fine sentiments, and pay no respect to us the laws, of whom you are the destroyer; and are doing what only a miserable slave would do, running away and turning your back upon the compacts and agreements which you made as a citizen. And first of all answer this very question: Are we right in saying that you agreed to be governed according to us in deed, and not in word only? Is that true or not? How shall we answer, Crito? Must we not assent?

CRITO: We cannot help it, Socrates.

SOCRATES: Then will they not say: 'You, Socrates, are breaking the covenants and agreements which you made with us at your leisure, not in any haste or under any compulsion or deception, but after you have had seventy years to think of them, during which time you were at liberty to leave the city, if we were not to your mind, or if our covenants appeared to you to be unfair. You had your choice, and might have gone either to Lacedaemon or Crete, both which states are often praised by you for their good government, or to some other Hellenic or foreign state. Whereas you, above all other Athenians, seemed to be so fond of the state, or, in other words, of us, her laws (and who would care about a state which has no laws?), that you never stirred out of her; the halt, the blind, the maimed were not more stationary in her than you were. And now you run away and forsake your agreements. Not so, Socrates, if you will take our advice; do not make yourself ridiculous by escaping out of the city.

'For just consider, if you transgress and err in this sort of way, what good will you do either to yourself or to your friends? That your friends will be driven into exile and deprived of citizenship, or will lose their property, is tolerably certain; and you yourself, if you fly to one of the neighbouring cities, as, for example, Thebes or Megara, both of which are well governed, will come to them as an enemy, Socrates, and their government will be against you, and all patriotic citizens will cast an evil eye upon you as a subverter of the laws, and you will confirm in the minds of the judges the justice of their own condemnation of you. For he who is a corrupter of the laws is more than likely to be a corrupter of the young and foolish portion of mankind. Will you then flee from well-ordered cities and virtuous men? and is existence worth having on these terms? Or will you go to them without shame, and talk to them, Socrates? And what will you say to them? What you say here about virtue and justice and institutions and laws being the best things among men? Would that be decent of you? Surely not. But if you go away from well-governed states to Crito's friends in Thessaly, where there is great disorder and licence, they will be charmed to hear the tale of your escape from prison, set off with ludicrous particulars of the manner in which you were wrapped in a goatskin or some other disguise, and metamorphosed as the manner is of runaways; but will there be no one to remind you that in your old age you were not ashamed to violate the most sacred laws from a miserable desire of a little more life? Perhaps not, if you keep them in a good temper; but if they are out of temper you will hear many degrading things; you will live, but how?—as the flatterer of all men, and the servant of all men; and doing what?—eating and drinking in Thessaly, having gone abroad in order that you may get a dinner. And where will be your fine sentiments about justice and virtue? Say that you wish to live for the sake of your

children—you want to bring them up and educate them—will you take them into Thessaly and deprive them of Athenian citizenship? Is this the benefit which you will confer upon them? Or are you under the impression that they will be better cared for and educated here if you are still alive, although absent from them; for your friends will take care of them? Do you fancy that if you are an inhabitant of Thessaly they will take care of them, and if you are an inhabitant of the other world that they will not take care of them? Nay; but if they who call themselves friends are good for anything, they will—to be sure they will.

‘Listen, then, Socrates, to us who have brought you up. Think not of life and children first, and of justice afterwards, but of justice first, that you may be justified before the princes of the world below. For neither will you nor any that belong to you be happier or holier or juster in this life, or happier in another, if you do as Crito bids. Now you depart in innocence, a sufferer and not a doer of evil; a victim, not of the laws, but of men. But if you go forth, returning evil for evil, and injury for injury, breaking the covenants and agreements which you have made with us, and wronging those whom you ought least of all to wrong, that is to say, yourself, your friends, your country, and us, we shall be angry with you while you live, and our brethren, the laws in the world below, will receive you as an enemy; for they will know that you have done your best to destroy us. Listen, then, to us and not to Crito.’

This, dear Crito, is the voice which I seem to hear murmuring in my ears, like the sound of the flute in the ears of the mystic; that voice, I say, is humming in my ears, and prevents me from hearing any other. And I know that anything more which you may say will be vain. Yet speak, if you have anything to say.

CRITO: I have nothing to say, Socrates.

SOCRATES: Leave me then, Crito, to fulfil the will of God, and to follow whither he leads.

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1. See *Phaedrus*
  2. See *Prose Works*
  3. Homer, *Iliad*, IX
  4. Cp. *Apology*
  5. Cp. *Apology*
  6. Cp. *Republic*
  7. Cp. *Phaedrus*
  8. Cp. *Apology*



# MODULE 2: TRUTH

## 2.1 Plato on Truth

### *About this Text*

The excerpts below are from Plato's *Republic*, written sometime in the 380s B.C.E, more than a decade after the death of Socrates. In the dialogue as a whole, Plato reports a conversation in which Socrates and his friends explore the question "what is justice?" They proceed by imagining a perfectly just city. In that city, it turns out, philosophers rule. Socrates states this conclusion in the first paragraph below and then proceeds to describe the philosopher as one who loves the truth. But that raises the question of just what "truth" is. Socrates explores that question in the remainder of the excerpt from Book V. In the excerpt from Book VI which follows, Socrates offers his famous "allegory of the cave." The allegory suggests that most humans beings live in ignorance and—at least initially—resist the painful process of true education.

EXCERPTS FROM PLATO, *REPUBLIC* (SOURCE)

Translated by Benjamin Jowett

### **From Book V**

#### **I said**

*'Until philosophers are kings, or the kings and princes of this world have the spirit and power of philosophy, and political greatness and wisdom meet in one, and those commoner natures who pursue either to the exclusion of the other are compelled to stand aside, cities will never have rest from their evils,—nor the human race, as I believe,—and then only will this our State have a possibility of life and behold the light of day.'* Such was the thought, my dear Glaucon, which I would fain have uttered if it had not seemed too extravagant; for to be convinced that in no other State can there be happiness private or public is indeed a hard thing.

Socrates, what do you mean? I would have you consider that the word which you have uttered is one at which numerous persons, and very respectable persons too, in a figure pulling off their coats all in a moment, and seizing any weapon that comes to hand, will run at you might and main, before you know where you are, intending to do heaven knows what; and if you don't prepare an answer, and put yourself in motion, you will be 'pared by their fine wits,' and no mistake.

You got me into the scrape, I said.

And I was quite right; however, I will do all I can to get you out of it; but I can only give you good-will and good advice, and, perhaps, I may be able to fit answers to your questions better than another—that is all. And now, having such an auxiliary, you must do your best to show the unbelievers that you are right.

I ought to try, I said, since you offer me such invaluable assistance. And I think that, if there

is to be a chance of our escaping, we must explain to them whom we mean when we say that philosophers are to rule in the State; then we shall be able to defend ourselves: There will be discovered to be some natures who ought to study philosophy and to be leaders in the State; and others who are not born to be philosophers, and are meant to be followers rather than leaders.

Then now for a definition, he said.

Follow me, I said, and I hope that I may in some way or other be able to give you a satisfactory explanation.

Proceed.

I dare say that you remember, and therefore I need not remind you, that a lover, if he is worthy of the name, ought to show his love, not to some one part of that which he loves, but to the whole.

I really do not understand, and therefore beg of you to assist my memory.

Another person, I said, might fairly reply as you do; but a man of pleasure like yourself ought to know that all who are in the flower of youth do somehow or other raise a pang or emotion in a lover's breast, and are thought by him to be worthy of his affectionate regards. Is not this a way which you have with the fair: one has a snub nose, and you praise his charming face; the hook-nose of another has, you say, a royal look; while he who is neither snub nor hooked has the grace of regularity: the dark visage is manly, the fair are children of the gods; and as to the sweet 'honey pale,' as they are called, what is the very name but the invention of a lover who talks in diminutives, and is not averse to paleness if appearing on the cheek of youth? In a word, there is no excuse which you will not make, and nothing which you will not say, in order not to lose a single flower that blooms in the spring-time of youth.

If you make me an authority in matters of love, for the sake of the argument, I assent.

And what do you say of lovers of wine? Do you not see them doing the same? They are glad of any pretext of drinking any wine.

Very good.

And the same is true of ambitious men; if they cannot command an army, they are willing to command a file; and if they cannot be honoured by really great and important persons, they are glad to be honoured by lesser and meaner people, –but honour of some kind they must have.

Exactly.

Once more let me ask: Does he who desires any class of goods, desire the whole class or a part only?

The whole.

And may we not say of the philosopher that he is a lover, not of a part of wisdom only, but of the whole?

Yes, of the whole.

And he who dislikes learning, especially in youth, when he has no power of judging what is good and what is not, such an one we maintain not to be a philosopher or a lover of knowledge, just as he who refuses his food is not hungry, and may be said to have a bad appetite and not a good one?

Very true, he said.

Whereas he who has a taste for every sort of knowledge and who is curious to learn and is never satisfied, may be justly termed a philosopher? Am I not right?

**Glaucon said**

*If curiosity makes a philosopher, you will find many a strange being will have a title to the name. All the lovers of sights have a delight in learning, and must therefore be included. Musical amateurs,*

*too, are a folk strangely out of place among philosophers, for they are the last persons in the world who would come to anything like a philosophical discussion, if they could help, while they run about at the Dionysiac festivals as if they had let out their ears to hear every chorus; whether the performance is in town or country—that makes no difference—they are there. Now are we to maintain that all these and any who have similar tastes, as well as the professors of quite minor arts, are philosophers?*

Certainly not, I replied; they are only an imitation.

He said: Who then are the true philosophers?

Those, I said, who are lovers of the vision of truth.

That is also good, he said; but I should like to know what you mean?

To another, I replied, I might have a difficulty in explaining; but I am sure that you will admit a proposition which I am about to make.

What is the proposition?

That since beauty is the opposite of ugliness, they are two?

Certainly.

And inasmuch as they are two, each of them is one?

True again.

And of just and unjust, good and evil, and of every other class, the same remark holds: taken singly, each of them is one; but from the various combinations of them with actions and things and with one another, they are seen in all sorts of lights and appear many?

Very true.

And this is the distinction which I draw between the sight-loving, art-loving, practical class and those of whom I am speaking, and who are alone worthy of the name of philosophers.

How do you distinguish them? he said.

The lovers of sounds and sights, I replied, are, as I conceive, fond of fine tones and colours and forms and all the artificial products that are made out of them, but their mind is incapable of seeing or loving absolute beauty.

True, he replied.

Few are they who are able to attain to the sight of this.

Very true.

And he who, having a sense of beautiful things has no sense of absolute beauty, or who, if another lead him to a knowledge of that beauty is unable to follow—of such an one I ask, Is he awake or in a dream only? Reflect: is not the dreamer, sleeping or waking, one who likens dissimilar things, who puts the copy in the place of the real object?

I should certainly say that such an one was dreaming.

But take the case of the other, who recognises the existence of absolute beauty and is able to distinguish the idea from the objects which participate in the idea, neither putting the objects in the place of the idea nor the idea in the place of the objects—is he a dreamer, or is he awake?

He is wide awake.

And may we not say that the mind of the one who knows has knowledge, and that the mind of the other, who opines only, has opinion?

Certainly.

But suppose that the latter should quarrel with us and dispute our statement, can we administer any soothing cordial or advice to him, without revealing to him that there is sad disorder in his wits?

We must certainly offer him some good advice, he replied.

Come, then, and let us think of something to say to him. Shall we begin by assuring him that he is welcome to any knowledge which he may have, and that we are rejoiced at his having it? But we should like to ask him a question: Does he who has knowledge know something or nothing? (You must answer for him.)

I answer that he knows something.

Something that is or is not?

Something that is; for how can that which is not ever be known?

And are we assured, after looking at the matter from many points of view, that absolute being is or may be absolutely known, but that the utterly non-existent is utterly unknown?

Nothing can be more certain.

Good. But if there be anything which is of such a nature as to be and not to be, that will have a place intermediate between pure being and the absolute negation of being?

Yes, between them.

And, as knowledge corresponded to being and ignorance of necessity to not-being, for that intermediate between being and not-being there has to be discovered a corresponding intermediate between ignorance and knowledge, if there be such?

Certainly.

Do we admit the existence of opinion?

Undoubtedly.

As being the same with knowledge, or another faculty?

Another faculty.

Then opinion and knowledge have to do with different kinds of matter corresponding to this difference of faculties?

Yes.

And knowledge is relative to being and knows being. But before I proceed further I will make a division.

What division?

I will begin by placing faculties in a class by themselves: they are powers in us, and in all other things, by which we do as we do. Sight and hearing, for example, I should call faculties. Have I clearly explained the class which I mean?

Yes, I quite understand.

Then let me tell you my view about them. I do not see them, and therefore the distinctions of figure, colour, and the like, which enable me to discern the differences of some things, do not apply to them. In speaking of a faculty I think only of its sphere and its result; and that which has the same sphere and the same result I call the same faculty, but that which has another sphere and another result I call different. Would that be your way of speaking?

Yes.

And will you be so very good as to answer one more question? Would you say that knowledge is a faculty, or in what class would you place it?

Certainly knowledge is a faculty, and the mightiest of all faculties.

And is opinion also a faculty?

Certainly, he said; for opinion is that with which we are able to form an opinion.

And yet you were acknowledging a little while ago that knowledge is not the same as opinion?

**Why, yes, he said**

*how can any reasonable being ever identify that which is infallible with that which errs?*

An excellent answer, proving, I said, that we are quite conscious of a distinction between them.

Yes.

Then knowledge and opinion having distinct powers have also distinct spheres or subject-matters?

That is certain.

Being is the sphere or subject-matter of knowledge, and knowledge is to know the nature of being?

Yes.

And opinion is to have an opinion?

Yes.

And do we know what we opine? or is the subject-matter of opinion the same as the subject-matter of knowledge?

Nay, he replied, that has been already disproven; if difference in faculty implies difference in the sphere or subject-matter, and if, as we were saying, opinion and knowledge are distinct faculties, then the sphere of knowledge and of opinion cannot be the same.

Then if being is the subject-matter of knowledge, something else must be the subject-matter of opinion?

Yes, something else.

Well then, is not-being the subject-matter of opinion? or, rather, how can there be an opinion at all about not-being? Reflect: when a man has an opinion, has he not an opinion about something? Can he have an opinion which is an opinion about nothing?

Impossible.

He who has an opinion has an opinion about some one thing?

Yes.

And not-being is not one thing but, properly speaking, nothing?

True.

Of not-being, ignorance was assumed to be the necessary correlative; of being, knowledge?

True, he said.

Then opinion is not concerned either with being or with not-being?

Not with either.

And can therefore neither be ignorance nor knowledge?

That seems to be true.

But is opinion to be sought without and beyond either of them, in a greater clearness than knowledge, or in a greater darkness than ignorance?

In neither.

Then I suppose that opinion appears to you to be darker than knowledge, but lighter than ignorance?

Both; and in no small degree.

And also to be within and between them?

Yes.

Then you would infer that opinion is intermediate?

No question.

But were we not saying before, that if anything appeared to be of a sort which is and is not at the same time, that sort of thing would appear also to lie in the interval between pure being and absolute not-being; and that the corresponding faculty is neither knowledge nor ignorance, but will be found in the interval between them?

True.

And in that interval there has now been discovered something which we call opinion?

There has.

Then what remains to be discovered is the object which partakes equally of the nature of being and not-being, and cannot rightly be termed either, pure and simple; this unknown term, when discovered, we may truly call the subject of opinion, and assign each to their proper faculty,—the extremes to the faculties of the extremes and the mean to the faculty of the mean.

True.

This being premised, I would ask the gentleman who is of opinion that there is no absolute or unchangeable idea of beauty—in whose opinion the beautiful is the manifold—he, I say, your lover of beautiful sights, who cannot bear to be told that the beautiful is one, and the just is one, or that anything is one—to him I would appeal, saying, Will you be so very kind, sir, as to tell us whether, of all these beautiful things, there is one which will not be found ugly; or of the just, which will not be found unjust; or of the holy, which will not also be unholy?

No, he replied; the beautiful will in some point of view be found ugly; and the same is true of the rest.

And may not the many which are doubles be also halves?—doubles, that is, of one thing, and halves of another?

Quite true.

And things great and small, heavy and light, as they are termed, will not be denoted by these any more than by the opposite names?

True; both these and the opposite names will always attach to all of them.

And can any one of those many things which are called by particular names be said to be this rather than not to be this?

### **He replied**

*They are like the punning riddles which are asked at feasts or the children's puzzle about the eunuch aiming at the bat, with what he hit him, as they say in the puzzle, and upon what the bat was sitting. The individual objects of which I am speaking are also a riddle, and have a double sense: nor can you fix them in your mind, either as being or not-being, or both, or neither.*

Then what will you do with them? I said. Can they have a better place than between being and not-being? For they are clearly not in greater darkness or negation than not-being, or more full of light and existence than being.

That is quite true, he said.

Thus then we seem to have discovered that the many ideas which the multitude entertain

about the beautiful and about all other things are tossing about in some region which is half-way between pure being and pure not-being?

We have.

Yes; and we had before agreed that anything of this kind which we might find was to be described as matter of opinion, and not as matter of knowledge; being the intermediate flux which is caught and detained by the intermediate faculty.

Quite true.

Then those who see the many beautiful, and who yet neither see absolute beauty, nor can follow any guide who points the way thither; who see the many just, and not absolute justice, and the like,—such persons may be said to have opinion but not knowledge?

That is certain.

But those who see the absolute and eternal and immutable may be said to know, and not to have opinion only?

Neither can that be denied.

The one love and embrace the subjects of knowledge, the other those of opinion? The latter are the same, as I dare say you will remember, who listened to sweet sounds and gazed upon fair colours, but would not tolerate the existence of absolute beauty.

Yes, I remember.

Shall we then be guilty of any impropriety in calling them lovers of opinion rather than lovers of wisdom, and will they be very angry with us for thus describing them?

I shall tell them not to be angry; no man should be angry at what is true.

But those who love the truth in each thing are to be called lovers of wisdom and not lovers of opinion.

Assuredly.

### **From Book VII**

And now, I said, let me show in a figure how far our nature is enlightened or unenlightened:—Behold! human beings living in a underground den, which has a mouth open towards the light and reaching all along the den; here they have been from their childhood, and have their legs and necks chained so that they cannot move, and can only see before them, being prevented by the chains from turning round their heads. Above and behind them a fire is blazing at a distance, and between the fire and the prisoners there is a raised way; and you will see, if you look, a low wall built along the way, like the screen which marionette players have in front of them, over which they show the puppets.

I see.

And do you see, I said, men passing along the wall carrying all sorts of vessels, and statues and figures of animals made of wood and stone and various materials, which appear over the wall? Some of them are talking, others silent.

You have shown me a strange image, and they are strange prisoners.

Like ourselves, I replied; and they see only their own shadows, or the shadows of one another, which the fire throws on the opposite wall of the cave?

True, he said; how could they see anything but the shadows if they were never allowed to move their heads?

And of the objects which are being carried in like manner they would only see the shadows?



Yes, he said.

And if they were able to converse with one another, would they not suppose that they were naming what was actually before them?

Very true.

And suppose further that the prison had an echo which came from the other side, would they not be sure to fancy when one of the passers-by spoke that the voice which they heard came from the passing shadow?

No question, he replied.

To them, I said, the truth would be literally nothing but the shadows of the images.

That is certain.

And now look again, and see what will naturally follow if the prisoners are released and disabused of their error. At first, when any of them is liberated and compelled suddenly to stand up and turn his neck round and walk and look towards the light, he will suffer sharp pains; the glare will distress him, and he will be unable to see the realities of which in his former state he had seen the shadows; and then conceive some one saying to him, that what he saw before was an illusion, but that now, when he is approaching nearer to being and his eye is turned towards more real existence, he has a clearer vision,—what will be his reply? And you may further imagine that his instructor is pointing to the objects as they pass and requiring him to name them,—will he not be perplexed? Will he not fancy that the shadows which he formerly saw are truer than the objects which are now shown to him?

Far truer.

And if he is compelled to look straight at the light, will he not have a pain in his eyes which will make him turn away to take refuge in the objects of vision which he can see, and which he will conceive to be in reality clearer than the things which are now being shown to him?

True, he said.

And suppose once more, that he is reluctantly dragged up a steep and rugged ascent, and held fast until he is forced into the presence of the sun himself, is he not likely to be pained and irritated? When he approaches the light his eyes will be dazzled, and he will not be able to see anything at all of what are now called realities.

Not all in a moment, he said.

He will require to grow accustomed to the sight of the upper world. And first he will see the shadows best, next the reflections of men and other objects in the water, and then the objects themselves; then he will gaze upon the light of the moon and the stars and the spangled heaven; and he will see the sky and the stars by night better than the sun or the light of the sun by day?

Certainly.

Last of all he will be able to see the sun, and not mere reflections of him in the water, but he will see him in his own proper place, and not in another; and he will contemplate him as he is.

Certainly.

He will then proceed to argue that this is he who gives the season and the years, and is the guardian of all that is in the visible world, and in a certain way the cause of all things which he and his fellows have been accustomed to behold?

Clearly, he said, he would first see the sun and then reason about him.

And when he remembered his old habitation, and the wisdom of the den and his fellow-prisoners, do you not suppose that he would felicitate himself on the change, and pity them?

Certainly, he would.

And if they were in the habit of conferring honours among themselves on those who were quickest to observe the passing shadows and to remark which of them went before, and which followed after, and which were together; and who were therefore best able to draw conclusions as to the future, do you think that he would care for such honours and glories, or envy the possessors of them? Would he not say with Homer,

‘Better to be the poor servant of a poor master,’

and to endure anything, rather than think as they do and live after their manner?

Yes, he said, I think that he would rather suffer anything than entertain these false notions and live in this miserable manner.

Imagine once more, I said, such an one coming suddenly out of the sun to be replaced in his old situation; would he not be certain to have his eyes full of darkness?

To be sure, he said.

And if there were a contest, and he had to compete in measuring the shadows with the prisoners who had never moved out of the den, while his sight was still weak, and before his eyes had become steady (and the time which would be needed to acquire this new habit of sight might be very considerable), would he not be ridiculous? Men would say of him that up he went and down he came without his eyes; and that it was better not even to think of ascending; and if any one tried to loose another and lead him up to the light, let them only catch the offender, and they would put him to death.

No question, he said.

This entire allegory, I said, you may now append, dear Glaucon, to the previous argument; the prison-house is the world of sight, the light of the fire is the sun, and you will not misapprehend me if you interpret the journey upwards to be the ascent of the soul into the intellectual world according to my poor belief, which, at your desire, I have expressed— whether rightly or wrongly God knows. But, whether true or false, my opinion is that in the world of knowledge the idea of good appears last of all, and is seen only with an effort; and, when seen, is also inferred to be the universal author of all things beautiful and right, parent of light and of the lord of light in this visible world, and the immediate source of reason and truth in the intellectual; and that this is the power upon which he who would act rationally either in public or private life must have his eye fixed.

I agree, he said, as far as I am able to understand you.

Moreover, I said, you must not wonder that those who attain to this beatific vision are unwilling to descend to human affairs; for their souls are ever hastening into the upper world where they desire to dwell; which desire of theirs is very natural, if our allegory may be trusted.

Yes, very natural.

And is there anything surprising in one who passes from divine contemplations to the evil state of man, misbehaving himself in a ridiculous manner; if, while his eyes are blinking and before he has become accustomed to the surrounding darkness, he is compelled to fight in courts of law, or in other places, about the images or the shadows of images of justice, and is endeavouring to meet the conceptions of those who have never yet seen absolute justice?

Anything but surprising, he replied.

Any one who has common sense will remember that the bewilderments of the eyes are of two kinds, and arise from two causes, either from coming out of the light or from going into the light,

which is true of the mind's eye, quite as much as of the bodily eye; and he who remembers this when he sees any one whose vision is perplexed and weak, will not be too ready to laugh; he will first ask whether that soul of man has come out of the brighter life, and is unable to see because unaccustomed to the dark, or having turned from darkness to the day is dazzled by excess of light. And he will count the one happy in his condition and state of being, and he will pity the other; or, if he have a mind to laugh at the soul which comes from below into the light, there will be more reason in this than in the laugh which greets him who returns from above out of the light into the den.

That, he said, is a very just distinction.

But then, if I am right, certain professors of education must be wrong when they say that they can put a knowledge into the soul which was not there before, like sight into blind eyes.

They undoubtedly say this, he replied.

Whereas, our argument shows that the power and capacity of learning exists in the soul already; and that just as the eye was unable to turn from darkness to light without the whole body, so too the instrument of knowledge can only by the movement of the whole soul be turned from the world of becoming into that of being, and learn by degrees to endure the sight of being, and of the brightest and best of being, or in other words, of the good.

Very true.

And must there not be some art which will effect conversion in the easiest and quickest manner; not implanting the faculty of sight, for that exists already, but has been turned in the wrong direction, and is looking away from the truth?

Yes, he said, such an art may be presumed.

And whereas the other so-called virtues of the soul seem to be akin to bodily qualities, for even when they are not originally innate they can be implanted later by habit and exercise, the virtue of wisdom more than anything else contains a divine element which always remains, and by this conversion is rendered useful and profitable; or, on the other hand, hurtful and useless. Did you never observe the narrow intelligence flashing from the keen eye of a clever rogue—how eager he is, how clearly his paltry soul sees the way to his end; he is the reverse of blind, but his keen eyesight is forced into the service of evil, and he is mischievous in proportion to his cleverness?

Very true, he said.

But what if there had been a circumcision of such natures in the days of their youth; and they had been severed from those sensual pleasures, such as eating and drinking, which, like leaden weights, were attached to them at their birth, and which drag them down and turn the vision of their souls upon the things that are below—if, I say, they had been released from these impediments and turned in the opposite direction, the very same faculty in them would have seen the truth as keenly as they see what their eyes are turned to now.

Very likely.

Yes, I said; and there is another thing which is likely, or rather a necessary inference from what has preceded, that neither the uneducated and uninformed of the truth, nor yet those who never make an end of their education, will be able ministers of State; not the former, because they have no single aim of duty which is the rule of all their actions, private as well as public; nor the latter, because they will not act at all except upon compulsion, fancying that they are already dwelling apart in the islands of the blest.

Very true, he replied.

Then, I said, the business of us who are the founders of the State will be to compel the best minds to attain that knowledge which we have already shown to be the greatest of all—they must continue to ascend until they arrive at the good; but when they have ascended and seen enough we must not allow them to do as they do now.

What do you mean?

I mean that they remain in the upper world: but this must not be allowed; they must be made to descend again among the prisoners in the den, and partake of their labours and honours, whether they are worth having or not.

But is not this unjust? he said; ought we to give them a worse life, when they might have a better?

You have again forgotten, my friend, I said, the intention of the legislator, who did not aim at making any one class in the State happy above the rest; the happiness was to be in the whole State, and he held the citizens together by persuasion and necessity, making them benefactors of the State, and therefore benefactors of one another; to this end he created them, not to please themselves, but to be his instruments in binding up the State.

True, he said, I had forgotten.

Observe, Glaucon, that there will be no injustice in compelling our philosophers to have a care and providence of others; we shall explain to them that in other States, men of their class are not obliged to share in the toils of politics: and this is reasonable, for they grow up at their own sweet will, and the government would rather not have them. Being self-taught, they cannot be expected to show any gratitude for a culture which they have never received. But we have brought you into the world to be rulers of the hive, kings of yourselves and of the other citizens, and have educated you far better and more perfectly than they have been educated, and you are better able to share in the double duty. Wherefore each of you, when his turn comes, must go down to the general underground abode, and get the habit of seeing in the dark. When you have acquired the habit, you will see ten thousand times better than the inhabitants of the den, and you will know what the several images are, and what they represent, because you have seen the beautiful and just and good in their truth. And thus our State, which is also yours, will be a reality, and not a dream only, and will be administered in a spirit unlike that of other States, in which men fight with one another about shadows only and are distracted in the struggle for power, which in their eyes is a great good. Whereas the truth is that the State in which the rulers are most reluctant to govern is always the best and most quietly governed, and the State in which they are most eager, the worst.

Quite true, he replied.

And will our pupils, when they hear this, refuse to take their turn at the toils of State, when they are allowed to spend the greater part of their time with one another in the heavenly light?

Impossible, he answered; for they are just men, and the commands which we impose upon them are just; there can be no doubt that every one of them will take office as a stern necessity, and not after the fashion of our present rulers of State.

Yes, my friend, I said; and there lies the point. You must contrive for your future rulers another and a better life than that of a ruler, and then you may have a well-ordered State; for only in the State which offers this, will they rule who are truly rich, not in silver and gold, but in virtue and wisdom, which are the true blessings of life. Whereas if they go to the administration of public affairs, poor and hungering after their own private advantage, thinking that hence they are to snatch the chief good, order there can never be; for they will be fighting about office, and the civil

and domestic broils which thus arise will be the ruin of the rulers themselves and of the whole State.

Most true, he replied.

And the only life which looks down upon the life of political ambition is that of true philosophy. Do you know of any other?

Indeed, I do not, he said.

And those who govern ought not to be lovers of the task? For, if they are, there will be rival lovers, and they will fight.

No question.

Who then are those whom we shall compel to be guardians? Surely they will be the men who are wisest about affairs of State, and by whom the State is best administered, and who at the same time have other honours and another and a better life than that of politics?

They are the men, and I will choose them, he replied.

## 2.2 Machiavelli on Truth

### *About this Text*

As you will see in the dedication below, Machiavelli tells us that he wrote the *Prince* as a kind of handbook for rulers, giving them good advice about how to get and maintain power. Scholars have wondered over the centuries whether that was Machiavelli's true intention or not. Some have argued that he was in fact mocking the excesses of princes or perhaps giving them crucial bits of *bad* advice that, if followed, would lead to their downfall. The excerpts we have for this week will give you a sense of the kind of advice Machiavelli offers. More to the point for our study of the big idea of truth, these excerpts indicate what sort of knowledge Machiavelli thinks we should want and can have about the political world. That is to say that these excerpts indicate what counts as relevant political truth for him. If you have time, the entire *Prince* is well worth reading. Just click on the source link below.

Machiavelli

EXCERPTS FROM MACHIAVELLI, *THE PRINCE* (SOURCE)

Translated by W.K. Marriott

### *DEDICATION*

To the Magnificent Lorenzo Di Piero De' Medici: Those who strive to obtain the good graces of a prince are accustomed to come before him with such things as they hold most precious, or in which they see him take most delight; whence one often sees horses, arms, cloth of gold, precious stones, and similar ornaments presented to princes, worthy of their greatness. Desiring therefore to present myself to your Magnificence with some testimony of my devotion towards you, I have not found among my possessions anything which I hold more dear than, or value so much as, the knowledge of the actions of great men, acquired by long experience in contemporary affairs, and a continual study of antiquity; which, having reflected upon it with great and prolonged diligence, I now send, digested into a little volume, to your Magnificence. And although I may consider this work unworthy of your countenance, nevertheless I trust much to your benignity that it may be acceptable, seeing that it is not possible for me to make a better gift than to offer you the opportunity of understanding in the shortest time all that I have learnt in so many years, and with so many troubles and dangers; which work I have not embellished with swelling

or magnificent words, nor stuffed with rounded periods, nor with any extrinsic allurements or adornments whatever, with which so many are accustomed to embellish their works; for I have wished either that no honour should be given it, or else that the truth of the matter and the weightiness of the theme shall make it acceptable. Nor do I hold with those who regard it as a presumption if a man of low and humble condition dare to discuss and settle the concerns of princes; because, just as those who draw landscapes place themselves below in the plain to contemplate the nature of the mountains and of lofty places, and in order to contemplate the plains place themselves upon high mountains, even so to understand the nature of the people it needs to be a prince, and to understand that of princes it needs to be of the people. Take then, your Magnificence, this little gift in the spirit in which I send it; wherein, if it be diligently read and considered by you, you will learn my extreme desire that you should attain that greatness which fortune and your other attributes promise. And if your Magnificence from the summit of your greatness will sometimes turn your eyes to these lower regions, you will see how unmeritedly I suffer a great and continued malignity of fortune.

#### *CHAPTER X — CONCERNING THE WAY IN WHICH THE STRENGTH OF ALL PRINCIPALITIES OUGHT TO BE MEASURED*

It is necessary to consider another point in examining the character of these principalities: that is, whether a prince has such power that, in case of need, he can support himself with his own resources, or whether he has always need of the assistance of others. And to make this quite clear I say that I consider those who are able to support themselves by their own resources who can, either by abundance of men or money, raise a sufficient army to join battle against any one who comes to attack them; and I consider those always to have need of others who cannot show themselves against the enemy in the field, but are forced to defend themselves by sheltering behind walls. The first case has been discussed, but we will speak of it again should it recur. In the second case one can say nothing except to encourage such princes to provision and fortify their towns, and not on any account to defend the country. And whoever shall fortify his town well, and shall have managed the other concerns of his subjects in the way stated above, and to be often repeated, will never be attacked without great caution, for men are always adverse to enterprises where difficulties can be seen, and it will be seen not to be an easy thing to attack one who has his town well fortified, and is not hated by his people.

The cities of Germany are absolutely free, they own but little country around them, and they yield obedience to the emperor when it suits them, nor do they fear this or any other power they may have near them, because they are fortified in such a way that every one thinks the taking of them by assault would be tedious and difficult, seeing they have proper ditches and walls, they have sufficient artillery, and they always keep in public depots enough for one year's eating, drinking, and firing. And beyond this, to keep the people quiet and without loss to the state, they always have the means of giving work to the community in those labours that are the life and strength of the city, and on the pursuit of which the people are supported; they also hold military exercises in repute, and moreover have many ordinances to uphold them.

Therefore, a prince who has a strong city, and had not made himself odious, will not be attacked,

or if any one should attack he will only be driven off with disgrace; again, because that the affairs of this world are so changeable, it is almost impossible to keep an army a whole year in the field without being interfered with. And whoever should reply: If the people have property outside the city, and see it burnt, they will not remain patient, and the long siege and self-interest will make them forget their prince; to this I answer that a powerful and courageous prince will overcome all such difficulties by giving at one time hope to his subjects that the evil will not be for long, at another time fear of the cruelty of the enemy, then preserving himself adroitly from those subjects who seem to him to be too bold.

Further, the enemy would naturally on his arrival at once burn and ruin the country at the time when the spirits of the people are still hot and ready for the defence; and, therefore, so much the less ought the prince to hesitate; because after a time, when spirits have cooled, the damage is already done, the ills are incurred, and there is no longer any remedy; and therefore they are so much the more ready to unite with their prince, he appearing to be under obligations to them now that their houses have been burnt and their possessions ruined in his defence. For it is the nature of men to be bound by the benefits they confer as much as by those they receive. Therefore, if everything is well considered, it will not be difficult for a wise prince to keep the minds of his citizens steadfast from first to last, when he does not fail to support and defend them.

#### *CHAPTER XV — CONCERNING THINGS FOR WHICH MEN, AND ESPECIALLY PRINCES, ARE PRAISED OR BLAMED*

It remains now to see what ought to be the rules of conduct for a prince towards subject and friends. And as I know that many have written on this point, I expect I shall be considered presumptuous in mentioning it again, especially as in discussing it I shall depart from the methods of other people. But, it being my intention to write a thing which shall be useful to him who apprehends it, it appears to me more appropriate to follow up the real truth of the matter than the imagination of it; for many have pictured republics and principalities which in fact have never been known or seen, because how one lives is so far distant from how one ought to live, that he who neglects what is done for what ought to be done, sooner effects his ruin than his preservation; for a man who wishes to act entirely up to his professions of virtue soon meets with what destroys him among so much that is evil.

Hence it is necessary for a prince wishing to hold his own to know how to do wrong, and to make use of it or not according to necessity. Therefore, putting on one side imaginary things concerning a prince, and discussing those which are real, I say that all men when they are spoken of, and chiefly princes for being more highly placed, are remarkable for some of those qualities which bring them either blame or praise; and thus it is that one is reputed liberal, another miserly, using a Tuscan term (because an avaricious person in our language is still he who desires to possess by robbery, whilst we call one miserly who deprives himself too much of the use of his own); one is reputed generous, one rapacious; one cruel, one compassionate; one faithless, another faithful; one effeminate and cowardly, another bold and brave; one affable, another haughty; one lascivious, another chaste; one sincere, another cunning; one hard, another easy; one grave, another frivolous; one religious, another unbelieving, and the like. And I know that every one will



confess that it would be most praiseworthy in a prince to exhibit all the above qualities that are considered good; but because they can neither be entirely possessed nor observed, for human conditions do not permit it, it is necessary for him to be sufficiently prudent that he may know how to avoid the reproach of those vices which would lose him his state; and also to keep himself, if it be possible, from those which would not lose him it; but this not being possible, he may with less hesitation abandon himself to them. And again, he need not make himself uneasy at incurring a reproach for those vices without which the state can only be saved with difficulty, for if everything is considered carefully, it will be found that something which looks like virtue, if followed, would be his ruin; whilst something else, which looks like vice, yet followed brings him security and prosperity.

#### CHAPTER XVI — CONCERNING LIBERALITY AND MEANNESS

Commencing then with the first of the above-named characteristics, I say that it would be well to be reputed liberal. Nevertheless, liberality exercised in a way that does not bring you the reputation for it, injures you; for if one exercises it honestly and as it should be exercised, it may not become known, and you will not avoid the reproach of its opposite. Therefore, any one wishing to maintain among men the name of liberal is obliged to avoid no attribute of magnificence; so that a prince thus inclined will consume in such acts all his property, and will be compelled in the end, if he wish to maintain the name of liberal, to unduly weigh down his people, and tax them, and do everything he can to get money. This will soon make him odious to his subjects, and becoming poor he will be little valued by any one; thus, with his liberality, having offended many and rewarded few, he is affected by the very first trouble and imperilled by whatever may be the first danger; recognizing this himself, and wishing to draw back from it, he runs at once into the reproach of being miserly.

Therefore, a prince, not being able to exercise this virtue of liberality in such a way that it is recognized, except to his cost, if he is wise he ought not to fear the reputation of being mean, for in time he will come to be more considered than if liberal, seeing that with his economy his revenues are enough, that he can defend himself against all attacks, and is able to engage in enterprises without burdening his people; thus it comes to pass that he exercises liberality towards all from whom he does not take, who are numberless, and meanness towards those to whom he does not give, who are few.

We have not seen great things done in our time except by those who have been considered mean; the rest have failed. Pope Julius the Second was assisted in reaching the papacy by a reputation for liberality, yet he did not strive afterwards to keep it up, when he made war on the King of France; and he made many wars without imposing any extraordinary tax on his subjects, for he supplied his additional expenses out of his long thriftiness. The present King of Spain would not have undertaken or conquered in so many enterprises if he had been reputed liberal. A prince, therefore, provided that he has not to rob his subjects, that he can defend himself, that he does not become poor and abject, that he is not forced to become rapacious, ought to hold of little account a reputation for being mean, for it is one of those vices which will enable him to govern.

And if any one should say: Caesar obtained empire by liberality, and many others have reached the highest positions by having been liberal, and by being considered so, I answer: Either you are

a prince in fact, or in a way to become one. In the first case this liberality is dangerous, in the second it is very necessary to be considered liberal; and Caesar was one of those who wished to become pre-eminent in Rome; but if he had survived after becoming so, and had not moderated his expenses, he would have destroyed his government. And if any one should reply: Many have been princes, and have done great things with armies, who have been considered very liberal, I reply: Either a prince spends that which is his own or his subjects' or else that of others. In the first case he ought to be sparing, in the second he ought not to neglect any opportunity for liberality. And to the prince who goes forth with his army, supporting it by pillage, sack, and extortion, handling that which belongs to others, this liberality is necessary, otherwise he would not be followed by soldiers. And of that which is neither yours nor your subjects' you can be a ready giver, as were Cyrus, Caesar, and Alexander; because it does not take away your reputation if you squander that of others, but adds to it; it is only squandering your own that injures you.

And there is nothing wastes so rapidly as liberality, for even whilst you exercise it you lose the power to do so, and so become either poor or despised, or else, in avoiding poverty, rapacious and hated. And a prince should guard himself, above all things, against being despised and hated; and liberality leads you to both. Therefore it is wiser to have a reputation for meanness which brings reproach without hatred, than to be compelled through seeking a reputation for liberality to incur a name for rapacity which begets reproach with hatred.

*CHAPTER XVII — CONCERNING CRUELTY AND CLEMENCY, AND WHETHER IT IS BETTER TO BE LOVED  
THAN FEARED*

Coming now to the other qualities mentioned above, I say that every prince ought to desire to be considered clement and not cruel. Nevertheless he ought to take care not to misuse this clemency. Cesare Borgia was considered cruel; notwithstanding, his cruelty reconciled the Romagna, unified it, and restored it to peace and loyalty. And if this be rightly considered, he will be seen to have been much more merciful than the Florentine people, who, to avoid a reputation for cruelty, permitted Pistoia to be destroyed. Therefore a prince, so long as he keeps his subjects united and loyal, ought not to mind the reproach of cruelty; because with a few examples he will be more merciful than those who, through too much mercy, allow disorders to arise, from which follow murders or robberies; for these are wont to injure the whole people, whilst those executions which originate with a prince offend the individual only. And of all princes, it is impossible for the new prince to avoid the imputation of cruelty, owing to new states being full of dangers. Hence Virgil, through the mouth of Dido, excuses the inhumanity of her reign owing to its being new, saying:

. . . against my will, my fate  
A throne unsettled, and an infant state,  
Bid me defend my realms with all my pow'rs,  
And guard with these severities my shores.

Nevertheless he ought to be slow to believe and to act, nor should he himself show fear, but proceed in a temperate manner with prudence and humanity, so that too much confidence may not make him incautious and too much distrust render him intolerable.

Upon this a question arises: whether it be better to be loved than feared or feared than loved? It may be answered that one should wish to be both, but, because it is difficult to unite them in one

person, it is much safer to be feared than loved, when, of the two, either must be dispensed with. Because this is to be asserted in general of men, that they are ungrateful, fickle, false, cowardly, covetous, and as long as you succeed they are yours entirely; they will offer you their blood, property, life, and children, as is said above, when the need is far distant; but when it approaches they turn against you. And that prince who, relying entirely on their promises, has neglected other precautions, is ruined; because friendships that are obtained by payments, and not by greatness or nobility of mind, may indeed be earned, but they are not secured, and in time of need cannot be relied upon; and men have less scruple in offending one who is beloved than one who is feared, for love is preserved by the link of obligation which, owing to the baseness of men, is broken at every opportunity for their advantage; but fear preserves you by a dread of punishment which never fails.

Nevertheless a prince ought to inspire fear in such a way that, if he does not win love, he avoids hatred; because he can endure very well being feared whilst he is not hated, which will always be as long as he abstains from the property of his citizens and subjects and from their women. But when it is necessary for him to proceed against the life of someone, he must do it on proper justification and for manifest cause, but above all things he must keep his hands off the property of others, because men more quickly forget the death of their father than the loss of their patrimony. Besides, pretexts for taking away the property are never wanting; for he who has once begun to live by robbery will always find pretexts for seizing what belongs to others; but reasons for taking life, on the contrary, are more difficult to find and sooner lapse. But when a prince is with his army, and has under control a multitude of soldiers, then it is quite necessary for him to disregard the reputation of cruelty, for without it he would never hold his army united or disposed to its duties.

Among the wonderful deeds of Hannibal this one is enumerated: that having led an enormous army, composed of many various races of men, to fight in foreign lands, no dissensions arose either among them or against the prince, whether in his bad or in his good fortune. This arose from nothing else than his inhuman cruelty, which, with his boundless valour, made him revered and terrible in the sight of his soldiers, but without that cruelty, his other virtues were not sufficient to produce this effect. And short-sighted writers admire his deeds from one point of view and from another condemn the principal cause of them. That it is true his other virtues would not have been sufficient for him may be proved by the case of Scipio, that most excellent man, not only of his own times but within the memory of man, against whom, nevertheless, his army rebelled in Spain; this arose from nothing but his too great forbearance, which gave his soldiers more license than is consistent with military discipline. For this he was upbraided in the Senate by Fabius Maximus, and called the corrupter of the Roman soldiery. The Locrians were laid waste by a legate of Scipio, yet they were not avenged by him, nor was the insolence of the legate punished, owing entirely to his easy nature. Insomuch that someone in the Senate, wishing to excuse him, said there were many men who knew much better how not to err than to correct the errors of others. This disposition, if he had been continued in the command, would have destroyed in time the fame and glory of Scipio; but, he being under the control of the Senate, this injurious characteristic not only concealed itself, but contributed to his glory.

Returning to the question of being feared or loved, I come to the conclusion that, men loving according to their own will and fearing according to that of the prince, a wise prince should establish himself on that which is in his own control and not in that of others; he must endeavour only to avoid hatred, as is noted.

## CHAPTER XVIII — CONCERNING THE WAY IN WHICH PRINCES SHOULD KEEP FAITH

Every one admits how praiseworthy it is in a prince to keep faith, and to live with integrity and not with craft. Nevertheless our experience has been that those princes who have done great things have held good faith of little account, and have known how to circumvent the intellect of men by craft, and in the end have overcome those who have relied on their word. You must know there are two ways of contesting, (\*) the one by the law, the other by force; the first method is proper to men, the second to beasts; but because the first is frequently not sufficient, it is necessary to have recourse to the second. Therefore it is necessary for a prince to understand how to avail himself of the beast and the man. This has been figuratively taught to princes by ancient writers, who describe how Achilles and many other princes of old were given to the Centaur Chiron to nurse, who brought them up in his discipline; which means solely that, as they had for a teacher one who was half beast and half man, so it is necessary for a prince to know how to make use of both natures, and that one without the other is not durable. A prince, therefore, being compelled knowingly to adopt the beast, ought to choose the fox and the lion; because the lion cannot defend himself against snares and the fox cannot defend himself against wolves. Therefore, it is necessary to be a fox to discover the snares and a lion to terrify the wolves. Those who rely simply on the lion do not understand what they are about. Therefore a wise lord cannot, nor ought he to, keep faith when such observance may be turned against him, and when the reasons that caused him to pledge it exist no longer. If men were entirely good this precept would not hold, but because they are bad, and will not keep faith with you, you too are not bound to observe it with them. Nor will there ever be wanting to a prince legitimate reasons to excuse this non-observance. Of this endless modern examples could be given, showing how many treaties and engagements have been made void and of no effect through the faithlessness of princes; and he who has known best how to employ the fox has succeeded best.

But it is necessary to know well how to disguise this characteristic, and to be a great pretender and dissembler; and men are so simple, and so subject to present necessities, that he who seeks to deceive will always find someone who will allow himself to be deceived. One recent example I cannot pass over in silence. Alexander the Sixth did nothing else but deceive men, nor ever thought of doing otherwise, and he always found victims; for there never was a man who had greater power in asserting, or who with greater oaths would affirm a thing, yet would observe it less; nevertheless his deceits always succeeded according to his wishes, (\*) because he well understood this side of mankind.

Therefore it is unnecessary for a prince to have all the good qualities I have enumerated, but it is very necessary to appear to have them. And I shall dare to say this also, that to have them and always to observe them is injurious, and that to appear to have them is useful; to appear merciful, faithful, humane, religious, upright, and to be so, but with a mind so framed that should you require not to be so, you may be able and know how to change to the opposite.

And you have to understand this, that a prince, especially a new one, cannot observe all those things for which men are esteemed, being often forced, in order to maintain the state, to act contrary to fidelity, (\*) friendship, humanity, and religion. Therefore it is necessary for him to have

a mind ready to turn itself accordingly as the winds and variations of fortune force it, yet, as I have said above, not to diverge from the good if he can avoid doing so, but, if compelled, then to know how to set about it.

For this reason a prince ought to take care that he never lets anything slip from his lips that is not replete with the above-named five qualities, that he may appear to him who sees and hears him altogether merciful, faithful, humane, upright, and religious. There is nothing more necessary to appear to have than this last quality, inasmuch as men judge generally more by the eye than by the hand, because it belongs to everybody to see you, to few to come in touch with you. Every one sees what you appear to be, few really know what you are, and those few dare not oppose themselves to the opinion of the many, who have the majesty of the state to defend them; and in the actions of all men, and especially of princes, which it is not prudent to challenge, one judges by the result.

For that reason, let a prince have the credit of conquering and holding his state, the means will always be considered honest, and he will be praised by everybody; because the vulgar are always taken by what a thing seems to be and by what comes of it; and in the world there are only the vulgar, for the few find a place there only when the many have no ground to rest on.

One prince(\*) of the present time, whom it is not well to name, never preaches anything else but peace and good faith, and to both he is most hostile, and either, if he had kept it, would have deprived him of reputation and kingdom many a time.

#### *CHAPTER XIX — THAT ONE SHOULD AVOID BEING DESPISED AND HATED*

Now, concerning the characteristics of which mention is made above, I have spoken of the more important ones, the others I wish to discuss briefly under this generality, that the prince must consider, as has been in part said before, how to avoid those things which will make him hated or contemptible; and as often as he shall have succeeded he will have fulfilled his part, and he need not fear any danger in other reproaches.

It makes him hated above all things, as I have said, to be rapacious, and to be a violator of the property and women of his subjects, from both of which he must abstain. And when neither their property nor their honor is touched, the majority of men live content, and he has only to contend with the ambition of a few, whom he can curb with ease in many ways.

It makes him contemptible to be considered fickle, frivolous, effeminate, mean-spirited, irresolute, from all of which a prince should guard himself as from a rock; and he should endeavour to show in his actions greatness, courage, gravity, and fortitude; and in his private dealings with his subjects let him show that his judgments are irrevocable, and maintain himself in such reputation that no one can hope either to deceive him or to get round him.

That prince is highly esteemed who conveys this impression of himself, and he who is highly esteemed is not easily conspired against; for, provided it is well known that he is an excellent man and revered by his people, he can only be attacked with difficulty. For this reason a prince ought to have two fears, one from within, on account of his subjects, the other from without, on account of external powers. From the latter he is defended by being well armed and having good allies, and if he is well armed he will have good friends, and affairs will always remain quiet within when they

are quiet without, unless they should have been already disturbed by conspiracy; and even should affairs outside be disturbed, if he has carried out his preparations and has lived as I have said, as long as he does not despair, he will resist every attack, as I said Nabis the Spartan did.

But concerning his subjects, when affairs outside are disturbed he has only to fear that they will conspire secretly, from which a prince can easily secure himself by avoiding being hated and despised, and by keeping the people satisfied with him, which it is most necessary for him to accomplish, as I said above at length. And one of the most efficacious remedies that a prince can have against conspiracies is not to be hated and despised by the people, for he who conspires against a prince always expects to please them by his removal; but when the conspirator can only look forward to offending them, he will not have the courage to take such a course, for the difficulties that confront a conspirator are infinite. And as experience shows, many have been the conspiracies, but few have been successful; because he who conspires cannot act alone, nor can he take a companion except from those whom he believes to be malcontents, and as soon as you have opened your mind to a malcontent you have given him the material with which to content himself, for by denouncing you he can look for every advantage; so that, seeing the gain from this course to be assured, and seeing the other to be doubtful and full of dangers, he must be a very rare friend, or a thoroughly obstinate enemy of the prince, to keep faith with you.

And, to reduce the matter into a small compass, I say that, on the side of the conspirator, there is nothing but fear, jealousy, prospect of punishment to terrify him; but on the side of the prince there is the majesty of the principality, the laws, the protection of friends and the state to defend him; so that, adding to all these things the popular goodwill, it is impossible that any one should be so rash as to conspire. For whereas in general the conspirator has to fear before the execution of his plot, in this case he has also to fear the sequel to the crime; because on account of it he has the people for an enemy, and thus cannot hope for any escape.

Endless examples could be given on this subject, but I will be content with one, brought to pass within the memory of our fathers. Messer Annibale Bentivogli, who was prince in Bologna (grandfather of the present Annibale), having been murdered by the Canneschi, who had conspired against him, not one of his family survived but Messer Giovanni, (\*) who was in childhood: immediately after his assassination the people rose and murdered all the Canneschi. This sprung from the popular goodwill which the house of Bentivogli enjoyed in those days in Bologna; which was so great that, although none remained there after the death of Annibale who was able to rule the state, the Bolognese, having information that there was one of the Bentivogli family in Florence, who up to that time had been considered the son of a blacksmith, sent to Florence for him and gave him the government of their city, and it was ruled by him until Messer Giovanni came in due course to the government.

For this reason I consider that a prince ought to reckon conspiracies of little account when his people hold him in esteem; but when it is hostile to him, and bears hatred towards him, he ought to fear everything and everybody. And well-ordered states and wise princes have taken every care not to drive the nobles to desperation, and to keep the people satisfied and contented, for this is one of the most important objects a prince can have.

Among the best ordered and governed kingdoms of our times is France, and in it are found many good institutions on which depend the liberty and security of the king; of these the first is the parliament and its authority, because he who founded the kingdom, knowing the ambition of the nobility and their boldness, considered that a bit to their mouths would be necessary to hold them

in; and, on the other side, knowing the hatred of the people, founded in fear, against the nobles, he wished to protect them, yet he was not anxious for this to be the particular care of the king; therefore, to take away the reproach which he would be liable to from the nobles for favouring the people, and from the people for favouring the nobles, he set up an arbiter, who should be one who could beat down the great and favour the lesser without reproach to the king. Neither could you have a better or a more prudent arrangement, or a greater source of security to the king and kingdom. From this one can draw another important conclusion, that princes ought to leave affairs of reproach to the management of others, and keep those of grace in their own hands. And further, I consider that a prince ought to cherish the nobles, but not so as to make himself hated by the people.

It may appear, perhaps, to some who have examined the lives and deaths of the Roman emperors that many of them would be an example contrary to my opinion, seeing that some of them lived nobly and showed great qualities of soul, nevertheless they have lost their empire or have been killed by subjects who have conspired against them. Wishing, therefore, to answer these objections, I will recall the characters of some of the emperors, and will show that the causes of their ruin were not different to those alleged by me; at the same time I will only submit for consideration those things that are noteworthy to him who studies the affairs of those times.

It seems to me sufficient to take all those emperors who succeeded to the empire from Marcus the philosopher down to Maximinus; they were Marcus and his son Commodus, Pertinax, Julian, Severus and his son Antoninus Caracalla, Macrinus, Heliogabalus, Alexander, and Maximinus.

There is first to note that, whereas in other principalities the ambition of the nobles and the insolence of the people only have to be contended with, the Roman emperors had a third difficulty in having to put up with the cruelty and avarice of their soldiers, a matter so beset with difficulties that it was the ruin of many; for it was a hard thing to give satisfaction both to soldiers and people; because the people loved peace, and for this reason they loved the unambitious prince, whilst the soldiers loved the warlike prince who was bold, cruel, and rapacious, which qualities they were quite willing he should exercise upon the people, so that they could get double pay and give vent to their own greed and cruelty. Hence it arose that those emperors were always overthrown who, either by birth or training, had no great authority, and most of them, especially those who came new to the principality, recognizing the difficulty of these two opposing humours, were inclined to give satisfaction to the soldiers, caring little about injuring the people. Which course was necessary, because, as princes cannot help being hated by someone, they ought, in the first place, to avoid being hated by every one, and when they cannot compass this, they ought to endeavour with the utmost diligence to avoid the hatred of the most powerful. Therefore, those emperors who through inexperience had need of special favour adhered more readily to the soldiers than to the people; a course which turned out advantageous to them or not, accordingly as the prince knew how to maintain authority over them.

From these causes it arose that Marcus, Pertinax, and Alexander, being all men of modest life, lovers of justice, enemies to cruelty, humane, and benignant, came to a sad end except Marcus; he alone lived and died honoured, because he had succeeded to the throne by hereditary title, and owed nothing either to the soldiers or the people; and afterwards, being possessed of many virtues which made him respected, he always kept both orders in their places whilst he lived, and was neither hated nor despised.

But Pertinax was created emperor against the wishes of the soldiers, who, being accustomed to

live licentiously under Commodus, could not endure the honest life to which Pertinax wished to reduce them; thus, having given cause for hatred, to which hatred there was added contempt for his old age, he was overthrown at the very beginning of his administration. And here it should be noted that hatred is acquired as much by good works as by bad ones, therefore, as I said before, a prince wishing to keep his state is very often forced to do evil; for when that body is corrupt whom you think you have need of to maintain yourself—it may be either the people or the soldiers or the nobles—you have to submit to its humours and to gratify them, and then good works will do you harm.

But let us come to Alexander, who was a man of such great goodness, that among the other praises which are accorded him is this, that in the fourteen years he held the empire no one was ever put to death by him unjudged; nevertheless, being considered effeminate and a man who allowed himself to be governed by his mother, he became despised, the army conspired against him, and murdered him.

Turning now to the opposite characters of Commodus, Severus, Antoninus Caracalla, and Maximinus, you will find them all cruel and rapacious—men who, to satisfy their soldiers, did not hesitate to commit every kind of iniquity against the people; and all, except Severus, came to a bad end; but in Severus there was so much valour that, keeping the soldiers friendly, although the people were oppressed by him, he reigned successfully; for his valour made him so much admired in the sight of the soldiers and people that the latter were kept in a way astonished and awed and the former respectful and satisfied. And because the actions of this man, as a new prince, were great, I wish to show briefly that he knew well how to counterfeit the fox and the lion, which natures, as I said above, it is necessary for a prince to imitate.

Knowing the sloth of the Emperor Julian, he persuaded the army in Sclavonia, of which he was captain, that it would be right to go to Rome and avenge the death of Pertinax, who had been killed by the praetorian soldiers; and under this pretext, without appearing to aspire to the throne, he moved the army on Rome, and reached Italy before it was known that he had started. On his arrival at Rome, the Senate, through fear, elected him emperor and killed Julian. After this there remained for Severus, who wished to make himself master of the whole empire, two difficulties; one in Asia, where Niger, head of the Asiatic army, had caused himself to be proclaimed emperor; the other in the west where Albinus was, who also aspired to the throne. And as he considered it dangerous to declare himself hostile to both, he decided to attack Niger and to deceive Albinus. To the latter he wrote that, being elected emperor by the Senate, he was willing to share that dignity with him and sent him the title of Caesar; and, moreover, that the Senate had made Albinus his colleague; which things were accepted by Albinus as true. But after Severus had conquered and killed Niger, and settled oriental affairs, he returned to Rome and complained to the Senate that Albinus, little recognizing the benefits that he had received from him, had by treachery sought to murder him, and for this ingratitude he was compelled to punish him. Afterwards he sought him out in France, and took from him his government and life. He who will, therefore, carefully examine the actions of this man will find him a most valiant lion and a most cunning fox; he will find him feared and respected by every one, and not hated by the army; and it need not be wondered at that he, a new man, was able to hold the empire so well, because his supreme renown always protected him from that hatred which the people might have conceived against him for his violence.

But his son Antoninus was a most eminent man, and had very excellent qualities, which made him admirable in the sight of the people and acceptable to the soldiers, for he was a warlike



man, most enduring of fatigue, a despiser of all delicate food and other luxuries, which caused him to be beloved by the armies. Nevertheless, his ferocity and cruelties were so great and so unheard of that, after endless single murders, he killed a large number of the people of Rome and all those of Alexandria. He became hated by the whole world, and also feared by those he had around him, to such an extent that he was murdered in the midst of his army by a centurion. And here it must be noted that such-like deaths, which are deliberately inflicted with a resolved and desperate courage, cannot be avoided by princes, because any one who does not fear to die can inflict them; but a prince may fear them the less because they are very rare; he has only to be careful not to do any grave injury to those whom he employs or has around him in the service of the state. Antoninus had not taken this care, but had contumeliously killed a brother of that centurion, whom also he daily threatened, yet retained in his bodyguard; which, as it turned out, was a rash thing to do, and proved the emperor's ruin.

But let us come to Commodus, to whom it should have been very easy to hold the empire, for, being the son of Marcus, he had inherited it, and he had only to follow in the footsteps of his father to please his people and soldiers; but, being by nature cruel and brutal, he gave himself up to amusing the soldiers and corrupting them, so that he might indulge his rapacity upon the people; on the other hand, not maintaining his dignity, often descending to the theatre to compete with gladiators, and doing other vile things, little worthy of the imperial majesty, he fell into contempt with the soldiers, and being hated by one party and despised by the other, he was conspired against and was killed.

It remains to discuss the character of Maximinus. He was a very warlike man, and the armies, being disgusted with the effeminacy of Alexander, of whom I have already spoken, killed him and elected Maximinus to the throne. This he did not possess for long, for two things made him hated and despised; the one, his having kept sheep in Thrace, which brought him into contempt (it being well known to all, and considered a great indignity by every one), and the other, his having at the accession to his dominions deferred going to Rome and taking possession of the imperial seat; he had also gained a reputation for the utmost ferocity by having, through his prefects in Rome and elsewhere in the empire, practised many cruelties, so that the whole world was moved to anger at the meanness of his birth and to fear at his barbarity. First Africa rebelled, then the Senate with all the people of Rome, and all Italy conspired against him, to which may be added his own army; this latter, besieging Aquileia and meeting with difficulties in taking it, were disgusted with his cruelties, and fearing him less when they found so many against him, murdered him.

I do not wish to discuss Heliogabalus, Macrinus, or Julian, who, being thoroughly contemptible, were quickly wiped out; but I will bring this discourse to a conclusion by saying that princes in our times have this difficulty of giving inordinate satisfaction to their soldiers in a far less degree, because, notwithstanding one has to give them some indulgence, that is soon done; none of these princes have armies that are veterans in the governance and administration of provinces, as were the armies of the Roman Empire; and whereas it was then more necessary to give satisfaction to the soldiers than to the people, it is now more necessary to all princes, except the Turk and the Soldan, to satisfy the people rather the soldiers, because the people are the more powerful.

From the above I have excepted the Turk, who always keeps round him twelve thousand infantry and fifteen thousand cavalry on which depend the security and strength of the kingdom, and it is necessary that, putting aside every consideration for the people, he should keep them his friends. The kingdom of the Soldan is similar; being entirely in the hands of soldiers, it follows again that,

without regard to the people, he must keep them his friends. But you must note that the state of the Soldan is unlike all other principalities, for the reason that it is like the Christian pontificate, which cannot be called either an hereditary or a newly formed principality; because the sons of the old prince are not the heirs, but he who is elected to that position by those who have authority, and the sons remain only noblemen. And this being an ancient custom, it cannot be called a new principality, because there are none of those difficulties in it that are met with in new ones; for although the prince is new, the constitution of the state is old, and it is framed so as to receive him as if he were its hereditary lord.

But returning to the subject of our discourse, I say that whoever will consider it will acknowledge that either hatred or contempt has been fatal to the above-named emperors, and it will be recognized also how it happened that, a number of them acting in one way and a number in another, only one in each way came to a happy end and the rest to unhappy ones. Because it would have been useless and dangerous for Pertinax and Alexander, being new princes, to imitate Marcus, who was heir to the principality; and likewise it would have been utterly destructive to Caracalla, Commodus, and Maximinus to have imitated Severus, they not having sufficient valour to enable them to tread in his footsteps. Therefore a prince, new to the principality, cannot imitate the actions of Marcus, nor, again, is it necessary to follow those of Severus, but he ought to take from Severus those parts which are necessary to found his state, and from Marcus those which are proper and glorious to keep a state that may already be stable and firm.

#### *CHAPTER XXI — HOW A PRINCE SHOULD CONDUCT HIMSELF SO AS TO GAIN RENOWN*

Nothing makes a prince so much esteemed as great enterprises and setting a fine example. We have in our time Ferdinand of Aragon, the present King of Spain. He can almost be called a new prince, because he has risen, by fame and glory, from being an insignificant king to be the foremost king in Christendom; and if you will consider his deeds you will find them all great and some of them extraordinary. In the beginning of his reign he attacked Granada, and this enterprise was the foundation of his dominions. He did this quietly at first and without any fear of hindrance, for he held the minds of the barons of Castile occupied in thinking of the war and not anticipating any innovations; thus they did not perceive that by these means he was acquiring power and authority over them. He was able with the money of the Church and of the people to sustain his armies, and by that long war to lay the foundation for the military skill which has since distinguished him. Further, always using religion as a plea, so as to undertake greater schemes, he devoted himself with pious cruelty to driving out and clearing his kingdom of the Moors; nor could there be a more admirable example, nor one more rare. Under this same cloak he assailed Africa, he came down on Italy, he has finally attacked France; and thus his achievements and designs have always been great, and have kept the minds of his people in suspense and admiration and occupied with the issue of them. And his actions have arisen in such a way, one out of the other, that men have never been given time to work steadily against him.

Again, it much assists a prince to set unusual examples in internal affairs, similar to those which are related of Messer Bernabo da Milano, who, when he had the opportunity, by any one in civil

life doing some extraordinary thing, either good or bad, would take some method of rewarding or punishing him, which would be much spoken about. And a prince ought, above all things, always endeavour in every action to gain for himself the reputation of being a great and remarkable man.

A prince is also respected when he is either a true friend or a downright enemy, that is to say, when, without any reservation, he declares himself in favour of one party against the other; which course will always be more advantageous than standing neutral; because if two of your powerful neighbours come to blows, they are of such a character that, if one of them conquers, you have either to fear him or not. In either case it will always be more advantageous for you to declare yourself and to make war strenuously; because, in the first case, if you do not declare yourself, you will invariably fall a prey to the conqueror, to the pleasure and satisfaction of him who has been conquered, and you will have no reasons to offer, nor anything to protect or to shelter you. Because he who conquers does not want doubtful friends who will not aid him in the time of trial; and he who loses will not harbour you because you did not willingly, sword in hand, court his fate.

Antiochus went into Greece, being sent for by the Aetolians to drive out the Romans. He sent envoys to the Achaeans, who were friends of the Romans, exhorting them to remain neutral; and on the other hand the Romans urged them to take up arms. This question came to be discussed in the council of the Achaeans, where the legate of Antiochus urged them to stand neutral. To this the Roman legate answered: "As for that which has been said, that it is better and more advantageous for your state not to interfere in our war, nothing can be more erroneous; because by not interfering you will be left, without favour or consideration, the guerdon of the conqueror." Thus it will always happen that he who is not your friend will demand your neutrality, whilst he who is your friend will entreat you to declare yourself with arms. And irresolute princes, to avoid present dangers, generally follow the neutral path, and are generally ruined. But when a prince declares himself gallantly in favour of one side, if the party with whom he allies himself conquers, although the victor may be powerful and may have him at his mercy, yet he is indebted to him, and there is established a bond of amity; and men are never so shameless as to become a monument of ingratitude by oppressing you. Victories after all are never so complete that the victor must not show some regard, especially to justice. But if he with whom you ally yourself loses, you may be sheltered by him, and whilst he is able he may aid you, and you become companions on a fortune that may rise again.

In the second case, when those who fight are of such a character that you have no anxiety as to who may conquer, so much the more is it greater prudence to be allied, because you assist at the destruction of one by the aid of another who, if he had been wise, would have saved him; and conquering, as it is impossible that he should not do with your assistance, he remains at your discretion. And here it is to be noted that a prince ought to take care never to make an alliance with one more powerful than himself for the purposes of attacking others, unless necessity compels him, as is said above; because if he conquers you are at his discretion, and princes ought to avoid as much as possible being at the discretion of any one. The Venetians joined with France against the Duke of Milan, and this alliance, which caused their ruin, could have been avoided. But when it cannot be avoided, as happened to the Florentines when the Pope and Spain sent armies to attack Lombardy, then in such a case, for the above reasons, the prince ought to favour one of the parties.

Never let any Government imagine that it can choose perfectly safe courses; rather let it expect to have to take very doubtful ones, because it is found in ordinary affairs that one never seeks

to avoid one trouble without running into another; but prudence consists in knowing how to distinguish the character of troubles, and for choice to take the lesser evil.

A prince ought also to show himself a patron of ability, and to honour the proficient in every art. At the same time he should encourage his citizens to practise their callings peaceably, both in commerce and agriculture, and in every other following, so that the one should not be deterred from improving his possessions for fear lest they be taken away from him or another from opening up trade for fear of taxes; but the prince ought to offer rewards to whoever wishes to do these things and designs in any way to honour his city or state.

Further, he ought to entertain the people with festivals and spectacles at convenient seasons of the year; and as every city is divided into guilds or into societies, (\*) he ought to hold such bodies in esteem, and associate with them sometimes, and show himself an example of courtesy and liberality; nevertheless, always maintaining the majesty of his rank, for this he must never consent to abate in anything.

## 2.3 Nietzsche on Truth

### *About this Text*

Nietzsche is an entertaining but challenging writer. He worked to call into question some very basic principles and assumptions of western philosophy as it had been practiced up to his time. In the first excerpt below, he questions ideas of traditional morality. He asks where these ideas come from and who they benefit. He is particularly suspicious of common Christian notions of “good” and “evil,” which he thinks are not “true” but are, instead, reflections of the desire of the weak (the “slaves” in Nietzsche’s provocative language) to get revenge on the strong (the “nobles” or “masters”). In the second excerpt, Nietzsche turns his critical eye on Socrates and on philosophers more generally, critiquing them for their own slavish devotion to the “truth” and to “reason.” Don’t worry if you can’t understand every part of these challenging readings – do your best, then head to the critical reader.

Nietzsche

Excerpt from Nietzsche, *On the Genealogy of Morals* (source)

*First Essay: Good and Evil, Good and Bad*

I.

Those English psychologists, who up to the present are the only philosophers who are to be thanked for any endeavour to get as far as a history of the origin of morality—these men, I say, offer us in their own personalities no paltry problem;—they even have, if I am to be quite frank about it, in their capacity of living riddles, an advantage over their books—*they themselves are interesting!* These English psychologists—what do they really mean? We always find them voluntarily or involuntarily at the same task of pushing to the front the *partie honteuse* of our inner world, and looking for the efficient, governing, and decisive principle in that precise quarter where the intellectual self-respect of the race would be the most reluctant to find it (for example, in the *vis inertiae* of habit, or in forgetfulness, or in a blind and fortuitous mechanism and association of ideas, or in some factor that is purely passive, reflex, molecular, or fundamentally stupid)—what is the real motive power which always impels these psychologists in precisely *this* direction? Is it an instinct for human disparagement somewhat sinister, vulgar, and malignant, or perhaps incomprehensible even to itself? or perhaps a touch of pessimistic jealousy, the mistrust of disillusioned idealists who have become gloomy, poisoned, and bitter? or a petty

subconscious enmity and rancour against Christianity (and Plato), that has conceivably never crossed the threshold of consciousness? or just a vicious taste for those elements of life which are bizarre, painfully paradoxical, mystical, and illogical? or, as a final alternative, a dash of each of these motives—a little vulgarity, a little gloominess, a little anti-Christianity, a little craving for the necessary piquancy?

But I am told that it is simply a case of old frigid and tedious frogs crawling and hopping around men and inside men, as if they were as thoroughly at home there, as they would be in a *swamp*.

I am opposed to this statement, nay, I do not believe it: and if, in the impossibility of knowledge, one is permitted to wish, so do I wish from my heart that just the converse metaphor should apply, and that these analysts with their psychological microscopes should be, at bottom, brave, proud, and magnanimous animals who know how to bridle both their hearts and their smarts, and have specifically trained themselves to sacrifice what is desirable to what is true, *any* truth in fact, even the simple, bitter, ugly, repulsive, unchristian, and immoral truths—for there are truths of that description.

## 2.

All honour, then, to the noble spirits who would fain dominate these historians of morality. But it is certainly a pity that they lack the *historical sense* itself, that they themselves are quite deserted by all the beneficent spirits of history. The whole train of their thought runs, as was always the way of old-fashioned philosophers, on *thoroughly* unhistorical lines: there is no doubt on this point. The crass ineptitude of their genealogy of morals is immediately apparent when the question arises of ascertaining the origin of the idea and judgment of “good.” “Man had originally,” so speaks their decree, “praised and called ‘good’ altruistic acts from the standpoint of those on whom they were conferred, that is, those to whom they were *useful*; subsequently the origin of this praise was *forgotten*, and altruistic acts, simply because, as a sheer matter of habit, they were praised as good, came also to be felt as good—as though they contained in themselves some intrinsic goodness.” The thing is obvious:—this initial derivation contains already all the typical and idiosyncratic traits of the English psychologists—we have “utility,” “forgetting,” “habit,” and finally “error,” the whole assemblage forming the basis of a system of values, on which the higher man has up to the present prided himself as though it were a kind of privilege of man in general. This pride *must* be brought low, this system of values *must* lose its values: is that attained?

Now the first argument that comes ready to my hand is that the real homestead of the concept “good” is sought and located in the wrong place: the judgment “good” did not originate among those to whom goodness was shown. Much rather has it been the good themselves, that is, the aristocratic, the powerful, the high-stationed, the high-minded, who have felt that they themselves were good, and that their actions were good, that to say of the first order, in contradistinction to all the low, the low-minded, the vulgar, and the plebeian. It was out of this pathos of distance that they first arrogated the right to create values for their own profit, and to coin the names of such values: what had they to do with utility? The standpoint of utility is as alien and as inapplicable as it could possibly be, when we have to deal with so volcanic an effervescence of supreme values, creating and demarcating as they do a hierarchy within themselves: it is at this juncture that one arrives at an appreciation of the contrast to that tepid temperature, which is the presupposition on which every combination of worldly wisdom and every calculation of practical

expediency is always based—and not for one occasional, not for one exceptional instance, but chronically. The pathos of nobility and distance, as I have said, the chronic and despotic *esprit de corps* and fundamental instinct of a higher dominant race coming into association with a meaner race, an “under race,” this is the origin of the antithesis of good and bad.

(The masters’ right of giving names goes so far that it is permissible to look upon language itself as the expression of the power of the masters: they say “this is that, and that,” they seal finally every object and every event with a sound, and thereby at the same time take possession of it.) It is because of this origin that the word “good” is far from having any necessary connection with altruistic acts, in accordance with the superstitious belief of these moral philosophers. On the contrary, it is on the occasion of the *decay* of aristocratic values, that the antitheses between “egoistic” and “altruistic” presses more and more heavily on the human conscience—it is, to use my own language, the herd instinct which finds in this antithesis an expression in many ways. And even then it takes a considerable time for this instinct to become sufficiently dominant, for the valuation to be inextricably dependent on this antithesis (as is the case in contemporary Europe); for to-day the prejudice is predominant, which, acting even now with all the intensity of an obsession and brain disease, holds that “moral,” “altruistic,” and “*désintéressé*” are concepts of equal value.

### 3.

In the second place, quite apart from the fact that this hypothesis as to the genesis of the value “good” cannot be historically upheld, it suffers from an inherent psychological contradiction. The utility of altruistic conduct has presumably been the origin of its being praised, and this origin has become *forgotten*:—But in what conceivable way is this forgetting possible? Has perchance the utility of such conduct ceased at some given moment? The contrary is the case. This utility has rather been experienced every day at all times, and is consequently a feature that obtains a new and regular emphasis with every fresh day; it follows that, so far from vanishing from the consciousness, so far indeed from being forgotten, it must necessarily become impressed on the consciousness with ever-increasing distinctness. How much more logical is that contrary theory (it is not the truer for that) which is represented, for instance, by Herbert Spencer, who places the concept “good” as essentially similar to the concept “useful,” “purposive,” so that in the judgments “good” and “bad” mankind is simply summarising and investing with a sanction its *unforgotten* and *unforgettable experiences* concerning the “useful-purposive” and the “mischievous-non-purposive.” According to this theory, “good” is the attribute of that which has previously shown itself useful; and so is able to claim to be considered “valuable in the highest degree,” “valuable in itself.” This method of explanation is also, as I have said, wrong, but at any rate the explanation itself is coherent, and psychologically tenable.

### 4.

The guide-post which first put me on the *right* track was this question—what is the true etymological significance of the various symbols for the idea “good” which have been coined in the various languages? I then found that they all led back to *the same evolution of the same idea*—that everywhere “aristocrat,” “noble” (in the social sense), is the root idea, out of which have necessarily

developed “good” in the sense of “with aristocratic soul,” “noble,” in the sense of “with a soul of high calibre,” “with a privileged soul”—a development which invariably runs parallel with that other evolution by which “vulgar,” “plebeian,” “low,” are made to change finally into “bad.” The most eloquent proof of this last contention is the German word “*schlecht*” itself: this word is identical with “*schlicht*”—(compare “*schlechtweg*” and “*schlechterdings*”)— which, originally and as yet without any sinister innuendo, simply denoted the plebeian man in contrast to the aristocratic man. It is at the sufficiently late period of the Thirty Years’ War that this sense becomes changed to the sense now current. From the standpoint of the Genealogy of Morals this discovery seems to be substantial: the lateness of it is to be attributed to the retarding influence exercised in the modern world by democratic prejudice in the sphere of all questions of origin. This extends, as will shortly be shown, even to the province of natural science and physiology, which *prima facie* is the most objective. The extent of the mischief which is caused by this prejudice (once it is free of all trammels except those of its own malice), particularly to Ethics and History, is shown by the notorious case of Buckle: it was in Buckle that that *plebeianism* of the modern spirit, which is of English origin, broke out once again from its malignant soil with all the violence of a slimy volcano, and with that salted, rampant, and vulgar eloquence with which up to the present time all volcanoes have spoken.

## 5.

With regard to *our* problem, which can justly be called an *intimate* problem, and which elects to appeal to only a limited number of ears: it is of no small interest to ascertain that in those words and roots which denote “good” we catch glimpses of that arch-trait, on the strength of which the aristocrats feel themselves to be beings of a higher order than their fellows. Indeed, they call themselves in perhaps the most frequent instances simply after their superiority in power (*e.g.* “the powerful,” “the lords,” “the commanders”), or after the most obvious sign of their superiority, as for example “the rich,” “the possessors” (that is the meaning of *arya*; and the Iranian and Slav languages correspond). But they also call themselves after some *characteristic idiosyncrasy*; and this is the case which now concerns us. They name themselves, for instance, “the truthful”: this is first done by the Greek nobility whose mouthpiece is found in Theognis, the Megarian poet. The word *ἔσθλός*, which is coined for the purpose, signifies etymologically “one who is” who has reality, who is real, who is true; and then with a subjective twist, the “true,” as the “truthful”: at this stage in the evolution of the idea, it becomes the motto and party cry of the nobility, and quite completes the transition to the meaning “noble,” so as to place outside the pale the lying, vulgar man, as Theognis conceives and portrays him—till finally the word after the decay of the nobility is left to delineate psychological *noblesse*, and becomes as it were ripe and mellow. In the word *κακός* as in *δειλός* (the plebeian in contrast to the *ἀγαθός*) the cowardice is emphasised. This affords perhaps an inkling on what lines the etymological origin of the very ambiguous *ἀγαθός* is to be investigated. In the Latin *malus* (which I place side by side with *μέλας*) the vulgar man can be distinguished as the dark-coloured, and above all as the black-haired (“*hic niger est*”), as the pre-Aryan inhabitants of the Italian soil, whose complexion formed the clearest feature of distinction from the dominant blondes, namely, the Aryan conquering race:—at any rate Gaelic has afforded me the exact analogue—*Fin* (for instance, in the name *Fin-Gal*), the distinctive word of the nobility, finally—good, noble, clean, but originally the blonde-haired man in contrast to the dark black-



haired aboriginals. The Celts, if I may make a parenthetical statement, were throughout a blonde race; and it is wrong to connect, as Virchow still connects, those traces of an essentially dark-haired population which are to be seen on the more elaborate ethnographical maps of Germany with any Celtic ancestry or with any admixture of Celtic blood: in this context it is rather the pre-Aryan population of Germany which surges up to these districts. (The same is true substantially of the whole of Europe: in point of fact, the subject race has finally again obtained the upper hand, in complexion and the shortness of the skull, and perhaps in the intellectual and social qualities. Who can guarantee that modern democracy, still more modern anarchy, and indeed that tendency to the “Commune,” the most primitive form of society, which is now common to all the Socialists in Europe, does not in its real essence signify a monstrous reversion—and that the conquering and master race—the Aryan race, is not also becoming inferior physiologically?) I believe that I can explain the Latin *bonus* as the “warrior”: my hypothesis is that I am right in deriving *bonus* from an older *duonus* (compare *bellum-duellum* = *duen-lum*, in which the word *duonus* appears to me to be contained). *Bonus* accordingly as the man of discord, of variance, “*entzweiung*” (*duo*), as the warrior: one sees what in ancient Rome “the good” meant for a man. Must not our actual German word *gut* mean “the godlike, the man of godlike race”? and be identical with the national name (originally the nobles’ name) of the Goths?

The grounds for this supposition do not appertain to this work.

## 6.

Above all, there is no exception (though there are opportunities for exceptions) to this rule, that the idea of political superiority always resolves itself into the idea of psychological superiority, in those cases where the highest caste is at the same time the priestly caste, and in accordance with its general characteristics confers on itself the privilege of a title which alludes specifically to its priestly function. It is in these cases, for instances, that “clean” and “unclean” confront each other for the first time as badges of class distinction; here again there develops a “good” and a “bad,” in a sense which has ceased to be merely social. Moreover, care should be taken not to take these ideas of “clean” and “unclean” too seriously, too broadly, or too symbolically: all the ideas of ancient man have, on the contrary, got to be understood in their initial stages, in a sense which is, to an almost inconceivable extent, crude, coarse, physical, and narrow, and above all essentially *unsymbolical*. The “clean man” is originally only a man who washes himself, who abstains from certain foods which are conducive to skin diseases, who does not sleep with the unclean women of the lower classes, who has a horror of blood—not more, not much more! On the other hand, the very nature of a priestly aristocracy shows the reasons why just at such an early juncture there should ensue a really dangerous sharpening and intensification of opposed values: it is, in fact, through these opposed values that gulfs are cleft in the social plane, which a veritable Achilles of free thought would shudder to cross. There is from the outset a certain *diseased taint* in such sacerdotal aristocracies, and in the habits which prevail in such societies—habits which, *averse* as they are to action, constitute a compound of introspection and explosive emotionalism, as a result of which there appears that introspective morbidity and neurasthenia, which adheres almost inevitably to all priests at all times: with regard, however, to the remedy which they themselves have invented for this disease—the philosopher has no option but to state, that it has proved itself in its effects a hundred times more dangerous than the disease, from which it should have been the

deliverer. Humanity itself is still diseased from the effects of the naivetes of this priestly cure. Take, for instance, certain kinds of diet (abstention from flesh), fasts, sexual continence, flight into the wilderness (a kind of Weir-Mitchell isolation, though of course without that system of excessive feeding and fattening which is the most efficient antidote to all the hysteria of the ascetic ideal); consider too the whole metaphysic of the priests, with its war on the senses, its enervation, its hair-splitting; consider its self-hypnotism on the fakir and Brahman principles (it uses Brahman as a glass disc and obsession), and that climax which we can understand only too well of an unusual satiety with its panacea of *nothingness* (or God:—the demand for a *unio mystica* with God is the demand of the Buddhist for nothingness. Nirvana—and nothing else!). In sacerdotal societies every element is on a more dangerous scale, not merely cures and remedies, but also pride, revenge, cunning, exaltation, love, ambition, virtue, morbidity:—further, it can fairly be stated that it is on the soil of this essentially *dangerous* form of human society, the sacerdotal form, that man really becomes for the first time an *interesting animal*, that it is in this form that the soul of man has in a higher sense attained *depths* and become *evil*—and those are the two fundamental forms of the superiority which up to the present man has exhibited over every other animal.

7.

The reader will have already surmised with what ease the priestly mode of valuation can branch off from the knightly aristocratic mode, and then develop into the very antithesis of the latter: special impetus is given to this opposition, by every occasion when the castes of the priests and warriors confront each other with mutual jealousy and cannot agree over the prize. The knightly-aristocratic “values” are based on a careful cult of the physical, on a flowering, rich, and even effervescing healthiness, that goes considerably beyond what is necessary for maintaining life, on war, adventure, the chase, the dance, the tourney—on everything, in fact, which is contained in strong, free, and joyous action. The priestly-aristocratic mode of valuation is—we have seen—based on other hypotheses: it is bad enough for this class when it is a question of war! Yet the priests are, as is notorious, *the worst enemies*—why? Because they are the weakest. Their weakness causes their hate to expand into a monstrous and sinister shape, a shape which is most crafty and most poisonous. The really great haters in the history of the world have always been priests, who are also the cleverest haters—in comparison with the cleverness of priestly revenge, every other piece of cleverness is practically negligible. Human history would be too fatuous for anything were it not for the cleverness imported into it by the weak—take at once the most important instance. All the world’s efforts against the “aristocrats,” the “mighty,” the “masters,” the “holders of power,” are negligible by comparison with what has been accomplished against those classes by *the Jews*—the Jews, that priestly nation which eventually realised that the one method of effecting satisfaction on its enemies and tyrants was by means of a radical transvaluation of values, which was at the same time an act of the *cleverest* revenge. Yet the method was only appropriate to a nation of priests, to a nation of the most jealously nursed priestly revengefulness. It was the Jews who, in opposition to the aristocratic equation (good = aristocratic = beautiful = happy = loved by the gods), dared with a terrifying logic to suggest the contrary equation, and indeed to maintain with the teeth of the most profound hatred (the hatred of weakness) this contrary equation, namely, “the wretched are alone the good; the poor, the weak, the lowly, are alone the good; the suffering, the needy, the sick, the loathsome, are the only ones who are pious, the only ones who are blessed,

for them alone is salvation—but you, on the other hand, you aristocrats, you men of power, you are to all eternity the evil, the horrible, the covetous, the insatiate, the godless; eternally also shall you be the unblessed, the cursed, the damned!” We know who it was who reaped the heritage of this Jewish transvaluation. In the context of the monstrous and inordinately fateful initiative which the Jews have exhibited in connection with this most fundamental of all declarations of war, I remember the passage which came to my pen on another occasion (*Beyond Good and Evil*, Aph. 195)—that it was, in fact, with the Jews that the *revolt of the slaves* begins in the sphere of *morals*; that revolt which has behind it a history of two millennia, and which at the present day has only moved out of our sight, because it—has achieved victory.

8.

But you understand this not? You have no eyes for a force which has taken two thousand years to achieve victory?—There is nothing wonderful in this: all *lengthy* processes are hard to see and to realise. But *this* is what took place: from the trunk of that tree of revenge and hate, Jewish hate,—that most profound and sublime hate, which creates ideals and changes old values to new creations, the like of which has never been on earth,—there grew a phenomenon which was equally incomparable, *a new love*, the most profound and sublime of all kinds of love;—and from what other trunk could it have grown? But beware of supposing that this love has soared on its upward growth, as in any way a real negation of that thirst for revenge, as an antithesis to the Jewish hate! No, the contrary is the truth! This love grew out of that hate, as its crown, as its triumphant crown, circling wider and wider amid the clarity and fulness of the sun, and pursuing in the very kingdom of light and height its goal of hatred, its victory, its spoil, its strategy, with the same intensity with which the roots of that tree of hate sank into everything which was deep and evil with increasing stability and increasing desire. This Jesus of Nazareth, the incarnate gospel of love, this “Redeemer” bringing salvation and victory to the poor, the sick, the sinful—was he not really temptation in its most sinister and irresistible form, temptation to take the tortuous path to those very *Jewish* values and those very Jewish ideals? Has not Israel really obtained the final goal of its sublime revenge, by the tortuous paths of this “Redeemer,” for all that he might pose as Israel’s adversary and Israel’s destroyer? Is it not due to the black magic of a really *great* policy of revenge, of a far-seeing, burrowing revenge, both acting and calculating with slowness, that Israel himself must repudiate before all the world the actual instrument of his own revenge and nail it to the cross, so that all the world—that is, all the enemies of Israel—could nibble without suspicion at this very bait? Could, moreover, any human mind with all its elaborate ingenuity invent a bait that was more truly *dangerous*? Anything that was even equivalent in the power of its seductive, intoxicating, defiling, and corrupting influence to that symbol of the holy cross, to that awful paradox of a “god on the cross,” to that mystery of the unthinkable, supreme, and utter horror of the self-crucifixion of a god for the *salvation of man*? It is at least certain that *sub hoc signo* Israel, with its revenge and transvaluation of all values, has up to the present always triumphed again over all other ideals, over all more aristocratic ideals.

9.

“But why do you talk of nobler ideals? Let us submit to the facts; that the people have

triumphed—or the slaves, or the populace, or the herd, or whatever name you care to give them—if this has happened through the Jews, so be it! In that case no nation ever had a greater mission in the world's history. The 'masters' have been done away with; the morality of the vulgar man has triumphed. This triumph may also be called a blood-poisoning (it has mutually fused the races)—I do not dispute it; but there is no doubt but that this intoxication has succeeded. The 'redemption' of the human race (that is, from the masters) is progressing; swimmingly; everything is obviously becoming Judaised, or Christianised, or vulgarised (what is there in the words?). It seems impossible to stop the course of this poisoning through the whole body politic of mankind—but its *tempo* and pace may from the present time be slower, more delicate, quieter, more discreet—there is time enough. In view of this context has the Church nowadays any necessary purpose? Has it, in fact, a right to live? Or could man get on without it? *Quaeritur*. It seems that it fetters and retards this tendency, instead of accelerating it. Well, even that might be its utility. The Church certainly is a crude and boorish institution, that is repugnant to an intelligence with any pretence at delicacy, to a really modern taste. Should it not at any rate learn to be somewhat more subtle? It alienates nowadays, more than it allures. Which of us would, forsooth, be a freethinker if there were no Church? It is the Church which repels us, not its poison—apart from the Church we like the poison." This is the epilogue of a freethinker to my discourse, of an honourable animal (as he has given abundant proof), and a democrat to boot; he had up to that time listened to me, and could not endure my silence, but for me, indeed, with regard to this topic there is much on which to be silent.

10.

The revolt of the slaves in morals begins in the very principle of *resentment* becoming creative and giving birth to values—a resentment experienced by creatures who, deprived as they are of the proper outlet of action, are forced to find their compensation in an imaginary revenge. While every aristocratic morality springs from a triumphant affirmation of its own demands, the slave morality says "no" from the very outset to what is "outside itself," "different from itself," and "not itself: and this "no" is its creative deed. This volte-face of the valuing standpoint—this *inevitable* gravitation to the objective instead of back to the subjective—is typical of resentment": the slave-morality requires as the condition of its existence an external and objective world, to employ physiological terminology, it requires objective stimuli to be capable of action at all—its action is fundamentally a reaction. The contrary is the case when we come to the aristocrat's system of values: it acts and grows spontaneously, it merely seeks its antithesis in order to pronounce a more grateful and exultant "yes" to its own self;—its negative conception, "low," "vulgar," "bad," is merely a pale late-born foil in comparison with its positive and fundamental conception (saturated as it is with life and passion), of "we aristocrats, we good ones, we beautiful ones, we happy ones."

When the aristocratic morality goes astray and commits sacrilege on reality, this is limited to that particular sphere with which it is not sufficiently acquainted—a sphere, in fact, from the real knowledge of which it disdainfully defends itself. It misjudges, in some cases, the sphere which it despises, the sphere of the common vulgar man and the low people: on the other hand, due weight should be given to the consideration that in any case the mood of contempt, of disdain, of superciliousness, even on the supposition that it *falsely* portrays the object of its contempt, will always be far removed from that degree of falsity which will always characterise the

attacks—in effigy, of course—of the vindictive hatred and revengefulness of the weak in onslaughts on their enemies. In point of fact, there is in contempt too strong an admixture of nonchalance, of casualness, of boredom, of impatience, even of personal exultation, for it to be capable of distorting its victim into a real caricature or a real monstrosity. Attention again should be paid to the almost benevolent *nuances* which, for instance, the Greek nobility imports into all the words by which it distinguishes the common people from itself; note how continuously a kind of pity, care, and consideration imparts its honeyed *flavour*, until at last almost all the words which are applied to the vulgar man survive finally as expressions for “unhappy,” “worthy of pity” (compare *δελός*, *δελαιος*, *πονηρός*, *μοχθηρός*; the latter two names really denoting the vulgar man as labour-slave and beast of burden)—and how, conversely, “bad,” “low,” “unhappy” have never ceased to ring in the Greek ear with a tone in which “unhappy” is the predominant note: this is a heritage of the old noble aristocratic morality, which remains true to itself even in contempt (let philologists remember the sense in which *δῖζυρός*, *ἄνολβος*, *τλήμων*, *δυστυχεῖν*, *ζυμφορά* used to be employed. The “well-born” simply *felt* themselves the “happy”; they did not have to manufacture their happiness artificially through looking at their enemies, or in cases to talk and lie themselves into happiness (as is the custom with all resentful men); and similarly, complete men as they were, exuberant with strength, and consequently *necessarily* energetic, they were too wise to dissociate happiness from action—activity becomes in their minds necessarily counted as happiness (that is the etymology of *εὖ πράττειν*)—all in sharp contrast to the “happiness” of the weak and the oppressed, with their festering venom and malignity, among whom happiness appears essentially as a narcotic, a deadening, a quietude, a peace, a “Sabbath,” an enervation of the mind and relaxation of the limbs,—in short, a purely *passive* phenomenon. While the aristocratic man lived in confidence and openness with himself (*γενναῖος*, “noble-born,” emphasises the nuance “sincere,” and perhaps also “naïf”), the resentful man, on the other hand, is neither sincere nor naïf, nor honest and candid with himself. His soul *squints*; his mind loves hidden crannies, tortuous paths and back-doors, everything secret appeals to him as *his* world, *his* safety, *his* balm; he is past master in silence, in not forgetting, in waiting, in provisional self-depreciation and self-abasement. A race of such *resentful* men will of necessity eventually prove more *prudent* than any aristocratic race, it will honour prudence on quite a distinct scale, as, in fact, a paramount condition of existence, while prudence among aristocratic men is apt to be tinged with a delicate flavour of luxury and refinement; so among them it plays nothing like so integral a part as that complete certainty of function of the governing *unconscious* instincts, or as indeed a certain lack of prudence, such as a vehement and valiant charge, whether against danger or the enemy, or as those ecstatic bursts of rage, love, reverence, gratitude, by which at all times noble souls have recognised each other. When the resentment of the aristocratic man manifests itself, it fulfils and exhausts itself in an immediate reaction, and consequently instills no *venom*: on the other hand, it never manifests itself at all in countless instances, when in the case of the feeble and weak it would be inevitable. An inability to take seriously for any length of time their enemies, their disasters, their *misdeeds*—that is the sign of the full strong natures who possess a superfluity of moulding plastic force, that heals completely and produces forgetfulness: a good example of this in the modern world is Mirabeau, who had no memory for any insults and meannesses which were practised on him, and who was only incapable of forgiving because he forgot. Such a man indeed shakes off with a shrug many a worm which would have buried itself in another; it is only in characters

like these that we see the possibility (supposing, of course, that there is such a possibility in the world) of the real “love of one’s enemies.” What respect for his enemies is found, forsooth, in an aristocratic man—and such a reverence is already a bridge to love! He insists on having his enemy to himself as his distinction. He tolerates no other enemy but a man in whose character there is nothing to despise and *much* to honour! On the other hand, imagine the “enemy” as the resentful man conceives him—and it is here exactly that we see his work, his creativeness; he has conceived “the evil enemy,” the “evil one,” and indeed that is the root idea from which he now evolves as a contrasting and corresponding figure a “good one,” himself—his very self!

## 11.

The method of this man is quite contrary to that of the aristocratic man, who conceives the root idea “good” spontaneously and straight away, that is to say, out of himself, and from that material then creates for himself a concept of “bad”! This “bad” of aristocratic origin and that “evil” out of the cauldron of unsatisfied hatred—the former an imitation, an “extra,” an additional nuance; the latter, on the other hand, the original, the beginning, the essential act in the conception of a slave-morality—these two words “bad” and “evil,” how great a difference do they mark, in spite of the fact that they have an identical contrary in the idea “good.” But the idea “good” is *not* the same: much rather let the question be asked, “Who is really evil according to the meaning of the morality of resentment?” In all sternness let it be answered thus:—just the good man of the other morality, just the aristocrat, the powerful one, the one who rules, but who is distorted by the venomous eye of resentfulness, into a new colour, a new signification, a new appearance. This particular point we would be the last to deny: the man who learnt to know those “good” ones only as enemies, learnt at the same time not to know them only as “*evil enemies*,” and the same men who *inter pares* were kept so rigorously in bounds through convention, respect, custom, and gratitude, though much more through mutual vigilance and jealousy *inter pares*<sup>[1]</sup>, these men who in their relations with each other find so many new ways of manifesting consideration, self-control, delicacy, loyalty, pride, and friendship, these men are in reference to what is outside their circle (where the foreign element, a *foreign* country, begins), not much better than beasts of prey, which have been let loose. They enjoy there freedom from all social control, they feel that in the wilderness they can give vent with impunity to that tension which is produced by enclosure and imprisonment in the peace of society, they *revert* to the innocence of the beast-of-prey conscience, like jubilant monsters, who perhaps come from a ghostly bout of murder, arson, rape, and torture, with bravado and a moral equanimity, as though merely some wild student’s prank had been played, perfectly convinced that the poets have now an ample theme to sing and celebrate. It is impossible not to recognise at the core of all these aristocratic races the beast of prey; the magnificent *blonde brute*, avidly rampant for spoil and victory; this hidden core needed an outlet from time to time, the beast must get loose again, must return into the wilderness—the Roman, Arabic, German, and Japanese nobility, the Homeric heroes, the Scandinavian Vikings, are all alike in this need. It is the aristocratic races who have left the idea “Barbarian” on all the tracks in which they have marched; nay, a consciousness of this very barbarianism, and even a pride in it, manifests itself even in their highest civilisation (for example, when Pericles says to his Athenians in that celebrated funeral oration, “Our audacity has forced a way over every land and sea, rearing everywhere imperishable memorials of itself for good and for evil”). This audacity of aristocratic races, mad, absurd, and spasmodic as may be

its expression; the incalculable and fantastic nature of their enterprises,—Pericles sets in special relief and glory the *παθούια* of the Athenians, their nonchalance and contempt for safety, body, life, and comfort, their awful joy and intense delight in all destruction, in all the ecstasies of victory and cruelty,—all these features become crystallised, for those who suffered thereby in the picture of the “barbarian,” of the “evil enemy,” perhaps of the “Goth” and of the “Vandal.” The profound, icy mistrust which the German provokes, as soon as he arrives at power,—even at the present time,—is always still an aftermath of that inextinguishable horror with which for whole centuries Europe has regarded the wrath of the blonde Teuton beast (although between the old Germans and ourselves there exists scarcely a psychological, let alone a physical, relationship). I have once called attention to the embarrassment of Hesiod, when he conceived the series of social ages, and endeavoured to express them in gold, silver, and bronze. He could only dispose of the contradiction, with which he was confronted, by the Homeric world, an age magnificent indeed, but at the same time so awful and so violent, by making two ages out of one, which he henceforth placed one behind the other—first, the age of the heroes and demigods, as that world had remained in the memories of the aristocratic families, who found therein their own ancestors; secondly, the bronze age, as that corresponding age appeared to the descendants of the oppressed, spoiled, ill-treated, exiled, enslaved; namely, as an age of bronze, as I have said, hard, cold, terrible, without feelings and without conscience, crushing everything, and bespattering everything with blood. Granted the truth of the theory now believed to be true, that the very essence of *all civilisation* is to *train* out of man, the beast of prey, a tame and civilised animal, a domesticated animal, it follows indubitably that we must regard as the real tools of *civilisation* all those instincts of reaction and resentment, by the help of which the aristocratic races, together with their ideals, were finally degraded and overpowered; though that has not yet come to be synonymous with saying that the bearers of those tools also *represented* the civilisation. It is rather the contrary that is not only probable—nay, it is *palpable* to-day: these bearers of vindictive instincts that have to be bottled up, these descendants of all European and non-European slavery, especially of the pre-Aryan population—these people, I say, represent the decline of humanity! These “tools of civilisation” are a disgrace to humanity, and constitute in reality more of an argument against civilisation, more of a reason why civilisation should be suspected. One may be perfectly justified in being always afraid of the blonde beast that lies at the core of all aristocratic races, and in being on one’s guard: but who would not a hundred times prefer to be afraid, when one at the same time admires, than to be immune from fear, at the cost of being perpetually obsessed with the loathsome spectacle of the distorted, the dwarfed, the stunted, the envenomed? And is that not our fate? What produces to-day our repulsion towards “man”?—for we *suffer* from “man,” there is no doubt about it. It is not fear; it is rather that we have nothing more to fear from men; it is that the worm “man” is in the foreground and pullulates; it is that the “tame man,” the wretched mediocre and unedifying creature, has learnt to consider himself a goal and a pinnacle, an inner meaning, an historic principle, a “higher man”; yes, it is that he has a certain right so to consider himself, in so far as he feels that in contrast to that excess of deformity, disease, exhaustion, and effeteness whose odour is beginning to pollute present-day Europe, he at any rate has achieved a relative success, he at any rate still says “yes” to life.

### THE PROBLEM OF SOCRATES

#### 1.

About life, the wisest men of all ages have come to the same conclusion: it is no good. Always and everywhere one has heard the same sound from their mouths – a sound full of doubt, full of melancholy, full of weariness of life, full of resistance to life. Even Socrates said, as he died: “To live – that means to be sick a long time: I owe Asclepius the Savior a rooster.” Even Socrates was tired of life. What does that prove? What does it demonstrate? At one time, one would have said (and it has been said loud enough by our pessimists): “At least something must be true here! The consensus of the sages must show us the truth.” Shall we still talk like that today? May we? “At least something must be sick here,” we retort. These wisest men of all ages – they should first be scrutinized closely. Were they all perhaps shaky on their legs? tottery? decadent? late? Could it be that wisdom appears on earth as a raven, attracted by a little whiff of carrion?

#### 2.

The irreverent idea that the great sages are types of decline first occurred to me precisely in a case where it is most strongly opposed by both scholarly and unscholarly prejudice: I realized that Socrates and Plato were symptoms of degeneration, tools of the Greek dissolution, pseudo-Greek, anti-Greek (*Birth of Tragedy*, 1872). The consensus of the sages – I recognized this ever more clearly – proves least of all that they were right in what they agreed on: it shows rather that they themselves, these wisest men, shared some physiological attribute, and because of this adopted the same negative attitude to life – had to adopt it. Judgments, judgments of value about life, for it or against it, can in the end never be true: they have value only as symptoms, they are worthy of consideration only as symptoms; in themselves such judgments are meaningless. One must stretch out one’s hands and attempt to grasp this amazing subtlety, that the value of life cannot be estimated. Not by the living, for they are an interested party, even a bone of contention, and not impartial judges; not by the dead, for a different reason. For a philosopher to object to putting a value on life is an objection others make against him, a question mark concerning his wisdom, an un-wisdom. Indeed? All these great wise men – they were not only decadents but not wise at all. But let us return to the problem of Socrates.

#### 3.

By birth, Socrates belonged to the lowest class: Socrates was plebeian. We are told, and can see in sculptures of him, how ugly he was. But ugliness, in itself an objection, is among the Greeks almost a refutation. Was Socrates a Greek at all? Ugliness is often enough the expression of a development that has been crossed, thwarted in some way. Or it appears as declining development. The anthropological criminologists tell us that the typical criminal is ugly: *monstrum in fronte*, *monstrum in animo* [monstrous in appearance, monstrous in spirit]. But the criminal is



a decadent. Was Socrates a typical criminal? At least that would be consistent with the famous judgment of the physiognomist that so offended the friends of Socrates. This foreigner told Socrates to his face that he was a *monstrum* – that he harbored in himself all the worst vices and appetites. And Socrates merely answered: “You know me, sir!”

4.

Socrates’ decadence is suggested not only by the admitted wantonness and anarchy of his instincts, but also by the overdevelopment of his logical ability and his characteristic thwarted sarcasm. Nor should we forget those auditory hallucinations which, as “the daimonion of Socrates,” have been given a religious interpretation. Everything about Socrates is exaggerated, *buffo*, a caricature; everything is at the same time concealed, ulterior, underground. I want to understand what idiosyncrasy begot that Socratic idea that reason and virtue equal happiness – that most bizarre of all equations which is, moreover, opposed to every instinct of the earlier Greeks.

5.

With Socrates, Greek taste changes in favor of logical argument. What really happened there? Above all, a noble taste is vanquished; with dialectics the plebs come to the top. Before Socrates, argumentative conversation was repudiated in good society: it was considered bad manners, compromising. The young were warned against it. Furthermore, any presentation of one’s motives was distrusted. Honest things, like honest men, do not have to explain themselves so openly. What must first be proved is worth little. Wherever authority still forms part of good bearing, where one does not give reasons but commands, the logician is a kind of buffoon: one laughs at him, one does not take him seriously. Socrates was the buffoon who got himself taken seriously: what really happened there?

6.

One chooses logical argument only when one has no other means. One knows that one arouses mistrust with it, that it is not very persuasive. Nothing is easier to nullify than a logical argument: the tedium of long speeches proves this. It is a kind of self-defense for those who no longer have other weapons. Unless one has to insist on what is already one’s right, there is no use for it. The Jews were argumentative for that reason; Reynard the Fox also – and Socrates too?

7.

Is the irony of Socrates an expression of revolt? Of plebeian *ressentiment*? Does he, as one oppressed, enjoy his own ferocity in the knife thrusts of his argument? Does he avenge himself on the noble audience he fascinates? As a dialectician, he holds a merciless tool in his hand; he can become a tyrant by means of it; he compromises those he conquers. The dialectician leaves it to his opponent to prove that he is not an idiot: he enrages and neutralizes his opponent at the same time. The dialectician renders the intellect of his opponent powerless. Indeed, in Socrates, is dialectic only a form of revenge?

8.

I have explained how it was that Socrates could repel: it is therefore all the more necessary to explain how he could fascinate. That he discovered a new kind of contest, that he became its first fencing master for the noble circles of Athens, is one point. He fascinated by appealing to the competitive impulse of the Greeks – he introduced a variation into the wrestling match between young men and youths. Socrates was a great erotic.

9.

But Socrates guessed even more. He saw through the noble Athenians; he saw that his own case,

his idiosyncrasy, was no longer exceptional. The same kind of degeneration was quietly developing everywhere: old Athens was coming to an end. And Socrates understood that the world needed him – his method, his cure, his personal artifice of self-preservation. Everywhere the instincts were in anarchy, everywhere one was within sight of excess: *monstrum in animo* was the common danger. “The impulses want to play the tyrant; one must invent a counter-tyrant who is stronger.” After the physiognomist had revealed to Socrates who he was – a cave of bad appetites – the great master of irony let slip another clue to his character. “This is true,” he said, “but I mastered them all.” How did Socrates become master over himself? His case was, at bottom, merely the extreme case, only the most striking instance of what was then beginning to be a epidemic: no one was any longer master over himself, the instincts turned against themselves. He fascinated, being an extreme case; his awe inspiring ugliness proclaimed him as such to all who could see: he fascinated, of course, even more as an answer, a solution, an apparent cure for this disease.

10.

When one finds it necessary to turn reason into a tyrant, as Socrates did, the danger cannot be slight that something else threatens to play the tyrant. Rationality was hit upon as a savior; neither Socrates nor his “patients” had any choice about being rational: it was necessary, it was the last resort. The fanaticism with which all Greek reflection throws itself upon rationality betrays a desperate situation; there was danger, there was but one choice: either to perish or – to be absurdly rational. The moralism of the Greek philosophers from Plato on is pathologically conditioned; so is their reverence for logical argument. Reason equals virtue and happiness, that means merely that one must imitate Socrates and counter the dark appetites with a permanent daylight – the daylight of reason. One must be clever, clear, bright at any price: any concession to the instincts, to the unconscious, leads downward.

11.

I have explained how Socrates fascinated his audience: he seemed to be a physician, a savior. Is it necessary to go on to demonstrate the error in his faith in “rationality at any price”? It is a self-deception on the part of philosophers and moralists if they believe that they are extricating themselves from decadence by waging war against it. Extrication lies beyond their strength: what they choose as a means, as salvation, is itself but another expression of decadence; they change the form of decadence, but they do not get rid of decadence itself. Socrates was a misunderstanding; any improvement morality, including Christianity, is a misunderstanding. The most blinding daylight; rationality at any price; life, bright, cold, cautious, conscious, without instinct, in opposition to the instincts – all this was a kind of disease, merely a disease, and by no means a return to “virtue,” to “health,” to happiness. To have to fight the instincts – that is the definition of decadence: as long as life is ascending, happiness equals instinct.

12.

Did he himself understand this, this most brilliant of all self-deceivers? Was this what he said to himself in the end, in the wisdom of his courage to die? Socrates wanted to die: not Athens, but he himself chose the hemlock; he forced Athens to sentence him. “Socrates is no physician,” he said softly to himself, “here death alone is the physician. Socrates himself has only been sick a long time.”

1.

In conclusion, a word about that world to which I sought interpretations, for which I have perhaps found a new interpretation – the ancient world. My taste, which may be the opposite of a tolerant taste, is in this case very far from saying Yes indiscriminately: it does not like to say Yes; better to say No, but best of all to say nothing. That applies to whole cultures, it applies to books – also to places and landscapes. In the end there are very few ancient books that count in my life: the most famous are not among them. My sense of style, of the epigram as a style, was awakened almost instantly when I came into contact with Sallust. Compact, severe, with as much substance as possible, a cold sarcasm toward “beautiful words” and “beautiful sentiments” – here I found myself. And even in my Zarathustra one will recognize my very serious effort to achieve a Roman style, for the *aere perennius* [more enduring than bronze] in style.

Nor was my experience any different in my first contact with Horace. To this day, no other poet has given me the same artistic delight that a Horatian ode gave me from the first. In certain languages that which Horace has achieved could not even be attempted. This mosaic of words, in which every word – as sound, as place, as concept – pours out its strength right and left and over the whole, this minimum in the extent and number of the signs, and the maximum thereby attained in the energy of the signs – all that is Roman and, if you will believe me, noble par excellence. All the rest of poetry becomes, in contrast, something too popular – mere sentimental blather.

2.

From the Greeks I have not at all felt similarly strong impressions, and to be blunt, they cannot mean as much to me as the Romans. We do not learn from the Greeks – their manner is too foreign and too fluid to create a commanding, “classical” effect. Who could ever have learned to write from a Greek? Who could ever have learned to write without the Romans?

Please do not throw Plato at me. I am a complete skeptic about Plato, and I have never been able to join in the customary scholarly admiration for Plato the artist. The subtlest judges of taste among the ancients themselves are here on my side. Plato, it seems to me, throws all stylistic forms together and is thus a first-rate decadent in style: his responsibility is thus comparable to that of the Cynics, who invented the *satura Menippea*. To be attracted to the Platonic dialogue, this horribly self-satisfied and childish kind of dialectic, one must never have read good French writers – Fontenelle, for example. Plato is boring. In the end, my mistrust of Plato goes deep: he represents such an aberration from all the basic Greek instincts, is so moralistic, so pseudo-Christian (he already takes the concept of “the good” as the highest concept) that I would prefer the harsh phrase “higher swindle” or, if it sounds better, “idealism” for the whole phenomenon of Plato. We have paid dearly for the fact that this Athenian got his schooling from the Egyptians (or from the Jews in Egypt?). In that great calamity called Christianity, Plato represents that ambiguity and fascination, called an “ideal,” which made it possible for the nobler spirits of antiquity to misunderstand themselves and to set foot on the bridge leading to the Cross. And how much Plato there still is in the concept “church,” in the construction, system, and practice of the church!

My recreation, my preference, my cure from all Platonism has always been Thucydides. Thucydides and, perhaps, Machiavelli’s *Il Principe* are most closely related to me by the

unconditional will not to delude oneself, but to see reason in reality – not in “reason,” still less in “morality.” For that wretched distortion of the Greeks into a cultural ideal, which the “classically educated” youth carries into life as a reward for all his classroom lessons, there is no more complete cure than Thucydides. One must follow him line by line and read no less clearly between the lines: there are few thinkers who say so much between the lines. With him the culture of the Sophists, by which I mean the culture of the realists, reaches its perfect expression – this inestimable movement amid the moralistic and idealistic swindle set loose on all sides by the Socratic schools. Greek philosophy: the decadence of the Greek instinct. Thucydides: the great sum, the last revelation of that strong, severe, hard factuality which was instinctive with the older Greeks. In the end, it is courage in the face of reality that distinguishes a man like Thucydides from a man like Plato: Plato is a coward before reality, consequently he flees into the ideal; Thucydides has control of himself, consequently he also maintains control of things.

# MODULE 3: HAPPINESS

## 3.1 Plato on Happiness

### *About this text*

bust of Plato  
Plato

Our first selection comes from Plato's *Republic*. At this point, Socrates is arguing that the just person is happier than the unjust person. He makes this argument by describing the parts of the human soul and how they relate to other when the soul is just and when it is not. As you read, ask yourself whether Socrates is right about the three parts of the soul. Does it make sense to think about the soul as having different parts? Does it make sense to think about happiness as involving a certain relationship between the parts of the soul? Also think about the links between Socrates' discussion of happiness and justice here and the arguments about objective truth we considered last week. Is happiness an objective thing?

EXCERPTS FROM PLATO, *REPUBLIC* (SOURCE)

Translated by Benjamin Jowett

### **Book IX**

Then can you wonder that persons who are inexperienced in the truth, as they have wrong ideas about many other things, should also have wrong ideas about pleasure and pain and the intermediate state; so that when they are only being drawn towards the painful they feel pain and think the pain which they experience to be real, and in like manner, when drawn away from pain to the neutral or intermediate state, they firmly believe that they have reached the goal of satiety and pleasure; they, not knowing pleasure, err in contrasting pain with the absence of pain, which is like contrasting black with grey instead of white—can you wonder, I say, at this?

No, indeed; I should be much more disposed to wonder at the opposite.

Look at the matter thus:—Hunger, thirst, and the like, are inanitions of the bodily state?

Yes.

And ignorance and folly are inanitions of the soul?

True.

And food and wisdom are the corresponding satisfactions of either?

Certainly.

And is the satisfaction derived from that which has less or from that which has more existence the truer?

Clearly, from that which has more.

What classes of things have a greater share of pure existence in your judgment—those of which food and drink and condiments and all kinds of sustenance are examples, or the class which contains true opinion and knowledge and mind and all the different kinds of virtue? Put the

question in this way:—Which has a more pure being—that which is concerned with the invariable, the immortal, and the true, and is of such a nature, and is found in such natures; or that which is concerned with and found in the variable and mortal, and is itself variable and mortal?

Far purer, he replied, is the being of that which is concerned with the invariable.

And does the essence of the invariable partake of knowledge in the same degree as of essence?

Yes, of knowledge in the same degree.

And of truth in the same degree?

Yes.

And, conversely, that which has less of truth will also have less of essence?

Necessarily.

Then, in general, those kinds of things which are in the service of the body have less of truth and essence than those which are in the service of the soul?

Far less.

And has not the body itself less of truth and essence than the soul?

Yes.

What is filled with more real existence, and actually has a more real existence, is more really filled than that which is filled with less real existence and is less real?

Of course.

And if there be a pleasure in being filled with that which is according to nature, that which is more really filled with more real being will more really and truly enjoy true pleasure; whereas that which participates in less real being will be less truly and surely satisfied, and will participate in an illusory and less real pleasure?

Unquestionably.

Those then who know not wisdom and virtue, and are always busy with gluttony and sensuality, go down and up again as far as the mean; and in this region they move at random throughout life, but they never pass into the true upper world; thither they neither look, nor do they ever find their way, neither are they truly filled with true being, nor do they taste of pure and abiding pleasure. Like cattle, with their eyes always looking down and their heads stooping to the earth, that is, to the dining-table, they fatten and feed and breed, and, in their excessive love of these delights, they kick and butt at one another with horns and hoofs which are made of iron; and they kill one another by reason of their insatiable lust. For they fill themselves with that which is not substantial, and the part of themselves which they fill is also unsubstantial and incontinent.

Verily, Socrates, said Glaucon, you describe the life of the many like an oracle.

Their pleasures are mixed with pains—how can they be otherwise? For they are mere shadows and pictures of the true, and are coloured by contrast, which exaggerates both light and shade, and so they implant in the minds of fools insane desires of themselves; and they are fought about as Stesichorus says that the Greeks fought about the shadow of Helen at Troy in ignorance of the truth.

Something of that sort must inevitably happen.

And must not the like happen with the spirited or passionate element of the soul? Will not the passionate man who carries his passion into action, be in the like case, whether he is envious and ambitious, or violent and contentious, or angry and discontented, if he be seeking to attain honour and victory and the satisfaction of his anger without reason or sense?

Yes, he said, the same will happen with the spirited element also.

Then may we not confidently assert that the lovers of money and honour, when they seek their pleasures under the guidance and in the company of reason and knowledge, and pursue after and win the pleasures which wisdom shows them, will also have the truest pleasures in the highest degree which is attainable to them, inasmuch as they follow truth; and they will have the pleasures which are natural to them, if that which is best for each one is also most natural to him?

Yes, certainly; the best is the most natural.

And when the whole soul follows the philosophical principle, and there is no division, the several parts are just, and do each of them their own business, and enjoy severally the best and truest pleasures of which they are capable?

Exactly.

But when either of the two other principles prevails, it fails in attaining its own pleasure, and compels the rest to pursue after a pleasure which is a shadow only and which is not their own?

True.

And the greater the interval which separates them from philosophy and reason, the more strange and illusive will be the pleasure?

Yes.

And is not that farthest from reason which is at the greatest distance from law and order?

Clearly.

And the lustful and tyrannical desires are, as we saw, at the greatest distance? Yes.

And the royal and orderly desires are nearest?

Yes.

Then the tyrant will live at the greatest distance from true or natural pleasure, and the king at the least?

Certainly.

But if so, the tyrant will live most unpleasantly, and the king most pleasantly?

Inevitably.

Would you know the measure of the interval which separates them?

Will you tell me?

There appear to be three pleasures, one genuine and two spurious: now the transgression of the tyrant reaches a point beyond the spurious; he has run away from the region of law and reason, and taken up his abode with certain slave pleasures which are his satellites, and the measure of his inferiority can only be expressed in a figure.

How do you mean?

I assume, I said, that the tyrant is in the third place from the oligarch; the democrat was in the middle?

Yes.

And if there is truth in what has preceded, he will be wedded to an image of pleasure which is thrice removed as to truth from the pleasure of the oligarch?

He will.

And the oligarch is third from the royal; since we count as one royal and aristocratical?

Yes, he is third.

Then the tyrant is removed from true pleasure by the space of a number which is three times three?

Manifestly.



The shadow then of tyrannical pleasure determined by the number of length will be a plane figure.

Certainly.

And if you raise the power and make the plane a solid, there is no difficulty in seeing how vast is the interval by which the tyrant is parted from the king.

Yes; the arithmetician will easily do the sum.

Or if some person begins at the other end and measures the interval by which the king is parted from the tyrant in truth of pleasure, he will find him, when the multiplication is completed, living 729 times more pleasantly, and the tyrant more painfully by this same interval.

What a wonderful calculation! And how enormous is the distance which separates the just from the unjust in regard to pleasure and pain!

Yet a true calculation, I said, and a number which nearly concerns human life, if human beings are concerned with days and nights and months and years. (729 NEARLY equals the number of days and nights in the year.)

Yes, he said, human life is certainly concerned with them.

Then if the good and just man be thus superior in pleasure to the evil and unjust, his superiority will be infinitely greater in propriety of life and in beauty and virtue?

Immeasurably greater.

Well, I said, and now having arrived at this stage of the argument, we may revert to the words which brought us hither: Was not some one saying that injustice was a gain to the perfectly unjust who was reputed to be just?

Yes, that was said.

Now then, having determined the power and quality of justice and injustice, let us have a little conversation with him.

What shall we say to him?

Let us make an image of the soul, that he may have his own words presented before his eyes.

Of what sort?

An ideal image of the soul, like the composite creations of ancient mythology, such as the Chimera or Scylla or Cerberus, and there are many others in which two or more different natures are said to grow into one.

There are said of have been such unions.

Then do you now model the form of a multitudinous, many-headed monster, having a ring of heads of all manner of beasts, tame and wild, which he is able to generate and metamorphose at will.

You suppose marvellous powers in the artist; but, as language is more pliable than wax or any similar substance, let there be such a model as you propose.

Suppose now that you make a second form as of a lion, and a third of a man, the second smaller than the first, and the third smaller than the second.

That, he said, is an easier task; and I have made them as you say.

And now join them, and let the three grow into one.

That has been accomplished.

Next fashion the outside of them into a single image, as of a man, so that he who is not able to look within, and sees only the outer hull, may believe the beast to be a single human creature.

I have done so, he said.

And now, to him who maintains that it is profitable for the human creature to be unjust, and unprofitable to be just, let us reply that, if he be right, it is profitable for this creature to feast the multitudinous monster and strengthen the lion and the lion-like qualities, but to starve and weaken the man, who is consequently liable to be dragged about at the mercy of either of the other two; and he is not to attempt to familiarize or harmonize them with one another—he ought rather to suffer them to fight and bite and devour one another.

Certainly, he said; that is what the approver of injustice says.

To him the supporter of justice makes answer that he should ever so speak and act as to give the man within him in some way or other the most complete mastery over the entire human creature. He should watch over the many-headed monster like a good husbandman, fostering and cultivating the gentle qualities, and preventing the wild ones from growing; he should be making the lion-heart his ally, and in common care of them all should be uniting the several parts with one another and with himself.

Yes, he said, that is quite what the maintainer of justice say.

And so from every point of view, whether of pleasure, honour, or advantage, the approver of justice is right and speaks the truth, and the disapprover is wrong and false and ignorant?

Yes, from every point of view.

Come, now, and let us gently reason with the unjust, who is not intentionally in error. ‘Sweet Sir,’ we will say to him, ‘what think you of things esteemed noble and ignoble? Is not the noble that which subjects the beast to the man, or rather to the god in man; and the ignoble that which subjects the man to the beast?’ He can hardly avoid saying Yes—can he now?

Not if he has any regard for my opinion.

But, if he agree so far, we may ask him to answer another question: ‘Then how would a man profit if he received gold and silver on the condition that he was to enslave the noblest part of him to the worst? Who can imagine that a man who sold his son or daughter into slavery for money, especially if he sold them into the hands of fierce and evil men, would be the gainer, however large might be the sum which he received? And will any one say that he is not a miserable caitiff who remorselessly sells his own divine being to that which is most godless and detestable? Eriphyle took the necklace as the price of her husband’s life, but he is taking a bribe in order to compass a worse ruin.’

Yes, said Glaucon, far worse—I will answer for him.

Has not the intemperate been censured of old, because in him the huge multiform monster is allowed to be too much at large?

Clearly.

And men are blamed for pride and bad temper when the lion and serpent element in them disproportionately grows and gains strength?

Yes.

And luxury and softness are blamed, because they relax and weaken this same creature, and make a coward of him?

Very true.

And is not a man reproached for flattery and meanness who subordinates the spirited animal to the unruly monster, and, for the sake of money, of which he can never have enough, habituates him in the days of his youth to be trampled in the mire, and from being a lion to become a monkey?

True, he said.

And why are mean employments and manual arts a reproach? Only because they imply a natural weakness of the higher principle; the individual is unable to control the creatures within him, but has to court them, and his great study is how to flatter them.

Such appears to be the reason.

And therefore, being desirous of placing him under a rule like that of the best, we say that he ought to be the servant of the best, in whom the Divine rules; not, as Thrasymachus supposed, to the injury of the servant, but because every one had better be ruled by divine wisdom dwelling within him; or, if this be impossible, then by an external authority, in order that we may be all, as far as possible, under the same government, friends and equals.

True, he said.

And this is clearly seen to be the intention of the law, which is the ally of the whole city; and is seen also in the authority which we exercise over children, and the refusal to let them be free until we have established in them a principle analogous to the constitution of a state, and by cultivation of this higher element have set up in their hearts a guardian and ruler like our own, and when this is done they may go their ways.

Yes, he said, the purpose of the law is manifest.

From what point of view, then, and on what ground can we say that a man is profited by injustice or intemperance or other baseness, which will make him a worse man, even though he acquire money or power by his wickedness?

From no point of view at all.

What shall he profit, if his injustice be undetected and unpunished? He who is undetected only gets worse, whereas he who is detected and punished has the brutal part of his nature silenced and humanized; the gentler element in him is liberated, and his whole soul is perfected and ennobled by the acquirement of justice and temperance and wisdom, more than the body ever is by receiving gifts of beauty, strength and health, in proportion as the soul is more honourable than the body.

Certainly, he said.

To this nobler purpose the man of understanding will devote the energies of his life. And in the first place, he will honour studies which impress these qualities on his soul and will disregard others?

Clearly, he said.

In the next place, he will regulate his bodily habit and training, and so far will he be from yielding to brutal and irrational pleasures, that he will regard even health as quite a secondary matter; his first object will be not that he may be fair or strong or well, unless he is likely thereby to gain temperance, but he will always desire so to attemper the body as to preserve the harmony of the soul?

Certainly he will, if he has true music in him.

And in the acquisition of wealth there is a principle of order and harmony which he will also observe; he will not allow himself to be dazzled by the foolish applause of the world, and heap up riches to his own infinite harm?

Certainly not, he said.

He will look at the city which is within him, and take heed that no disorder occur in it, such as might arise either from superfluity or from want; and upon this principle he will regulate his property and gain or spend according to his means.

Very true.

And, for the same reason, he will gladly accept and enjoy such honours as he deems likely to make him a better man; but those, whether private or public, which are likely to disorder his life, he will avoid?

Then, if that is his motive, he will not be a statesman.

By the dog of Egypt, he will! in the city which is his own he certainly will, though in the land of his birth perhaps not, unless he have a divine call.

I understand; you mean that he will be a ruler in the city of which we are the founders, and which exists in idea only; for I do not believe that there is such an one anywhere on earth?

In heaven, I replied, there is laid up a pattern of it, methinks, which he who desires may behold, and beholding, may set his own house in order. But whether such an one exists, or ever will exist in fact, is no matter; for he will live after the manner of that city, having nothing to do with any other.

I think so, he said.

## 3.2 Rousseau on Happiness

### *About this text*

Rousseau  
Rousseau

Below you'll find excerpts from Jean-Jacques Rousseau's *Discourse on the Origin of Inequality*. Rousseau is a "state of nature" theorist. He tries to imagine a time before society and politics, when human beings lived in their natural state. In these excerpts, he's asking us to think about whether human beings are happier today than they were in the state of nature. So, what sort of happiness did human beings ("savage man" as Rousseau puts it) enjoy in the state of nature? What sort of happiness do we enjoy in civil society? Is there a "natural" kind of happiness for humans? If so, should we be trying to return to a state of natural happiness? Can we?

EXCERPTS FROM ROUSSEAU, *DISCOURSE ON THE ORIGIN OF INEQUALITY* (SOURCE)

Translated by G. D. H. Cole

### PREFACE

Of all human sciences the most useful and most imperfect appears to me to be that of mankind: and I will venture to say, the single inscription on the Temple of Delphi contained a precept more difficult and more important than is to be found in all the huge volumes that moralists have ever written. I consider the subject of the following discourse as one of the most interesting questions philosophy can propose, and unhappily for us, one of the most thorny that philosophers can have to solve. For how shall we know the source of inequality between men, if we do not begin by knowing mankind? And how shall man hope to see himself as nature made him, across all the changes which the succession of place and time must have produced in his original constitution? How can he distinguish what is fundamental in his nature from the changes and additions which his circumstances and the advances he has made have introduced to modify his primitive condition? Like the statue of Glaucus, which was so disfigured by time, seas and tempests, that it looked more like a wild beast than a god, the human soul, altered in society by a thousand causes perpetually recurring, by the acquisition of a multitude of truths and errors, by the changes happening to the constitution of the body, and by the continual jarring of the passions, has, so to speak, changed in appearance, so as to be hardly recognisable. Instead of a being, acting constantly from fixed and invariable principles, instead of that celestial and majestic simplicity, impressed on it by its divine Author, we find in it only the frightful contrast of passion mistaking itself for reason, and of understanding grown delirious.

It is still more cruel that, as every advance made by the human species removes it still farther from its primitive state, the more discoveries we make, the more we deprive ourselves of the means of making the most important of all. Thus it is, in one sense, by our very study of man, that the knowledge of him is put out of our power.

It is easy to perceive that it is in these successive changes in the constitution of man that we must look for the origin of those differences which now distinguish men, who, it is allowed, are as equal among themselves as were the animals of every kind, before physical causes had introduced those varieties which are now observable among some of them.

It is, in fact, not to be conceived that these primary changes, however they may have arisen, could have altered, all at once and in the same manner, every individual of the species. It is natural to think that, while the condition of some of them grew better or worse, and they were acquiring various good or bad qualities not inherent in their nature, there were others who continued a longer time in their original condition. Such was doubtless the first source of the inequality of mankind, which it is much easier to point out thus in general terms, than to assign with precision to its actual causes.

Let not my readers therefore imagine that I flatter myself with having seen what it appears to me so difficult to discover. I have here entered upon certain arguments, and risked some conjectures, less in the hope of solving the difficulty, than with a view to throwing some light upon it, and reducing the question to its proper form. Others may easily proceed farther on the same road, and yet no one find it very easy to get to the end. For it is by no means a light undertaking to distinguish properly between what is original and what is artificial in the actual nature of man, or to form a true idea of a state which no longer exists, perhaps never did exist, and probably never will exist; and of which, it is, nevertheless, necessary to have true ideas, in order to form a proper judgment of our present state. It requires, indeed, more philosophy than can be imagined to enable any one to determine exactly what precautions he ought to take, in order to make solid observations on this subject; and it appears to me that a good solution of the following problem would be not unworthy of the Aristotles and Plinys of the present age. What experiments would have to be made, to discover the natural man? And how are those experiments to be made in a state of society?

So far am I from undertaking to solve this problem, that I think I have sufficiently considered the subject, to venture to declare beforehand that our greatest philosophers would not be too good to direct such experiments, and our most powerful sovereigns to make them. Such a combination we have very little reason to expect, especially attended with the perseverance, or rather succession of intelligence and goodwill necessary on both sides to success.

These investigations, which are so difficult to make, and have been hitherto so little thought of, are, nevertheless, the only means that remain of obviating a multitude of difficulties which deprive us of the knowledge of the real foundations of human society. It is this ignorance of the nature of man, which casts so much uncertainty and obscurity on the true definition of natural right: for, the idea of right, says Burlamaqui, and more particularly that of natural right, are ideas

manifestly relative to the nature of man. It is then from this very nature itself, he goes on, from the constitution and state of man, that we must deduce the first principles of this science.

We cannot see without surprise and disgust how little agreement there is between the different authors who have treated this great subject. Among the more important writers there are scarcely two of the same mind about it. Not to speak of the ancient philosophers, who seem to have done their best purposely to contradict one another on the most fundamental principles, the Roman jurists subjected man and the other animals indiscriminately to the same natural law, because they considered, under that name, rather the law which nature imposes on herself than that which she prescribes to others; or rather because of the particular acceptation of the term law among those jurists; who seem on this occasion to have understood nothing more by it than the general relations established by nature between all animated beings, for their common preservation. The moderns, understanding, by the term law, merely a rule prescribed to a moral being, that is to say intelligent, free and considered in his relations to other beings, consequently confine the jurisdiction of natural law to man, as the only animal endowed with reason. But, defining this law, each after his own fashion, they have established it on such metaphysical principles, that there are very few persons among us capable of comprehending them, much less of discovering them for themselves. So that the definitions of these learned men, all differing in everything else, agree only in this, that it is impossible to comprehend the law of nature, and consequently to obey it, without being a very subtle casuist and a profound metaphysician. All which is as much as to say that mankind must have employed, in the establishment of society, a capacity which is acquired only with great difficulty, and by very few persons, even in a state of society.

Knowing so little of nature, and agreeing so ill about the meaning of the word law, it would be difficult for us to fix on a good definition of natural law. Thus all the definitions we meet with in books, setting aside their defect in point of uniformity, have yet another fault, in that they are derived from many kinds of knowledge, which men do not possess naturally, and from advantages of which they can have no idea until they have already departed from that state. Modern writers begin by inquiring what rules it would be expedient for men to agree on for their common interest, and then give the name of natural law to a collection of these rules, without any other proof than the good that would result from their being universally practised. This is undoubtedly a simple way of making definitions, and of explaining the nature of things by almost arbitrary conveniences.

But as long as we are ignorant of the natural man, it is in vain for us to attempt to determine either the law originally prescribed to him, or that which is best adapted to his constitution. All we can know with any certainty respecting this law is that, if it is to be a law, not only the wills of those it obliges must be sensible of their submission to it; but also, to be natural, it must come directly from the voice of nature.

Throwing aside, therefore, all those scientific books, which teach us only to see men such as they have made themselves, and contemplating the first and most simple operations of the human soul, I think I can perceive in it two principles prior to reason, one of them deeply interesting us in our own welfare and preservation, and the other exciting a natural repugnance at seeing any other sensible being, and particularly any of our own species, suffer pain or death. It is from

the agreement and combination which the understanding is in a position to establish between these two principles, without its being necessary to introduce that of sociability, that all the rules of natural right appear to me to be derived – rules which our reason is afterwards obliged to establish on other foundations, when by its successive developments it has been led to suppress nature itself.

In proceeding thus, we shall not be obliged to make man a philosopher before he is a man. His duties toward others are not dictated to him only by the later lessons of wisdom; and, so long as he does not resist the internal impulse of compassion, he will never hurt any other man, nor even any sentient being, except on those lawful occasions on which his own preservation is concerned and he is obliged to give himself the preference. By this method also we put an end to the time-honoured disputes concerning the participation of animals in natural law: for it is clear that, being destitute of intelligence and liberty, they cannot recognise that law; as they partake, however, in some measure of our nature, in consequence of the sensibility with which they are endowed, they ought to partake of natural right; so that mankind is subjected to a kind of obligation even toward the brutes. It appears, in fact, that if I am bound to do no injury to my fellow-creatures, this is less because they are rational than because they are sentient beings: and this quality, being common both to men and beasts, ought to entitle the latter at least to the privilege of not being wantonly ill-treated by the former.

The very study of the original man, of his real wants, and the fundamental principles of his duty, is besides the only proper method we can adopt to obviate all the difficulties which the origin of moral inequality presents, on the true foundations of the body politic, on the reciprocal rights of its members, and on many other similar topics equally important and obscure.

If we look at human society with a calm and disinterested eye, it seems, at first, to show us only the violence of the powerful and the oppression of the weak. The mind is shocked at the cruelty of the one, or is induced to lament the blindness of the other; and as nothing is less permanent in life than those external relations, which are more frequently produced by accident than wisdom, and which are called weakness or power, riches or poverty, all human institutions seem at first glance to be founded merely on banks of shifting sand. It is only by taking a closer look, and removing the dust and sand that surround the edifice, that we perceive the immovable basis on which it is raised, and learn to respect its foundations. Now, without a serious study of man, his natural faculties and their successive development, we shall never be able to make these necessary distinctions, or to separate, in the actual constitution of things, that which is the effect of the divine will, from the innovations attempted by human art. The political and moral investigations, therefore, to which the important question before us leads, are in every respect useful; while the hypothetical history of governments affords a lesson equally instructive to mankind.

In considering what we should have become, had we been left to ourselves, we should learn to bless Him, whose gracious hand, correcting our institutions, and giving them an immovable basis, has prevented those disorders which would otherwise have arisen from them, and caused our happiness to come from those very sources which seemed likely to involve us in misery.

A DISSERTATION ON THE ORIGIN AND FOUNDATION OF THE INEQUALITY OF MANKIND



It is of man that I have to speak; and the question I am investigating shows me that it is to men that I must address myself: for questions of this sort are not asked by those who are afraid to honour truth. I shall then confidently uphold the cause of humanity before the wise men who invite me to do so, and shall not be dissatisfied if I acquit myself in a manner worthy of my subject and of my judges.

I conceive that there are two kinds of inequality among the human species; one, which I call natural or physical, because it is established by nature, and consists in a difference of age, health, bodily strength, and the qualities of the mind or of the soul: and another, which may be called moral or political inequality, because it depends on a kind of convention, and is established, or at least authorised by the consent of men. This latter consists of the different privileges, which some men enjoy to the prejudice of others; such as that of being more rich, more honoured, more powerful or even in a position to exact obedience.

It is useless to ask what is the source of natural inequality, because that question is answered by the simple definition of the word. Again, it is still more useless to inquire whether there is any essential connection between the two inequalities; for this would be only asking, in other words, whether those who command are necessarily better than those who obey, and if strength of body or of mind, wisdom or virtue are always found in particular individuals, in proportion to their power or wealth: a question fit perhaps to be discussed by slaves in the hearing of their masters, but highly unbecoming to reasonable and free men in search of the truth.

The subject of the present discourse, therefore, is more precisely this. To mark, in the progress of things, the moment at which right took the place of violence and nature became subject to law, and to explain by what sequence of miracles the strong came to submit to serve the weak, and the people to purchase imaginary repose at the expense of real felicity.

The philosophers, who have inquired into the foundations of society, have all felt the necessity of going back to a state of nature; but not one of them has got there. Some of them have not hesitated to ascribe to man, in such a state, the idea of just and unjust, without troubling themselves to show that he must be possessed of such an idea, or that it could be of any use to him. Others have spoken of the natural right of every man to keep what belongs to him, without explaining what they meant by belongs. Others again, beginning by giving the strong authority over the weak, proceeded directly to the birth of government, without regard to the time that must have elapsed before the meaning of the words authority and government could have existed among men. Every one of them, in short, constantly dwelling on wants, avidity, oppression, desires and pride, has transferred to the state of nature ideas which were acquired in society; so that, in speaking of the savage, they described the social man. It has not even entered into the heads of most of our writers to doubt whether the state of nature ever existed; but it is clear from the Holy Scriptures that the first man, having received his understanding and commandments immediately from God, was not himself in such a state; and that, if we give such credit to the writings of Moses as every Christian philosopher ought to give, we must deny that, even before the deluge, men were ever in the pure state of nature; unless, indeed, they fell back into it from some very extraordinary circumstance; a paradox which it would be very embarrassing to defend, and quite impossible to prove.

Let us begin then by laying facts aside, as they do not affect the question. The investigations we may enter into, in treating this subject, must not be considered as historical truths, but only as mere conditional and hypothetical reasonings, rather calculated to explain the nature of things, than to ascertain their actual origin; just like the hypotheses which our physicists daily form respecting the formation of the world. Religion commands us to believe that, God Himself having taken men out of a state of nature immediately after the creation, they are unequal only because it is His will they should be so: but it does not forbid us to form conjectures based solely on the nature of man, and the beings around him, concerning what might have become of the human race, if it had been left to itself. This then is the question asked me, and that which I propose to discuss in the following discourse. As my subject interests mankind in general, I shall endeavour to make use of a style adapted to all nations, or rather, forgetting time and place, to attend only to men to whom I am speaking. I shall suppose myself in the Lyceum of Athens, repeating the lessons of my masters, with Plato and Xenocrates for judges, and the whole human race for audience.

O man, of whatever country you are, and whatever your opinions may be, behold your history, such as I have thought to read it, not in books written by your fellow-creatures, who are liars, but in nature, which never lies. All that comes from her will be true; nor will you meet with anything false, unless I have involuntarily put in something of my own. The times of which I am going to speak are very remote: how much are you changed from what you once were! It is, so to speak, the life of your species which I am going to write, after the qualities which you have received, which your education and habits may have depraved, but cannot have entirely destroyed. There is, I feel, an age at which the individual man would wish to stop: you are about to inquire about the age at which you would have liked your whole species to stand still. Discontented with your present state, for reasons which threaten your unfortunate descendants with still greater discontent, you will perhaps wish it were in your power to go back; and this feeling should be a panegyric on your first ancestors, a criticism of your contemporaries, and a terror to the unfortunates who will come after you.

## THE FIRST PART

IMPORTANT as it may be, in order to judge rightly of the natural state of man, to consider him from his origin, and to examine him, as it were, in the embryo of his species; I shall not follow his organisation through its successive developments, nor shall I stay to inquire what his animal system must have been at the beginning, in order to become at length what it actually is. I shall not ask whether his long nails were at first, as Aristotle supposes, only crooked talons; whether his whole body, like that of a bear, was not covered with hair; or whether the fact that he walked upon all fours, with his looks directed toward the earth, confined to a horizon of a few paces, did not at once point out the nature and limits of his ideas. On this subject I could form none but vague and almost imaginary conjectures. Comparative anatomy has as yet made too little progress, and the observations of naturalists are too uncertain to afford an adequate basis for any solid reasoning. So that, without having recourse to the supernatural information given us on this head, or paying any regard to the changes which must have taken place in the internal, as well as the external, conformation of man, as he applied his limbs to new uses, and fed himself on new kinds of food, I shall suppose his conformation to have been at all times what it appears to us at this day; that he

always walked on two legs, made use of his hands as we do, directed his looks over all nature, and measured with his eyes the vast expanse of Heaven.

If we strip this being, thus constituted, of all the supernatural gifts he may have received, and all the artificial faculties he can have acquired only by a long process; if we consider him, in a word, just as he must have come from the hands of nature, we behold in him an animal weaker than some, and less agile than others; but, taking him all round, the most advantageously organised of any. I see him satisfying his hunger at the first oak, and slaking his thirst at the first brook; finding his bed at the foot of the tree which afforded him a repast; and, with that, all his wants supplied.

While the earth was left to its natural fertility and covered with immense forests, whose trees were never mutilated by the axe, it would present on every side both sustenance and shelter for every species of animal. Men, dispersed up and down among the rest, would observe and imitate their industry, and thus attain even to the instinct of the beasts, with the advantage that, whereas every species of brutes was confined to one particular instinct, man, who perhaps has not any one peculiar to himself, would appropriate them all, and live upon most of those different foods which other animals shared among themselves; and thus would find his subsistence much more easily than any of the rest.

Accustomed from their infancy to the inclemencies of the weather and the rigour of the seasons, inured to fatigue, and forced, naked and unarmed, to defend themselves and their prey from other ferocious animals, or to escape them by flight, men would acquire a robust and almost unalterable constitution. The children, bringing with them into the world the excellent constitution of their parents, and fortifying it by the very exercises which first produced it, would thus acquire all the vigour of which the human frame is capable. Nature in this case treats them exactly as Sparta treated the children of her citizens: those who come well formed into the world she renders strong and robust, and all the rest she destroys; differing in this respect from our modern communities, in which the State, by making children a burden to their parents, kills them indiscriminately before they are born.

The body of a savage man being the only instrument he understands, he uses it for various purposes, of which ours, for want of practice, are incapable: for our industry deprives us of that force and agility, which necessity obliges him to acquire. If he had had an axe, would he have been able with his naked arm to break so large a branch from a tree? If he had had a sling, would he have been able to throw a stone with so great velocity? If he had had a ladder, would he have been so nimble in climbing a tree? If he had had a horse, would he have been himself so swift of foot? Give civilised man time to gather all his machines about him, and he will no doubt easily beat the savage; but if you would see a still more unequal contest, set them together naked and unarmed, and you will soon see the advantage of having all our forces constantly at our disposal, of being always prepared for every event, and of carrying one's self, as it were, perpetually whole and entire about one.

Hobbes contends that man is naturally intrepid, and is intent only upon attacking and fighting. Another illustrious philosopher holds the opposite, and Cumberland and Puffendorf also affirm that nothing is more timid and fearful than man in the state of nature; that he is always in a

tremble, and ready to fly at the least noise or the slightest movement. This may be true of things he does not know; and I do not doubt his being terrified by every novelty that presents itself, when he neither knows the physical good or evil he may expect from it, nor can make a comparison between his own strength and the dangers he is about to encounter. Such circumstances, however, rarely occur in a state of nature, in which all things proceed in a uniform manner, and the face of the earth is not subject to those sudden and continual changes which arise from the passions and caprices of bodies of men living together. But savage man, living dispersed among other animals, and finding himself betimes in a situation to measure his strength with theirs, soon comes to compare himself with them; and, perceiving that he surpasses them more in adroitness than they surpass him in strength, learns to be no longer afraid of them. Set a bear, or a wolf, against a robust, agile, and resolute savage, as they all are, armed with stones and a good cudgel, and you will see that the danger will be at least on both sides, and that, after a few trials of this kind, wild beasts, which are not fond of attacking each other, will not be at all ready to attack man, whom they will have found to be as wild and ferocious as themselves. With regard to such animals as have really more strength than man has adroitness, he is in the same situation as all weaker animals, which notwithstanding are still able to subsist; except indeed that he has the advantage that, being equally swift of foot, and finding an almost certain place of refuge in every tree, he is at liberty to take or leave it at every encounter, and thus to fight or fly, as he chooses. Add to this that it does not appear that any animal naturally makes war on man, except in case of self-defence or excessive hunger, or betrays any of those violent antipathies, which seem to indicate that one species is intended by nature for the food of another.

This is doubtless why negroes and savages are so little afraid of the wild beasts they may meet in the woods. The Caraibs of Venezuela among others live in this respect in absolute security and without the smallest inconvenience. Though they are almost naked, Francis Corréal tells us, they expose themselves freely in the woods, armed only with bows and arrows; but no one has ever heard of one of them being devoured by wild beasts.

But man has other enemies more formidable, against which he is not provided with such means of defence: these are the natural infirmities of infancy, old age, and illness of every kind, melancholy proofs of our weakness, of which the two first are common to all animals, and the last belongs chiefly to man in a state of society. With regard to infancy, it is observable that the mother, carrying her child always with her, can nurse it with much greater ease than the females of many other animals, which are forced to be perpetually going and coming, with great fatigue, one way to find subsistence, and another to suckle or feed their young. It is true that if the woman happens to perish, the infant is in great danger of perishing with her; but this risk is common to many other species of animals, whose young take a long time before they are able to provide for themselves. And if our infancy is longer than theirs, our lives are longer in proportion; so that all things are in this respect fairly equal; though there are other rules to be considered regarding the duration of the first period of life, and the number of young, which do not affect the present subject. In old age, when men are less active and perspire little, the need for food diminishes with the ability to provide it. As the savage state also protects them from gout and rheumatism, and old age is, of all ills, that which human aid can least alleviate, they cease to be, without others perceiving that they are no more, and almost without perceiving it themselves.

With respect to sickness, I shall not repeat the vain and false declamations which most healthy people pronounce against medicine; but I shall ask if any solid observations have been made from which it may be justly concluded that, in the countries where the art of medicine is most neglected, the mean duration of man's life is less than in those where it is most cultivated. How indeed can this be the case, if we bring on ourselves more diseases than medicine can furnish remedies? The great inequality in manner of living, the extreme idleness of some, and the excessive labour of others, the easiness of exciting and gratifying our sensual appetites, the too exquisite foods of the wealthy which overheat and fill them with indigestion, and, on the other hand, the unwholesome food of the poor, often, bad as it is, insufficient for their needs, which induces them, when opportunity offers, to eat voraciously and overcharge their stomachs; all these, together with sitting up late, and excesses of every kind, immoderate transports of every passion, fatigue, mental exhaustion, the innumerable pains and anxieties inseparable from every condition of life, by which the mind of man is incessantly tormented; these are too fatal proofs that the greater part of our ills are of our own making, and that we might have avoided them nearly all by adhering to that simple, uniform and solitary manner of life which nature prescribed. If she destined man to be healthy, I venture to declare that a state of reflection is a state contrary to nature, and that a thinking man is a depraved animal. When we think of the good constitution of the savages, at least of those whom we have not ruined with our spirituous liquors, and reflect that they are troubled with hardly any disorders, save wounds and old age, we are tempted to believe that, in following the history of civil society, we shall be telling also that of human sickness. Such, at least, was the opinion of Plato, who inferred from certain remedies prescribed, or approved, by Podalirius and Machaon at the siege of Troy, that several sicknesses which these remedies gave rise to in his time, were not then known to mankind: and Celsus tells us that diet, which is now so necessary, was first invented by Hippocrates.

Being subject therefore to so few causes of sickness, man, in the state of nature, can have no need of remedies, and still less of physicians: nor is the human race in this respect worse off than other animals, and it is easy to learn from hunters whether they meet with many infirm animals in the course of the chase. It is certain they frequently meet with such as carry the marks of having been considerably wounded, with many that have had bones or even limbs broken, yet have been healed without any other surgical assistance than that of time, or any other regimen than that of their ordinary life. At the same time their cures seem not to have been less perfect, for their not having been tortured by incisions, poisoned with drugs, or wasted by fasting. In short, however useful medicine, properly administered, may be among us, it is certain that, if the savage, when he is sick and left to himself, has nothing to hope but from nature, he has, on the other hand, nothing to fear but from his disease; which renders his situation often preferable to our own.

We should beware, therefore, of confounding the savage man with the men we have daily before our eyes. Nature treats all the animals left to her care with a predilection that seems to show how jealous she is of that right. The horse, the cat, the bull, and even the ass are generally of greater stature, and always more robust, and have more vigour, strength and courage, when they run wild in the forests than when bred in the stall. By becoming domesticated, they lose half these advantages; and it seems as if all our care to feed and treat them well serves only to deprave them. It is thus with man also: as he becomes sociable and a slave, he grows weak, timid and servile;

his effeminate way of life totally enervates his strength and courage. To this it may be added that there is still a greater difference between savage and civilised man, than between wild and tame beasts: for men and brutes having been treated alike by nature, the several conveniences in which men indulge themselves still more than they do their beasts, are so many additional causes of their deeper degeneracy.

It is not therefore so great a misfortune to these primitive men, nor so great an obstacle to their preservation, that they go naked, have no dwellings and lack all the superfluities which we think so necessary. If their skins are not covered with hair, they have no need of such covering in warm climates; and, in cold countries, they soon learn to appropriate the skins of the beasts they have overcome. If they have but two legs to run with, they have two arms to defend themselves with, and provide for their wants. Their children are slowly and with difficulty taught to walk; but their mothers are able to carry them with ease; an advantage which other animals lack, as the mother, if pursued, is forced either to abandon her young, or to regulate her pace by theirs. Unless, in short, we suppose a singular and fortuitous concurrence of circumstances of which I shall speak later, and which would be unlikely to exist, it is plain in every state of the case, that the man who first made himself clothes or a dwelling was furnishing himself with things not at all necessary; for he had till then done without them, and there is no reason why he should not have been able to put up in manhood with the same kind of life as had been his in infancy.

Solitary, indolent, and perpetually accompanied by danger, the savage cannot but be fond of sleep; his sleep too must be light, like that of the animals, which think but little and may be said to slumber all the time they do not think. Self-preservation being his chief and almost sole concern, he must exercise most those faculties which are most concerned with attack or defence, either for overcoming his prey, or for preventing him from becoming the prey of other animals. On the other hand, those organs which are perfected only by softness and sensuality will remain in a gross and imperfect state, incompatible with any sort of delicacy; so that, his senses being divided on this head, his touch and taste will be extremely coarse, his sight, hearing and smell exceedingly fine and subtle. Such in general is the animal condition, and such, according to the narratives of travellers, is that of most savage nations. It is therefore no matter for surprise that the Hottentots of the Cape of Good Hope distinguish ships at sea, with the naked eye, at as great a distance as the Dutch can do with their telescopes; or that the savages of America should trace the Spaniards, by their smell, as well as the best dogs could have done; or that these barbarous peoples feel no pain in going naked, or that they use large quantities of piemento with their food, and drink the strongest European liquors like water.

Hitherto I have considered merely the physical man; let us now take a view of him on his metaphysical and moral side.

I see nothing in any animal but an ingenious machine, to which nature hath given senses to wind itself up, and to guard itself, to a certain degree, against anything that might tend to disorder or destroy it. I perceive exactly the same things in the human machine, with this difference, that in the operations of the brute, nature is the sole agent, whereas man has some share in his own operations, in his character as a free agent. The one chooses and refuses by instinct, the other

from an act of free-will: hence the brute cannot deviate from the rule prescribed to it, even when it would be advantageous for it to do so; and, on the contrary, man frequently deviates from such rules to his own prejudice. Thus a pigeon would be starved to death by the side of a dish of the choicest meats, and a cat on a heap of fruit or grain; though it is certain that either might find nourishment in the foods which it thus rejects with disdain, did it think of trying them. Hence it is that dissolute men run into excesses which bring on fevers and death; because the mind depraves the senses, and the will continues to speak when nature is silent.

Every animal has ideas, since it has senses; it even combines those ideas in a certain degree; and it is only in degree that man differs, in this respect, from the brute. Some philosophers have even maintained that there is a greater difference between one man and another than between some men and some beasts. It is not, therefore, so much the understanding that constitutes the specific difference between the man and the brute, as the human quality of free-agency. Nature lays her commands on every animal, and the brute obeys her voice. Man receives the same impulsion, but at the same time knows himself at liberty to acquiesce or resist: and it is particularly in his consciousness of this liberty that the spirituality of his soul is displayed. For physics may explain, in some measure, the mechanism of the senses and the formation of ideas; but in the power of willing or rather of choosing, and in the feeling of this power, nothing is to be found but acts which are purely spiritual and wholly inexplicable by the laws of mechanism.

However, even if the difficulties attending all these questions should still leave room for difference in this respect between men and brutes, there is another very specific quality which distinguishes them, and which will admit of no dispute. This is the faculty of self-improvement, which, by the help of circumstances, gradually develops all the rest of our faculties, and is inherent in the species as in the individual: whereas a brute is, at the end of a few months, all he will ever be during his whole life, and his species, at the end of a thousand years, exactly what it was the first year of that thousand. Why is man alone liable to grow into a dotard? Is it not because he returns, in this, to his primitive state; and that, while the brute, which has acquired nothing and has therefore nothing to lose, still retains the force of instinct, man, who loses, by age or accident, all that his perfectibility had enabled him to gain, falls by this means lower than the brutes themselves? It would be melancholy, were we forced to admit that this distinctive and almost unlimited faculty is the source of all human misfortunes; that it is this which, in time, draws man out of his original state, in which he would have spent his days insensibly in peace and innocence; that it is this faculty, which, successively producing in different ages his discoveries and his errors, his vices and his virtues, makes him at length a tyrant both over himself and over nature.<sup>1</sup> It would be shocking to be obliged to regard as a benefactor the man who first suggested to the Oroonoko Indians the use of the boards they apply to the temples of their children, which secure to them some part at least of their imbecility and original happiness.

Savage man, left by nature solely to the direction of instinct, or rather indemnified for what he may lack by faculties capable at first of supplying its place, and afterwards of raising him much above it, must accordingly begin with purely animal functions: thus seeing and feeling must be his first condition, which would be common to him and all other animals. To will, and not to will, to desire

and to fear, must be the first, and almost the only operations of his soul, till new circumstances occasion new developments of his faculties.

Whatever moralists may hold, the human understanding is greatly indebted to the passions, which, it is universally allowed, are also much indebted to the understanding. It is by the activity of the passions that our reason is improved; for we desire knowledge only because we wish to enjoy; and it is impossible to conceive any reason why a person who has neither fears nor desires should give himself the trouble of reasoning. The passions, again, originate in our wants, and their progress depends on that of our knowledge; for we cannot desire or fear anything, except from the idea we have of it, or from the simple impulse of nature. Now savage man, being destitute of every species of intelligence, can have no passions save those of the latter kind: his desires never go beyond his physical wants. The only goods he recognises in the universe are food, a female, and sleep: the only evils he fears are pain and hunger. I say pain, and not death: for no animal can know what it is to die; the knowledge of death and its terrors being one of the first acquisitions made by man in departing from an animal state.

It would be easy, were it necessary, to support this opinion by facts, and to show that, in all the nations of the world, the progress of the understanding has been exactly proportionate to the wants which the peoples had received from nature, or been subjected to by circumstances, and in consequence to the passions that induced them to provide for those necessities. I might instance the arts, rising up in Egypt and expanding with the inundation of the Nile. I might follow their progress into Greece, where they took root afresh, grew up and lowered to the skies, among the rocks and sands of Attica, without being able to germinate on the fertile banks of the Eurotas: I might observe that in general, the people of the North are more industrious than those of the South, because they cannot get on so well without being so: as if nature wanted to equalise matters by giving their understandings the fertility she had refused to their soil.

But who does not see, without recurring to the uncertain testimony of history, that everything seems to remove from savage man both the temptation and the means of changing his condition? His imagination paints no pictures; his heart makes no demands on him. His few wants are so readily supplied, and he is so far from having the knowledge which is needful to make him want more, that he can have neither foresight nor curiosity. The face of nature becomes indifferent to him as it grows familiar. He sees in it always the same order, the same successions: he has not understanding enough to wonder at the greatest miracles; nor is it in his mind that we can expect to find that philosophy man needs, if he is to know how to notice for once what he sees every day. His soul, which nothing disturbs, is wholly wrapped up in the feeling of its present existence, without any idea of the future, however near at hand; while his projects, as limited as his views, hardly extend to the close of day. Such, even at present, is the extent of the native Caribbean's foresight: he will improvidently sell you his cotton-bed in the morning, and come crying in the evening to buy it again, not having foreseen he would want it again the next night.

The more we reflect on this subject, the greater appears the distance between pure sensation and the most simple knowledge: it is impossible indeed to conceive how a man, by his own powers alone, without the aid of communication and the spur of necessity, could have bridged so great a



gap. How many ages may have elapsed before mankind were in a position to behold any other fire than that of the heavens. What a multiplicity of chances must have happened to teach them the commonest uses of that element! How often must they have let it out before they acquired the art of reproducing it? and how often may not such a secret have died with him who had discovered it? What shall we say of agriculture, an art which requires so much labour and foresight, which is so dependent on others that it is plain it could only be practised in a society which had at least begun, and which does not serve so much to draw the means of subsistence from the earth – for these it would produce of itself – but to compel it to produce what is most to our taste? But let us suppose that men had so multiplied that the natural produce of the earth was no longer sufficient for their support; a supposition, by the way, which would prove such a life to be very advantageous for the human race; let us suppose that, without forges or workshops, the instruments of husbandry had dropped from the sky into the hands of savages; that they had overcome their natural aversion to continual labour; that they had learnt so much foresight for their needs; that they had divined how to cultivate the earth, to sow grain and plant trees; that they had discovered the arts of grinding corn, and of setting the grape to ferment – all being things that must have been taught them by the gods, since it is not to be conceived how they could discover them for themselves – yet after all this, what man among them would be so absurd as to take the trouble of cultivating a field, which might be stripped of its crop by the first comer, man or beast, that might take a liking to it; and how should each of them resolve to pass his life in wearisome labour, when, the more necessary to him the reward of his labour might be, the surer he would be of not getting it? In a word, how could such a situation induce men to cultivate the earth, till it was regularly parcelled out among them; that is to say, till the state of nature had been abolished?

Were we to suppose savage man as trained in the art of thinking as philosophers make him; were we, like them, to suppose him a very philosopher capable of investigating the sublimest truths, and of forming, by highly abstract chains of reasoning, maxims of reason and justice, deduced from the love of order in general, or the known will of his Creator; in a word, were we to suppose him as intelligent and enlightened, as he must have been, and is in fact found to have been, dull and stupid, what advantage would accrue to the species, from all such metaphysics, which could not be communicated by one to another, but must end with him who made them? What progress could be made by mankind, while dispersed in the woods among other animals? and how far could men improve or mutually enlighten one another, when, having no fixed habitation, and no need of one another's assistance, the same persons hardly met twice in their lives, and perhaps then, without knowing one another or speaking together?

## APPENDIX

A FAMOUS author, reckoning up the good and evil of human life, and comparing the aggregates, finds that our pains greatly exceed our pleasures: so that, all things considered, human life is not at all a valuable gift. This conclusion does not surprise me; for the writer drew all his arguments from man in civilisation. Had he gone back to the state of nature, his inquiries would clearly have had a different result, and man would have been seen to be subject to very few evils not of his own creation. It has indeed cost us not a little trouble to make ourselves as wretched as we are.

When we consider, on the one hand, the immense labours of mankind, the many sciences brought to perfection, the arts invented, the powers employed, the deeps filled up, the mountains levelled, the rocks shattered, the rivers made navigable, the tracts of land cleared, the lakes emptied, the marshes drained, the enormous structures erected on land, and the teeming vessels that cover the sea; and, on the other hand, estimate with ever so little thought, the real advantages that have accrued from all these works to mankind, we cannot help being amazed at the vast disproportion there is between these things, and deploring the infatuation of man, which, to gratify his silly pride and vain self-admiration, induces him eagerly to pursue all the miseries he is capable of feeling, though beneficent nature had kindly placed them out of his way.

That men are actually wicked, a sad and continual experience of them proves beyond doubt: but, all the same, I think I have shown that man is naturally good. What then can have depraved him to such an extent, except the changes that have happened in his constitution, the advances he has made, and the knowledge he has acquired? We may admire human society as much as we please; it will be none the less true that it necessarily leads men to hate each other in proportion as their interests clash, and to do one another apparent services, while they are really doing every imaginable mischief. What can be thought of a relation, in which the interest of every individual dictates rules directly opposite to those the public reason dictates to the community in general – in which every man finds his profit in the misfortunes of his neighbour? There is not perhaps any man in a comfortable position who has not greedy heirs, and perhaps even children, secretly wishing for his death; not a ship at sea, of which the loss would not be good news to some merchant or other; not a house, which some debtor of bad faith would not be glad to see reduced to ashes with all the papers it contains; not a nation which does not rejoice at the disasters that befall its neighbours. Thus it is that we find our advantage in the misfortunes of our fellow-creatures, and that the loss of one man almost always constitutes the prosperity of another. But it is still more pernicious that public calamities are the objects of the hopes and expectations of innumerable individuals. Some desire sickness, some mortality, some war, and some famine. I have seen men wicked enough to weep for sorrow at the prospect of a plentiful season; and the great and fatal fire of London, which cost so many unhappy persons their lives or their fortunes, made the fortunes of perhaps ten thousand others. I know that Montaigne censures Demades the Athenian for having caused to be punished a workman who, by selling his coffins very dear, was a great gainer by the deaths of his fellow-citizens; but, the reason alleged by Montaigne being that everybody ought to be punished, my point is clearly confirmed by it. Let us penetrate, therefore, the superficial appearances of benevolence, and survey what passes in the inmost recesses of the heart. Let us reflect what must be the state of things, when men are forced to caress and destroy one another at the same time; when they are born enemies by duty, and knaves by interest. It will perhaps be said that society is so formed that every man gains by serving the rest. That would be all very well, if he did not gain still more by injuring them. There is no legitimate profit so great, that it cannot be greatly exceeded by what may be made illegitimately; we always gain more by hurting our neighbours than by doing them good. Nothing is required but to know how to act with impunity; and to this end the powerful employ all their strength, and the weak all their cunning. Savage man, when he has dined, is at peace with all nature, and the friend of all his fellow-creatures. If a dispute arises about a meal, he rarely comes to blows, without having first compared the difficulty of conquering his antagonist with the trouble of finding subsistence

elsewhere: and, as pride does not come in, it all ends in a few blows; the victor eats, and the vanquished seeks provision somewhere else, and all is at peace. The case is quite different with man in the state of society, for whom first necessities have to be provided, and then superfluities; delicacies follow next, then immense wealth, then subjects, and then slaves. He enjoys not a moment's relaxation; and what is yet stranger, the less natural and pressing his wants, the more headstrong are his passions, and, still worse, the more he has it in his power to gratify them; so that after a long course of prosperity, after having swallowed up treasures and ruined multitudes, the hero ends up by cutting every throat till he finds himself, at last, sole master of the world. Such is in miniature the moral picture, if not of human life, at least of the secret pretensions of the heart of civilised man.

Compare without partiality the state of the citizen with that of the savage, and trace out, if you can, how many inlets the former has opened to pain and death, besides those of his vices, his wants and his misfortunes. If you reflect on the mental afflictions that prey on us, the violent passions that waste and exhaust us, the excessive labour with which the poor are burdened, the still more dangerous indolence to which the wealthy give themselves up, so that the poor perish of want, and the rich of surfeit; if you reflect but a moment on the heterogeneous mixtures and pernicious seasonings of foods; the corrupt state in which they are frequently eaten; on the adulteration of medicines, the wiles of those who sell them, the mistakes of those who administer them, and the poisonous vessels in which they are prepared; on the epidemics bred by foul air in consequence of great numbers of men being crowded together, or those which are caused by our delicate way of living, by our passing from our houses into the open air and back again, by the putting on or throwing off our clothes with too little care, and by all the precautions which sensuality has converted into necessary habits, and the neglect of which sometimes costs us our life or health; if you take into account the conflagrations and earthquakes, which, devouring or overwhelming whole cities, destroy the inhabitants by thousands; in a word, if you add together all the dangers with which these causes are always threatening us, you will see how dearly nature makes us pay for the contempt with which we have treated her lessons. I shall not here repeat, what I have elsewhere said of the calamities of war; but wish that those, who have sufficient knowledge, were willing or bold enough to make public the details of the villainies committed in armies by the contractors for commissariat and hospitals: we should see plainly that their monstrous frauds, already none too well concealed, which cripple the finest armies in less than no time, occasion greater destruction among the soldiers than the swords of the enemy.

The number of people who perish annually at sea, by famine, the scurvy, pirates, fire and shipwrecks, affords matter for another shocking calculation. We must also place to the credit of the establishment of property, and consequently to the institution of society, assassinations, poisonings, highway robberies, and even the punishments inflicted on the wretches guilty of these crimes; which, though expedient to prevent greater evils, yet by making the murder of one man cost the lives of two or more, double the loss to the human race.

What shameful methods are sometimes practised to prevent the birth of men, and cheat nature; either by brutal and depraved appetites which insult her most beautiful work-appetites unknown to savages or mere animals, which can spring only from the corrupt imagination of mankind in civilised countries; or by secret abortions, the fitting effects of debauchery and vitiated notions of honour; or by the exposure or murder of multitudes of infants, who fall victims to the poverty

of their parents, or the cruel shame of their mothers; or, finally, by the mutilation of unhappy wretches, part of whose life, with their hope of posterity, is given up to vain singing, or, still worse, the brutal jealousy of other men: a mutilation which, in the last case, becomes a double outrage against nature from the treatment of those who suffer it, and from the use to which they are destined. But is it not a thousand times more common and more dangerous for paternal rights openly to offend against humanity? How many talents have not been thrown away, and inclinations forced, by the unwise constraint of fathers? How many men, who would have distinguished themselves in a fitting estate, have died dishonoured and wretched in another for which they had no taste! How many happy, but unequal, marriages have been broken or disturbed, and how many chaste wives have been dishonoured, by an order of things continually in contradiction with that of nature! How many good and virtuous husbands and wives are reciprocally punished for having been ill-assorted! How many young and unhappy victims of their parents' avarice plunge into vice, or pass their melancholy days in tears, groaning in the indissoluble bonds which their hearts repudiate and gold alone has formed! Fortunate sometimes are those whose courage and virtue remove them from life before inhuman violence makes them spend it in crime or in despair. Forgive me, father and mother, whom I shall ever regret: my complaint embitters your griefs; but would they might be an eternal and terrible example to every one who dares, in the name of nature, to violate her most sacred right.

If I have spoken only of those ill-starred unions which are the result of our system, is it to be thought that those over which love and sympathy preside are free from disadvantages? What if I should undertake to show humanity attacked in its very source, and even in the most sacred of all ties, in which fortune is consulted before nature, and, the disorders of society confounding all virtue and vice, continence becomes a criminal precaution, and a refusal to give life to a fellow-creature, an act of humanity? But, without drawing aside the veil which hides all these horrors, let us content ourselves with pointing out the evil which others will have to remedy.

To all this add the multiplicity of unhealthy trades, which shorten men's lives or destroy their bodies, such as working in the mines, and the preparing of metals and minerals, particularly lead, copper, mercury, cobalt, and arsenic: add those other dangerous trades which are daily fatal to many tilers, carpenters, masons and miners: put all these together and we can see, in the establishment and perfection of societies, the reasons for that diminution of our species, which has been noticed by many philosophers.

Luxury, which cannot be prevented among men who are tenacious of their own convenience and of the respect paid them by others, soon completes the evil society had begun, and, under the pretence of giving bread to the poor, whom it should never have made such, impoverishes all the rest, and sooner or later depopulates the State. Luxury is a remedy much worse than the disease it sets up to cure; or rather it is in itself the greatest of all evils, for every State, great or small: for, in order to maintain all the servants and vagabonds it creates, it brings oppression and ruin on the citizen and the labourer; it is like those scorching winds, which, covering the trees and plants with devouring insects, deprive useful animals of their subsistence and spread famine and death wherever they blow.

From society and the luxury to which it gives birth arise the liberal and mechanical arts, commerce, letters, and all those superfluities which make industry flourish, and enrich and ruin nations. The reason for such destruction is plain. It is easy to see, from the very nature of agriculture, that it must be the least lucrative of all the arts; for, its produce being the most

universally necessary, the price must be proportionate to the abilities of the very poorest of mankind.

From the same principle may be deduced this rule, that the arts in general are more lucrative in proportion as they are less useful; and that, in the end, the most useful becomes the most neglected. From this we may learn what to think of the real advantages of industry and the actual effects of its progress.

Such are the sensible causes of all the miseries, into which opulence at length plunges the most celebrated nations. In proportion as arts and industry flourish, the despised husbandman, burdened with the taxes necessary for the support of luxury, and condemned to pass his days between labour and hunger, forsakes his native field, to seek in towns the bread he ought to carry thither. The more our capital cities strike the vulgar eye with admiration, the greater reason is there to lament the sight of the abandoned countryside, the large tracts of land that lie uncultivated, the roads crowded with unfortunate citizens turned beggars or highwaymen, and doomed to end their wretched lives either on a dunghill or on the gallows. Thus the State grows rich on the one hand, and feeble and depopulated on the other; the mightiest monarchies, after having taken immense pains to enrich and depopulate themselves, fall at last a prey to some poor nation, which has yielded to the fatal temptation of invading them, and then, growing opulent and weak in its turn, is itself invaded and ruined by some other.

Let any one inform us what produced the swarms of barbarians, who overran Europe, Asia and Africa for so many ages. Was their prodigious increase due to their industry and arts, to the wisdom of their laws, or to the excellence of their political system? Let the learned tell us why, instead of multiplying to such a degree, these fierce and brutal men, without sense or science, without education, without restraint, did not destroy each other hourly in quarrelling over the productions of their fields and woods. Let them tell us how these wretches could have the presumption to oppose such clever people as we were, so well trained in military discipline, and possessed of such excellent laws and institutions: and why, since society has been brought to perfection in northern countries, and so much pains taken to instruct their inhabitants in their social duties and in the art of living happily and peaceably together, we see them no longer produce such numberless hosts as they used once to send forth to be the plague and terror of other nations. I fear some one may at last answer me by saying, that all these fine things, arts, sciences and laws, were wisely invented by men, as a salutary plague, to prevent the too great multiplication of mankind, lest the world, which was given us for a habitation, should in time be too small for its inhabitants.

What, then, is to be done? Must societies be totally abolished? Must *meum* and *tuum* be annihilated, and must we return again to the forests to live among bears? This is a deduction in the manner of my adversaries, which I would as soon anticipate as let them have the shame of drawing. O you, who have never heard the voice of heaven, who think man destined only to live this little life and die in peace; you, who can resign in the midst of populous cities your fatal acquisitions, your restless spirits, your corrupt hearts and endless desires; resume, since it depends entirely on ourselves, your ancient and primitive innocence: retire to the woods, there to lose the sight and remembrance of the crimes of your contemporaries; and be not apprehensive of degrading your species, by renouncing its advances in order to renounce its vices. As for men like me, whose passions have destroyed their original simplicity, who can no longer subsist on plants or acorns, or live without laws and magistrates; those who were honoured in their first father with

supernatural instructions; those who discover, in the design of giving human actions at the start a morality which they must otherwise have been so long in acquiring, the reason for a precept in itself indifferent and inexplicable on every other system; those, in short, who are persuaded that the Divine Being has called all mankind to be partakers in the happiness and perfection of celestial intelligences, all these will endeavour to merit the eternal prize they are to expect from the practice of those virtues, which they make themselves follow in learning to know them. They will respect the sacred bonds of their respective communities; they will love their fellow-citizens, and serve them with all their might: they will scrupulously obey the laws, and all those who make or administer them; they will particularly honour those wise and good princes, who find means of preventing, curing or even palliating all these evils and abuses, by which we are constantly threatened; they will animate the zeal of their deserving rulers, by showing them, without flattery or fear, the importance of their office and the severity of their duty. But they will not therefore have less contempt for a constitution that cannot support itself without the aid of so many splendid characters, much oftener wished for than found; and from which, notwithstanding all their pains and solicitude, there always arise more real calamities than even apparent advantages.

## 3.3 John Stuart Mill on Happiness

### *About this text*

John Stuart Mill

Finally, we turn to John Stuart Mill. We start with an excerpt from Mill's *Utilitarianism*. Here Mill defends the idea of utilitarianism, which says that we should always make social and political decisions with the goal of maximizing human happiness. What does Mill mean by happiness? Is it the same for everyone? Then we turn to the excerpt from Mill's *On Liberty*. Mill says that he will argue for liberty based solely on ut

ility, without appealing to the idea of rights. See if you can sort out the relationship between rights and utility.

EXCERPTS FROM MILL, *UTILITARIANISM* (SOURCE)

### *CHAPTER II.*

WHAT UTILITARIANISM IS. The creed which accepts as the foundation of morals, Utility, or the Greatest Happiness Principle, holds that actions are right in proportion as they tend to promote happiness, wrong as they tend to produce the reverse of happiness. By happiness is intended pleasure, and the absence of pain; by unhappiness, pain, and the privation of pleasure. To give a clear view of the moral standard set up by the theory, much more requires to be said; in particular, what things it includes in the ideas of pain and pleasure; and to what extent this is left an open question. But these supplementary explanations do not affect the theory of life on which this theory of morality is grounded—namely, that pleasure, and freedom from pain, are the only things desirable as ends; and that all desirable things (which are as numerous in the utilitarian as in any other scheme) are desirable either for the pleasure inherent in themselves, or as means to the promotion of pleasure and the prevention of pain.

Now, such a theory of life excites in many minds, and among them in some of the most estimable in feeling and purpose, inveterate dislike. To suppose that life has (as they express it) no higher end than pleasure—no better and nobler object of desire and pursuit—they designate as utterly mean and grovelling; as a doctrine worthy only of swine, to whom the followers of Epicurus were, at a very early period, contemptuously likened; and modern holders of the doctrine are occasionally made the subject of equally polite comparisons by its German, French, and English assailants.

When thus attacked, the Epicureans have always answered, that it is not they, but their accusers,

who represent human nature in a degrading light; since the accusation supposes human beings to be capable of no pleasures except those of which swine are capable. If this supposition were true, the charge could not be gainsaid, but would then be no longer an imputation; for if the sources of pleasure were precisely the same to human beings and to swine, the rule of life which is good enough for the one would be good enough for the other. The comparison of the Epicurean life to that of beasts is felt as degrading, precisely because a beast's pleasures do not satisfy a human being's conceptions of happiness. Human beings have faculties more elevated than the animal appetites, and when once made conscious of them, do not regard anything as happiness which does not include their gratification. I do not, indeed, consider the Epicureans to have been by any means faultless in drawing out their scheme of consequences from the utilitarian principle. To do this in any sufficient manner, many Stoic, as well as Christian elements require to be included. But there is no known Epicurean theory of life which does not assign to the pleasures of the intellect; of the feelings and imagination, and of the moral sentiments, a much higher value as pleasures than to those of mere sensation. It must be admitted, however, that utilitarian writers in general have placed the superiority of mental over bodily pleasures chiefly in the greater permanency, safety, uncostliness, &c., of the former—that is, in their circumstantial advantages rather than in their intrinsic nature. And on all these points utilitarians have fully proved their case; but they might have taken the other, and, as it may be called, higher ground, with entire consistency. It is quite compatible with the principle of utility to recognise the fact, that some *kinds* of pleasure are more desirable and more valuable than others. It would be absurd that while, in estimating all other things, quality is considered as well as quantity, the estimation of pleasures should be supposed to depend on quantity alone.

If I am asked, what I mean by difference of quality in pleasures, or what makes one pleasure more valuable than another, merely as a pleasure, except its being greater in amount, there is but one possible answer. Of two pleasures, if there be one to which all or almost all who have experience of both give a decided preference, irrespective of any feeling of moral obligation to prefer it, that is the more desirable pleasure. If one of the two is, by those who are competently acquainted with both, placed so far above the other that they prefer it, even though knowing it to be attended with a greater amount of discontent, and would not resign it for any quantity of the other pleasure which their nature is capable of, we are justified in ascribing to the preferred enjoyment a superiority in quality, so far outweighing quantity as to render it, in comparison, of small account.

Now it is an unquestionable fact that those who are equally acquainted with, and equally capable of appreciating and enjoying, both, do give a most marked preference to the manner of existence which employs their higher faculties. Few human creatures would consent to be changed into any of the lower animals, for a promise of the fullest allowance of a beast's pleasures; no intelligent human being would consent to be a fool, no instructed person would be an ignoramus, no person of feeling and conscience would be selfish and base, even though they should be persuaded that the fool, the dunce, or the rascal is better satisfied with his lot than they are with theirs. They would not resign what they possess more than he, for the most complete satisfaction of all the desires which they have in common with him. If they ever fancy they would, it is only in cases of unhappiness so extreme, that to escape from it they would exchange their lot for almost any other, however undesirable in their own eyes. A being of higher faculties requires more to make him happy, is capable probably of more acute suffering, and is certainly accessible to it at more



points, than one of an inferior type; but in spite of these liabilities, he can never really wish to sink into what he feels to be a lower grade of existence. We may give what explanation we please of this unwillingness; we may attribute it to pride, a name which is given indiscriminately to some of the most and to some of the least estimable feelings of which mankind are capable; we may refer it to the love of liberty and personal independence, an appeal to which was with the Stoics one of the most effective means for the inculcation of it; to the love of power, or to the love of excitement, both of which do really enter into and contribute to it: but its most appropriate appellation is a sense of dignity, which all human beings possess in one form or other, and in some, though by no means in exact, proportion to their higher faculties, and which is so essential a part of the happiness of those in whom it is strong, that nothing which conflicts with it could be, otherwise than momentarily, an object of desire to them. Whoever supposes that this preference takes place at a sacrifice of happiness—that the superior being, in anything like equal circumstances, is not happier than the inferior—confounds the two very different ideas, of happiness, and content. It is indisputable that the being whose capacities of enjoyment are low, has the greatest chance of having them fully satisfied; and a highly-endowed being will always feel that any happiness which he can look for, as the world is constituted, is imperfect. But he can learn to bear its imperfections, if they are at all bearable; and they will not make him envy the being who is indeed unconscious of the imperfections, but only because he feels not at all the good which those imperfections qualify. It is better to be a human being dissatisfied than a pig satisfied; better to be Socrates dissatisfied than a fool satisfied. And if the fool, or the pig, is of a different opinion, it is because they only know their own side of the question. The other party to the comparison knows both sides.

It may be objected, that many who are capable of the higher pleasures, occasionally, under the influence of temptation, postpone them to the lower. But this is quite compatible with a full appreciation of the intrinsic superiority of the higher. Men often, from infirmity of character, make their election for the nearer good, though they know it to be the less valuable; and this no less when the choice is between two bodily pleasures, than when it is between bodily and mental. They pursue sensual indulgences to the injury of health, though perfectly aware that health is the greater good. It may be further objected, that many who begin with youthful enthusiasm for everything noble, as they advance in years sink into indolence and selfishness. But I do not believe that those who undergo this very common change, voluntarily choose the lower description of pleasures in preference to the higher. I believe that before they devote themselves exclusively to the one, they have already become incapable of the other. Capacity for the nobler feelings is in most natures a very tender plant, easily killed, not only by hostile influences, but by mere want of sustenance; and in the majority of young persons it speedily dies away if the occupations to which their position in life has devoted them, and the society into which it has thrown them, are not favourable to keeping that higher capacity in exercise. Men lose their high aspirations as they lose their intellectual tastes, because they have not time or opportunity for indulging them; and they addict themselves to inferior pleasures, not because they deliberately prefer them, but because they are either the only ones to which they have access, or the only ones which they are any longer capable of enjoying. It may be questioned whether any one who has remained equally susceptible to both classes of pleasures, ever knowingly and calmly preferred the lower; though many, in all ages, have broken down in an ineffectual attempt to combine both.

From this verdict of the only competent judges, I apprehend there can be no appeal. On a question which is the best worth having of two pleasures, or which of two modes of existence is

the most grateful to the feelings, apart from its moral attributes and from its consequences, the judgment of those who are qualified by knowledge of both, or, if they differ, that of the majority among them, must be admitted as final. And there needs be the less hesitation to accept this judgment respecting the quality of pleasures, since there is no other tribunal to be referred to even on the question of quantity. What means are there of determining which is the acutest of two pains, or the intensest of two pleasurable sensations, except the general suffrage of those who are familiar with both? Neither pains nor pleasures are homogeneous, and pain is always heterogeneous with pleasure. What is there to decide whether a particular pleasure is worth purchasing at the cost of a particular pain, except the feelings and judgment of the experienced? When, therefore, those feelings and judgment declare the pleasures derived from the higher faculties to be preferable *in kind*, apart from the question of intensity, to those of which the animal nature, disjoined from the higher faculties, is susceptible, they are entitled on this subject to the same regard.

I have dwelt on this point, as being a necessary part of a perfectly just conception of Utility or Happiness, considered as the directive rule of human conduct. But it is by no means an indispensable condition to the acceptance of the utilitarian standard; for that standard is not the agent's own greatest happiness, but the greatest amount of happiness altogether; and if it may possibly be doubted whether a noble character is always the happier for its nobleness, there can be no doubt that it makes other people happier, and that the world in general is immensely a gainer by it. Utilitarianism, therefore, could only attain its end by the general cultivation of nobleness of character, even if each individual were only benefited by the nobleness of others, and his own, so far as happiness is concerned, were a sheer deduction from the benefit. But the bare enunciation of such an absurdity as this last, renders refutation superfluous.

According to the Greatest Happiness Principle, as above explained, the ultimate end, with reference to and for the sake of which all other things are desirable (whether we are considering our own good or that of other people), is an existence exempt as far as possible from pain, and as rich as possible in enjoyments, both in point of quantity and quality; the test of quality, and the rule for measuring it against quantity, being the preference felt by those who, in their opportunities of experience, to which must be added their habits of self-consciousness and self-observation, are best furnished with the means of comparison. This, being, according to the utilitarian opinion, the end of human action, is necessarily also the standard of morality; which may accordingly be defined, the rules and precepts for human conduct, by the observance of which an existence such as has been described might be, to the greatest extent possible, secured to all mankind; and not to them only, but, so far as the nature of things admits, to the whole sentient creation ...

Though it is only in a very imperfect state of the world's arrangements that any one can best serve the happiness of others by the absolute sacrifice of his own, yet so long as the world is in that imperfect state, I fully acknowledge that the readiness to make such a sacrifice is the highest virtue which can be found in man. I will add, that in this condition of the world, paradoxical as the assertion may be, the conscious ability to do without happiness gives the best prospect of realizing such happiness as is attainable. For nothing except that consciousness can raise a person above the chances of life, by making him feel that, let fate and fortune do their worst, they have not power to subdue him: which, once felt, frees him from excess of anxiety concerning the evils of life, and enables him, like many a Stoic in the worst times of the Roman Empire, to cultivate

in tranquillity the sources of satisfaction accessible to him, without concerning himself about the uncertainty of their duration, any more than about their inevitable end.

Meanwhile, let utilitarians never cease to claim the morality of self-devotion as a possession which belongs by as good a right to them, as either to the Stoic or to the Transcendentalist. The utilitarian morality does recognise in human beings the power of sacrificing their own greatest good for the good of others. It only refuses to admit that the sacrifice is itself a good. A sacrifice which does not increase, or tend to increase, the sum total of happiness, it considers as wasted. The only self-renunciation which it applauds, is devotion to the happiness, or to some of the means of happiness, of others; either of mankind collectively, or of individuals within the limits imposed by the collective interests of mankind.

I must again repeat, what the assailants of utilitarianism seldom have the justice to acknowledge, that the happiness which forms the utilitarian standard of what is right in conduct, is not the agent's own happiness, but that of all concerned. As between his own happiness and that of others, utilitarianism requires him to be as strictly impartial as a disinterested and benevolent spectator ...

### CHAPTER III.

#### OF THE ULTIMATE SANCTION OF THE PRINCIPLE OF UTILITY.

The question is often asked, and properly so, in regard to any supposed moral standard—What is its sanction? what are the motives to obey it? or more specifically, what is the source of its obligation? whence does it derive its binding force? It is a necessary part of moral philosophy to provide the answer to this question; which, though frequently assuming the shape of an objection to the utilitarian morality, as if it had some special applicability to that above others, really arises in regard to all standards. It arises, in fact, whenever a person is called on to adopt a standard or refer morality to any basis on which he has not been accustomed to rest it. For the customary morality, that which education and opinion have consecrated, is the only one which presents itself to the mind with the feeling of being *in itself* obligatory; and when a person is asked to believe that this morality *derives* its obligation from some general principle round which custom has not thrown the same halo, the assertion is to him a paradox; the supposed corollaries seem to have a more binding force than the original theorem; the superstructure seems to stand better without, than with, what is represented as its foundation. He says to himself, I feel that I am bound not to rob or murder, betray or deceive; but why am I bound to promote the general happiness? If my own happiness lies in something else, why may I not give that the preference?

If the view adopted by the utilitarian philosophy of the nature of the moral sense be correct, this difficulty will always present itself, until the influences which form moral character have taken the same hold of the principle which they have taken of some of the consequences—until, by the improvement of education, the feeling of unity with our fellow creatures shall be (what it cannot be doubted that Christ intended it to be) as deeply rooted in our character, and to our own consciousness as completely a part of our nature, as the horror of crime is in an ordinarily well-brought-up young person. In the mean time, however, the difficulty has no peculiar application to the doctrine of utility, but is inherent in every attempt to analyse morality and reduce it to

principles; which, unless the principle is already in men's minds invested with as much sacredness as any of its applications, always seems to divest them of a part of their sanctity.

The principle of utility either has, or there is no reason why it might not have, all the sanctions which belong to any other system of morals. Those sanctions are either external or internal. Of the external sanctions it is not necessary to speak at any length. They are, the hope of favour and the fear of displeasure from our fellow creatures or from the Ruler of the Universe, along with whatever we may have of sympathy or affection for them or of love and awe of Him, inclining us to do His will independently of selfish consequences. There is evidently no reason why all these motives for observance should not attach themselves to the utilitarian morality, as completely and as powerfully as to any other. Indeed, those of them which refer to our fellow creatures are sure to do so, in proportion to the amount of general intelligence; for whether there be any other ground of moral obligation than the general happiness or not, men do desire happiness; and however imperfect may be their own practice, they desire and commend all conduct in others towards themselves, by which they think their happiness is promoted. With regard to the religious motive, if men believe, as most profess to do, in the goodness of God, those who think that conduciveness to the general happiness is the essence, or even only the criterion, of good, must necessarily believe that it is also that which God approves. The whole force therefore of external reward and punishment, whether physical or moral, and whether proceeding from God or from our fellow men, together with all that the capacities of human nature admit, of disinterested devotion to either, become available to enforce the utilitarian morality, in proportion as that morality is recognized; and the more powerfully, the more the appliances of education and general cultivation are bent to the purpose.

So far as to external sanctions. The internal sanction of duty, whatever our standard of duty may be, is one and the same—a feeling in our own mind; a pain, more or less intense, attendant on violation of duty, which in properly cultivated moral natures rises, in the more serious cases, into shrinking from it as an impossibility. This feeling, when disinterested, and connecting itself with the pure idea of duty, and not with some particular form of it, or with any of the merely accessory circumstances, is the essence of Conscience; though in that complex phenomenon as it actually exists, the simple fact is in general all encrusted over with collateral associations, derived from sympathy, from love, and still more from fear; from all the forms of religious feeling; from the recollections of childhood and of all our past life; from self-esteem, desire of the esteem of others, and occasionally even self-abasement. This extreme complication is, I apprehend, the origin of the sort of mystical character which, by a tendency of the human mind of which there are many other examples, is apt to be attributed to the idea of moral obligation, and which leads people to believe that the idea cannot possibly attach itself to any other objects than those which, by a supposed mysterious law, are found in our present experience to excite it. Its binding force, however, consists in the existence of a mass of feeling which must be broken through in order to do what violates our standard of right, and which, if we do nevertheless violate that standard, will probably have to be encountered afterwards in the form of remorse. Whatever theory we have of the nature or origin of conscience, this is what essentially constitutes it.

The ultimate sanction, therefore, of all morality (external motives apart) being a subjective feeling in our own minds, I see nothing embarrassing to those whose standard is utility, in the question, what is the sanction of that particular standard? We may answer, the same as of all other moral standards—the conscientious feelings of mankind. Undoubtedly this sanction has no binding

efficacy on those who do not possess the feelings it appeals to; but neither will these persons be more obedient to any other moral principle than to the utilitarian one. On them morality of any kind has no hold but through the external sanctions. Meanwhile the feelings exist, a fact in human nature, the reality of which, and the great power with which they are capable of acting on those in whom they have been duly cultivated, are proved by experience. No reason has ever been shown why they may not be cultivated to as great intensity in connection with the utilitarian, as with any other rule of morals ...

## CHAPTER V.

ON THE CONNEXION BETWEEN JUSTICE AND UTILITY. In all ages of speculation, one of the strongest obstacles to the reception of the doctrine that Utility or Happiness is the criterion of right and wrong, has been drawn from the idea of Justice, The powerful sentiment, and apparently clear perception, which that word recalls with a rapidity and certainty resembling an instinct, have seemed to the majority of thinkers to point to an inherent quality in things; to show that the Just must have an existence in Nature as something absolute—generically distinct from every variety of the Expedient, and, in idea, opposed to it, though (as is commonly acknowledged) never, in the long run, disjoined from it in fact.

In the case of this, as of our other moral sentiments, there is no necessary connexion between the question of its origin, and that of its binding force. That a feeling is bestowed on us by Nature, does not necessarily legitimate all its promptings. The feeling of justice might be a peculiar instinct, and might yet require, like our other instincts, to be controlled and enlightened by a higher reason. If we have intellectual instincts, leading us to judge in a particular way, as well as animal instincts that prompt us to act in a particular way, there is no necessity that the former should be more infallible in their sphere than the latter in theirs: it may as well happen that wrong judgments are occasionally suggested by those, as wrong actions by these. But though it is one thing to believe that we have natural feelings of justice, and another to acknowledge them as an ultimate criterion of conduct, these two opinions are very closely connected in point of fact. Mankind are always predisposed to believe that any subjective feeling, not otherwise accounted for, is a revelation of some objective reality. Our present object is to determine whether the reality, to which the feeling of justice corresponds, is one which needs any such special revelation; whether the justice or injustice of an action is a thing intrinsically peculiar, and distinct from all its other qualities, or only a combination of certain of those qualities, presented under a peculiar aspect. For the purpose of this inquiry, it is practically important to consider whether the feeling itself, of justice and injustice, is *sui generis* like our sensations of colour and taste, or a derivative feeling, formed by a combination of others. And this it is the more essential to examine, as people are in general willing enough to allow, that objectively the dictates of justice coincide with a part of the field of General Expediency; but inasmuch as the subjective mental feeling of Justice is different from that which commonly attaches to simple expediency, and, except in extreme cases of the latter, is far more imperative in its demands, people find it difficult to see, in Justice, only a particular kind or branch of general utility, and think that its superior binding force requires a totally different origin.

To throw light upon this question, it is necessary to attempt to ascertain what is the

distinguishing character of justice, or of injustice: what is the quality, or whether there is any quality, attributed in common to all modes of conduct designated as unjust (for justice, like many other moral attributes, is best defined by its opposite), and distinguishing them from such modes of conduct as are disapproved, but without having that particular epithet of disapprobation applied to them. If, in everything which men are accustomed to characterize as just or unjust, some one common attribute or collection of attributes is always present, we may judge whether this particular attribute or combination of attributes would be capable of gathering round it a sentiment of that peculiar character and intensity by virtue of the general laws of our emotional constitution, or whether the sentiment is inexplicable, and requires to be regarded as a special provision of Nature. If we find the former to be the case, we shall, in resolving this question, have resolved also the main problem: if the latter, we shall have to seek for some other mode of investigating it.

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To find the common attributes of a variety of objects, it is necessary to begin, by surveying the objects themselves in the concrete. Let us therefore advert successively to the various modes of action, and arrangements of human affairs, which are classed, by universal or widely spread opinion, as Just or as Unjust. The things well known to excite the sentiments associated with those names, are of a very multifarious character. I shall pass them rapidly in review, without studying any particular arrangement.

In the first place, it is mostly considered unjust to deprive any one of his personal liberty, his property, or any other thing which belongs to him by law. Here, therefore, is one instance of the application of the terms just and unjust in a perfectly definite sense, namely, that it is just to respect, unjust to violate, the *legal rights* of any one. But this judgment admits of several exceptions, arising from the other forms in which the notions of justice and injustice present themselves. For example, the person who suffers the deprivation may (as the phrase is) have *forfeited* the rights which he is so deprived of: a case to which we shall return presently. But also,

Secondly; the legal rights of which he is deprived, may be rights which *ought* not to have belonged to him; in other words, the law which confers on him these rights, may be a bad law. When it is so, or when (which is the same thing for our purpose) it is supposed to be so, opinions will differ as to the justice or injustice of infringing it. Some maintain that no law, however bad, ought to be disobeyed by an individual citizen; that his opposition to it, if shown at all, should only be shown in endeavouring to get it altered by competent authority. This opinion (which condemns many of the most illustrious benefactors of mankind, and would often protect pernicious institutions against the only weapons which, in the state of things existing at the time, have any chance of succeeding against them) is defended, by those who hold it, on grounds of expediency; principally on that of the importance, to the common interest of mankind, of maintaining inviolate the sentiment of submission to law. Other persons, again, hold the directly contrary opinion, that any law, judged to be bad, may blamelessly be disobeyed, even though it be not judged to be unjust, but only inexpedient; while others would confine the licence of disobedience to the case of unjust laws: but again, some say, that all laws which are inexpedient are unjust; since every law imposes some restriction on the natural liberty of mankind, which

restriction is an injustice, unless legitimated by tending to their good. Among these diversities of opinion, it seems to be universally admitted that there may be unjust laws, and that law, consequently, is not the ultimate criterion of justice, but may give to one person a benefit, or impose on another an evil, which justice condemns. When, however, a law is thought to be unjust, it seems always to be regarded as being so in the same way in which a breach of law is unjust, namely, by infringing somebody's right; which, as it cannot in this case be a legal right, receives a different appellation, and is called a moral right. We may say, therefore, that a second case of injustice consists in taking or withholding from any person that to which he has a *moral right*.

Thirdly, it is universally considered just that each person should obtain that (whether good or evil) which he *deserves*; and unjust that he should obtain a good, or be made to undergo an evil, which he does not deserve. This is, perhaps, the clearest and most emphatic form in which the idea of justice is conceived by the general mind. As it involves the notion of desert, the question arises, what constitutes desert? Speaking in a general way, a person is understood to deserve good if he does right, evil if he does wrong; and in a more particular sense, to deserve good from those to whom he does or has done good, and evil from those to whom he does or has done evil. The precept of returning good for evil has never been regarded as a case of the fulfilment of justice, but as one in which the claims of justice are waived, in obedience to other considerations.

Fourthly, it is confessedly unjust to *break faith* with any one: to violate an engagement, either express or implied, or disappoint expectations raised by our own conduct, at least if we have raised those expectations knowingly and voluntarily. Like the other obligations of justice already spoken of, this one is not regarded as absolute, but as capable of being overruled by a stronger obligation of justice on the other side; or by such conduct on the part of the person concerned as is deemed to absolve us from our obligation to him, and to constitute a *forfeiture* of the benefit which he has been led to expect.

Fifthly, it is, by universal admission, inconsistent with justice to be *partial*; to show favour or preference to one person over another, in matters to which favour and preference do not properly apply. Impartiality, however, does not seem to be regarded as a duty in itself, but rather as instrumental to some other duty; for it is admitted that favour and preference are not always censurable, and indeed the cases in which they are condemned are rather the exception than the rule. A person would be more likely to be blamed than applauded for giving his family or friends no superiority in good offices over strangers, when he could do so without violating any other duty; and no one thinks it unjust to seek one person in preference to another as a friend, connexion, or companion. Impartiality where rights are concerned is of course obligatory, but this is involved in the more general obligation of giving to every one his right. A tribunal, for example, must be impartial, because it is bound to award, without regard to any other consideration, a disputed object to the one of two parties who has the right to it. There are other cases in which impartiality means, being solely influenced by desert; as with those who, in the capacity of judges, preceptors, or parents, administer reward and punishment as such. There are cases, again, in which it means, being solely influenced by consideration for the public interest; as in making a selection among candidates for a Government employment. Impartiality, in short, as an obligation of justice, may be said to mean, being exclusively influenced by the considerations which it is supposed ought to influence the particular case in hand; and resisting the solicitation of any motives which prompt to conduct different from what those considerations would dictate.

Nearly allied to the idea of impartiality, is that of *equality*; which often enters as a component

part both into the conception of justice and into the practice of it, and, in the eyes of many persons, constitutes its essence. But in this, still more than in any other case, the notion of justice varies in different persons, and always conforms in its variations to their notion of utility. Each person maintains that equality is the dictate of justice, except where he thinks that expediency requires inequality. The justice of giving equal protection to the rights of all, is maintained by those who support the most outrageous inequality in the rights themselves. Even in slave countries it is theoretically admitted that the rights of the slave, such as they are, ought to be as sacred as those of the master; and that a tribunal which fails to enforce them with equal strictness is wanting in justice; while, at the same time, institutions which leave to the slave scarcely any rights to enforce, are not deemed unjust, because they are not deemed inexpedient. Those who think that utility requires distinctions of rank, do not consider it unjust that riches and social privileges should be unequally dispensed; but those who think this inequality inexpedient, think it unjust also. Whoever thinks that government is necessary, sees no injustice in as much inequality as is constituted by giving to the magistrate powers not granted to other people. Even among those who hold levelling doctrines, there are as many questions of justice as there are differences of opinion about expediency. Some Communists consider it unjust that the produce of the labour of the community should be shared on any other principle than that of exact equality; others think it just that those should receive most whose needs are greatest; while others hold that those who work harder, or who produce more, or whose services are more valuable to the community, may justly claim a larger quota in the division of the produce. And the sense of natural justice may be plausibly appealed to in behalf of every one of these opinions.

Among so many diverse applications of the term Justice, which yet is not regarded as ambiguous, it is a matter of some difficulty to seize the mental link which holds them together, and on which the moral sentiment adhering to the term essentially depends ...

We do not call anything wrong, unless we mean to imply that a person ought to be punished in some way or other for doing it; if not by law, by the opinion of his fellow creatures; if not by opinion, by the reproaches of his own conscience. This seems the real turning point of the distinction between morality and simple expediency. It is a part of the notion of Duty in every one of its forms, that a person may rightfully be compelled to fulfil it. Duty is a thing which may be *exacted* from a person, as one exacts a debt. Unless we think that it might be exacted from him, we do not call it his duty. Reasons of prudence, or the interest of other people, may militate against actually exacting it; but the person himself, it is clearly understood, would not be entitled to complain. There are other things, on the contrary, which we wish that people should do, which we like or admire them for doing, perhaps dislike or despise them for not doing, but yet admit that they are not bound to do; it is not a case of moral obligation; we do not blame them, that is, we do not think that they are proper objects of punishment. How we come by these ideas of deserving and not deserving punishment, will appear, perhaps, in the sequel; but I think there is no doubt that this distinction lies at the bottom of the notions of right and wrong; that we call any conduct wrong, or employ instead, some other term of dislike or disparagement, according as we think that the person ought, or ought not, to be punished for it; and we say that it would be right to do so and so, or merely that it would be desirable or laudable, according as we would wish to see the person whom it concerns, compelled or only persuaded and exhorted, to act in that manner.<sup>[C]</sup>

This, therefore, being the characteristic difference which marks off, not justice, but morality in general, from the remaining provinces of Expediency and Worthiness; the character is still



to be sought which distinguishes justice from other branches of morality. Now it is known that ethical writers divide moral duties into two classes, denoted by the ill-chosen expressions, duties of perfect and of imperfect obligation; the latter being those in which, though the act is obligatory, the particular occasions of performing it are left to our choice; as in the case of charity or beneficence, which we are indeed bound to practise, but not towards any definite person, nor at any prescribed time. In the more precise language of philosophic jurists, duties of perfect obligation are those duties in virtue of which a correlative right resides in some person or persons; duties of imperfect obligation are those moral obligations which do not give birth to any right. I think it will be found that this distinction exactly coincides with that which exists between justice and the other obligations of morality. In our survey of the various popular acceptations of justice, the term appeared generally to involve the idea of a personal right—a claim on the part of one or more individuals, like that which the law gives when it confers a proprietary or other legal right. Whether the injustice consists in depriving a person of a possession, or in breaking faith with him, or in treating him worse than he deserves, or worse than other people who have no greater claims, in each case the supposition implies two things—a wrong done, and some assignable person who is wronged. Injustice may also be done by treating a person better than others; but the wrong in this case is to his competitors, who are also assignable persons. It seems to me that this feature in the case—a right in some person, correlative to the moral obligation—constitutes the specific difference between justice, and generosity or beneficence. Justice implies something which it is not only right to do, and wrong not to do, but which some individual person can claim from us as his moral right. No one has a moral right to our generosity or beneficence, because we are not morally bound to practise those virtues towards any given individual. And it will be found, with respect to this as with respect to every correct definition, that the instances which seem to conflict with it are those which most confirm it. For if a moralist attempts, as some have done, to make out that mankind generally, though not any given individual, have a right to all the good we can do them, he at once, by that thesis, includes generosity and beneficence within the category of justice. He is obliged to say, that our utmost exertions are due to our fellow creatures, thus assimilating them to a debt; or that nothing less can be a sufficient *return* for what society does for us, thus classing the case as one of gratitude; both of which are acknowledged cases of justice. Wherever there is a right, the case is one of justice, and not of the virtue of beneficence: and whoever does not place the distinction between justice and morality in general where we have now placed it, will be found to make no distinction between them at all, but to merge all morality in justice.

Having thus endeavoured to determine the distinctive elements which enter into the composition of the idea of justice, we are ready to enter on the inquiry, whether the feeling, which accompanies the idea, is attached to it by a special dispensation of nature, or whether it could have grown up, by any known laws, out of the idea itself; and in particular, whether it can have originated in considerations of general expediency.

I conceive that the sentiment itself does not arise from anything which would commonly, or correctly, be termed an idea of expediency; but that, though the sentiment does not, whatever is moral in it does.

We have seen that the two essential ingredients in the sentiment of justice are, the desire to punish a person who has done harm, and the knowledge or belief that there is some definite individual or individuals to whom harm has been done.

Now it appears to me, that the desire to punish a person who has done harm to some individual, is a spontaneous outgrowth from two sentiments, both in the highest degree natural, and which either are or resemble instincts; the impulse of self-defence, and the feeling of sympathy.

It is natural to resent, and to repel or retaliate, any harm done or attempted against ourselves, or against those with whom we sympathize. The origin of this sentiment it is not necessary here to discuss. Whether it be an instinct or a result of intelligence, it is, we know, common to all animal nature; for every animal tries to hurt those who have hurt, or who it thinks are about to hurt, itself or its young. Human beings, on this point, only differ from other animals in two particulars. First, in being capable of sympathizing, not solely with their offspring, or, like some of the more noble animals, with some superior animal who is kind to them, but with all human, and even with all sentient beings. Secondly, in having a more developed intelligence, which gives a wider range to the whole of their sentiments, whether self-regarding or sympathetic. By virtue of his superior intelligence, even apart from his superior range of sympathy, a human being is capable of apprehending a community of interest between himself and the human society of which he forms a part, such that any conduct which threatens the security of the society generally, is threatening to his own, and calls forth his instinct (if instinct it be) of self-defence. The same superiority of intelligence, joined to the power of sympathizing with human beings generally, enables him to attach himself to the collective idea of his tribe, his country, or mankind, in such a manner that any act hurtful to them rouses his instinct of sympathy, and urges him to resistance.

The sentiment of justice, in that one of its elements which consists of the desire to punish, is thus, I conceive, the natural feeling of retaliation or vengeance, rendered by intellect and sympathy applicable to those injuries, that is, to those hurts, which wound us through, or in common with, society at large. This sentiment, in itself, has nothing moral in it; what is moral is, the exclusive subordination of it to the social sympathies, so as to wait on and obey their call. For the natural feeling tends to make us resent indiscriminately whatever any one does that is disagreeable to us; but when moralized by the social feeling, it only acts in the directions conformable to the general good; just persons resenting a hurt to society, though not otherwise a hurt to themselves, and not resenting a hurt to themselves, however painful, unless it be of the kind which society has a common interest with them in the repression of.

It is no objection against this doctrine to say, that when we feel our sentiment of justice outraged, we are not thinking of society at large, or of any collective interest, but only of the individual case. It is common enough certainly, though the reverse of commendable, to feel resentment merely because we have suffered pain; but a person whose resentment is really a moral feeling, that is, who considers whether an act is blameable before he allows himself to resent it—such a person, though he may not say expressly to himself that he is standing up for the interest of society, certainly does feel that he is asserting a rule which is for the benefit of others as well as for his own. If he is not feeling this—if he is regarding the act solely as it affects him individually—he is not consciously just; he is not concerning himself about the justice of his actions. This is admitted even by anti-utilitarian moralists. When Kant (as before remarked) propounds as the fundamental principle of morals, ‘So act, that thy rule of conduct might be adopted as a law by all rational beings,’ he virtually acknowledges that the interest of mankind collectively, or at least of mankind indiscriminately, must be in the mind of the agent when conscientiously deciding on the morality of the act. Otherwise he uses words without a meaning: for, that a rule even of utter selfishness could not *possibly* be adopted by all rational beings—that there is any insuperable

obstacle in the nature of things to its adoption—cannot be even plausibly maintained. To give any meaning to Kant's principle, the sense put upon it must be, that we ought to shape our conduct by a rule which all rational beings might adopt *with benefit to their collective interest*.

To recapitulate: the idea of justice supposes two things; a rule of conduct, and a sentiment which sanctions the rule. The first must be supposed common to all mankind, and intended for their good. The other (the sentiment) is a desire that punishment may be suffered by those who infringe the rule. There is involved, in addition, the conception of some definite person who suffers by the infringement; whose rights (to use the expression appropriated to the case) are violated by it. And the sentiment of justice appears to me to be, the animal desire to repel or retaliate a hurt or damage to oneself, or to those with whom one sympathizes, widened so as to include all persons, by the human capacity of enlarged sympathy, and the human conception of intelligent self-interest. From the latter elements, the feeling derives its morality; from the former, its peculiar impressiveness, and energy of self-assertion.

I have, throughout, treated the idea of a *right* residing in the injured person, and violated by the injury, not as a separate element in the composition of the idea and sentiment, but as one of the forms in which the other two elements clothe themselves. These elements are, a hurt to some assignable person or persons on the one hand, and a demand for punishment on the other. An examination of our own minds, I think, will show, that these two things include all that we mean when we speak of violation of a right. When we call anything a person's right, we mean that he has a valid claim on society to protect him in the possession of it, either by the force of law, or by that of education and opinion. If he has what we consider a sufficient claim, on whatever account, to have something guaranteed to him by society, we say that he has a right to it. If we desire to prove that anything does not belong to him by right, we think this done as soon as it is admitted that society ought not to take measures for securing it to him, but should leave it to chance, or to his own exertions. Thus, a person is said to have a right to what he can earn in fair professional competition; because society ought not to allow any other person to hinder him from endeavouring to earn in that manner as much as he can. But he has not a right to three hundred a-year, though he may happen to be earning it; because society is not called on to provide that he shall earn that sum. On the contrary, if he owns ten thousand pounds three per cent. stock, he *has* a right to three hundred a-year; because society has come under an obligation to provide him with an income of that amount.

To have a right, then, is, I conceive, to have something which society ought to defend me in the possession of. If the objector goes on to ask why it ought, I can give him no other reason than general utility ...

It appears from what has been said, that justice is a name for certain moral requirements, which, regarded collectively, stand higher in the scale of social utility, and are therefore of more paramount obligation, than any others; though particular cases may occur in which some other social duty is so important, as to overrule any one of the general maxims of justice. Thus, to save a life, it may not only be allowable, but a duty, to steal, or take by force, the necessary food or medicine, or to kidnap, and compel to officiate, the only qualified medical practitioner. In such cases, as we do not call anything justice which is not a virtue, we usually say, not that justice must give way to some other moral principle, but that what is just in ordinary cases is, by reason of that other principle, not just in the particular case. By this useful accommodation of language, the

character of indefeasibility attributed to justice is kept up, and we are saved from the necessity of maintaining that there can be laudable injustice.

The considerations which have now been adduced resolve, I conceive, the only real difficulty in the utilitarian theory of morals. It has always been evident that all cases of justice are also cases of expediency: the difference is in the peculiar sentiment which attaches to the former, as contradistinguished from the latter. If this characteristic sentiment has been sufficiently accounted for; if there is no necessity to assume for it any peculiarity of origin; if it is simply the natural feeling of resentment, moralized by being made coextensive with the demands of social good; and if this feeling not only does but ought to exist in all the classes of cases to which the idea of justice corresponds; that idea no longer presents itself as a stumbling-block to the utilitarian ethics. Justice remains the appropriate name for certain social utilities which are vastly more important, and therefore more absolute and imperative, than any others are as a class (though not more so than others may be in particular cases); and which, therefore, ought to be, as well as naturally are, guarded by a sentiment not only different in degree, but also in kind; distinguished from the milder feeling which attaches to the mere idea of promoting human pleasure or convenience, at once by the more definite nature of its commands, and by the sterner character of its sanctions.

#### EXCERPTS FROM MILL, *ON LIBERTY* (SOURCE)

The object of this Essay is to assert one very simple principle, as entitled to govern absolutely the dealings of society with the individual in the way of compulsion and control, whether the means used be physical force in the form of legal penalties, or the moral coercion of public opinion. That principle is, that the sole end for which mankind are warranted, individually or collectively, in interfering with the liberty of action of any of their number, is self-protection. That the only purpose for which power can be rightfully exercised over any member of a civilised community, against his will, is to prevent harm to others. His own good, either physical or moral, is not a sufficient warrant. He cannot rightfully be compelled to do or forbear because it will be better for him to do so, because it will make him happier, because, in the opinions of others, to do so would be wise, or even right. These are good reasons for remonstrating with him, or reasoning with him, or persuading him, or entreating him, but not for compelling him, or visiting him with [Pg 18] any evil in case he do otherwise. To justify that, the conduct from which it is desired to deter him must be calculated to produce evil to some one else. The only part of the conduct of any one, for which he is amenable to society, is that which concerns others. In the part which merely concerns himself, his independence is, of right, absolute. Over himself, over his own body and mind, the individual is sovereign.

It is, perhaps, hardly necessary to say that this doctrine is meant to apply only to human beings in the maturity of their faculties. We are not speaking of children, or of young persons below the age which the law may fix as that of manhood or womanhood. Those who are still in a state to require being taken care of by others, must be protected against their own actions as well as against external injury. For the same reason, we may leave out of consideration those backward states of society in which the race itself may be considered as in its nonage. The early difficulties

in the way of spontaneous progress are so great, that there is seldom any choice of means for overcoming them; and a ruler full of the spirit of improvement is warranted in the use of any expedients that will attain an end, perhaps otherwise unattainable. Despotism is a legitimate[Pg 19] mode of government in dealing with barbarians, provided the end be their improvement, and the means justified by actually effecting that end. Liberty, as a principle, has no application to any state of things anterior to the time when mankind have become capable of being improved by free and equal discussion. Until then, there is nothing for them but implicit obedience to an Akbar or a Charlemagne, if they are so fortunate as to find one. But as soon as mankind have attained the capacity of being guided to their own improvement by conviction or persuasion (a period long since reached in all nations with whom we need here concern ourselves), compulsion, either in the direct form or in that of pains and penalties for non-compliance, is no longer admissible as a means to their own good, and justifiable only for the security of others.

It is proper to state that I forego any advantage which could be derived to my argument from the idea of abstract right, as a thing independent of utility. I regard utility as the ultimate appeal on all ethical questions; but it must be utility in the largest sense, grounded on the permanent interests of man as a progressive being. Those interests, I contend, authorise the subjection of individual spontaneity to external control, only in respect to[Pg 20]those actions of each, which concern the interest of other people. If any one does an act hurtful to others, there is a *prima facie* case for punishing him, by law, or, where legal penalties are not safely applicable, by general disapprobation. There are also many positive acts for the benefit of others, which he may rightfully be compelled to perform; such as, to give evidence in a court of justice; to bear his fair share in the common defence, or in any other joint work necessary to the interest of the society of which he enjoys the protection; and to perform certain acts of individual beneficence, such as saving a fellow-creature's life, or interposing to protect the defenceless against ill-usage, things which whenever it is obviously a man's duty to do, he may rightfully be made responsible to society for not doing. A person may cause evil to others not only by his actions but by his inaction, and in either case he is justly accountable to them for the injury. The latter case, it is true, requires a much more cautious exercise of compulsion than the former. To make any one answerable for doing evil to others, is the rule; to make him answerable for not preventing evil, is, comparatively speaking, the exception. Yet there are many cases clear enough and grave enough to justify that exception. In all things which regard[Pg 21] the external relations of the individual, he is *de jure* amenable to those whose interests are concerned, and if need be, to society as their protector. There are often good reasons for not holding him to the responsibility; but these reasons must arise from the special expediencies of the case: either because it is a kind of case in which he is on the whole likely to act better, when left to his own discretion, than when controlled in any way in which society have it in their power to control him; or because the attempt to exercise control would produce other evils, greater than those which it would prevent. When such reasons as these preclude the enforcement of responsibility, the conscience of the agent himself should step into the vacant judgment seat, and protect those interests of others which have no external protection; judging himself all the more rigidly, because the case does not admit of his being made accountable to the judgment of his fellow-creatures.

But there is a sphere of action in which society, as distinguished from the individual, has, if any, only an indirect interest; comprehending all that portion of a person's life and conduct which affects only himself, or if it also affects others, only with their free, voluntary, and undeceived

consent and[Pg 22] participation. When I say only himself, I mean directly, and in the first instance: for whatever affects himself, may affect others *through* himself; and the objection which may be grounded on this contingency, will receive consideration in the sequel. This, then, is the appropriate region of human liberty. It comprises, first, the inward domain of consciousness; demanding liberty of conscience, in the most comprehensive sense; liberty of thought and feeling; absolute freedom of opinion and sentiment on all subjects, practical or speculative, scientific, moral, or theological. The liberty of expressing and publishing opinions may seem to fall under a different principle, since it belongs to that part of the conduct of an individual which concerns other people; but, being almost of as much importance as the liberty of thought itself, and resting in great part on the same reasons, is practically inseparable from it. Secondly, the principle requires liberty of tastes and pursuits; of framing the plan of our life to suit our own character; of doing as we like, subject to such consequences as may follow: without impediment from our fellow-creatures, so long as what we do does not harm them, even though they should think our conduct foolish, perverse, or wrong. Thirdly, from this liberty of[Pg 23] each individual, follows the liberty, within the same limits, of combination among individuals; freedom to unite, for any purpose not involving harm to others: the persons combining being supposed to be of full age, and not forced or deceived.

No society in which these liberties are not, on the whole, respected, is free, whatever may be its form of government; and none is completely free in which they do not exist absolute and unqualified. The only freedom which deserves the name, is that of pursuing our own good in our own way, so long as we do not attempt to deprive others of theirs, or impede their efforts to obtain it. Each is the proper guardian of his own health, whether bodily, or mental and spiritual. Mankind are greater gainers by suffering each other to live as seems good to themselves, than by compelling each to live as seems good to the rest ...

The object of this Essay is to assert one very simple principle, as entitled to govern absolutely the dealings of society with the individual in the way of compulsion and control, whether the means used be physical force in the form of legal penalties, or the moral coercion of public opinion. That principle is, that the sole end for which mankind are warranted, individually or collectively, in interfering with the liberty of action of any of their number, is self-protection. That the only purpose for which power can be rightfully exercised over any member of a civilised community, against his will, is to prevent harm to others. His own good, either physical or moral, is not a sufficient warrant. He cannot rightfully be compelled to do or forbear because it will be better for him to do so, because it will make him happier, because, in the opinions of others, to do so would be wise, or even right. These are good reasons for remonstrating with him, or reasoning with him, or persuading him, or entreating him, but not for compelling him, or visiting him with[Pg 18] any evil in case he do otherwise. To justify that, the conduct from which it is desired to deter him must be calculated to produce evil to some one else. The only part of the conduct of any one, for which he is amenable to society, is that which concerns others. In the part which merely concerns himself, his independence is, of right, absolute. Over himself, over his own body and mind, the individual is sovereign.

It is, perhaps, hardly necessary to say that this doctrine is meant to apply only to human beings in the maturity of their faculties. We are not speaking of children, or of young persons below the age which the law may fix as that of manhood or womanhood. Those who are still in a state to require being taken care of by others, must be protected against their own actions as well as

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any, only an indirect interest; comprehending all that portion of a person's life and conduct which affects only himself, or if it also affects others, only with their free, voluntary, and undeceived consent and[Pg 22] participation. When I say only himself, I mean directly, and in the first instance: for whatever affects himself, may affect others *through* himself; and the objection which may be grounded on this contingency, will receive consideration in the sequel. This, then, is the appropriate region of human liberty. It comprises, first, the inward domain of consciousness; demanding liberty of conscience, in the most comprehensive sense; liberty of thought and feeling; absolute freedom of opinion and sentiment on all subjects, practical or speculative, scientific, moral, or theological. The liberty of expressing and publishing opinions may seem to fall under a different principle, since it belongs to that part of the conduct of an individual which concerns other people; but, being almost of as much importance as the liberty of thought itself, and resting in great part on the same reasons, is practically inseparable from it. Secondly, the principle requires liberty of tastes and pursuits; of framing the plan of our life to suit our own character; of doing as we like, subject to such consequences as may follow: without impediment from our fellow-creatures, so long as what we do does not harm them, even though they should think our conduct foolish, perverse, or wrong. Thirdly, from this liberty of[Pg 23] each individual, follows the liberty, within the same limits, of combination among individuals; freedom to unite, for any purpose not involving harm to others: the persons combining being supposed to be of full age, and not forced or deceived.

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# MODULE 4: JUSTICE

## 4.I Plato on Justice

### *About this Text*

Back to the *Republic* again. Last week we saw that Plato imagines three parts of the individual soul: reason (the human being), spirit (the lion), and appetite (the multi-headed beast). It turns out that there are three corresponding parts of the city: the gold-souled citizens, the silver-souled citizens, and the bronze-souled citizens. In this week's excerpts, Plato explains the virtues in terms of the relationship among the parts of the city or soul. Justice turns out to be a proper hierarchical ordering of the soul or of the city.

EXCERPTS FROM PLATO, *REPUBLIC* (SOURCE)

Translated by Benjamin Jowett

### *BOOK IV.*

Here Adeimantus interposed a question: How would you answer, Socrates, said he, if a person were to say that you are making these people miserable, and that they are the cause of their own unhappiness; the city in fact belongs to them, but they are none the better for it; whereas other men acquire lands, and build large and handsome houses, and have everything handsome about them, offering sacrifices to the gods on their own account, and practising hospitality; moreover, as you were saying just now, they have gold and silver, and all that is usual among the favourites of fortune; but our poor citizens are no better than mercenaries who are quartered in the city and are always mounting guard?

Yes, I said; and you may add that they are only fed, and not paid in addition to their food, like other men; and therefore they cannot, if they would, take a journey of pleasure; they have no money to spend on a mistress or any other luxurious fancy, which, as the world goes, is thought to be happiness; and many other accusations of the same nature might be added.

But, said he, let us suppose all this to be included in the charge.

You mean to ask, I said, what will be our answer?

Yes.

If we proceed along the old path, my belief, I said, is that we shall find the answer. And our answer will be that, even as they are, our guardians may very likely be the happiest of men; but that our aim in founding the State was not the disproportionate happiness of any one class, but the greatest happiness of the whole; we thought that in a State which is ordered with a view to the good of the whole we should be most likely to find justice, and in the ill-ordered State injustice: and, having found them, we might then decide which of the two is the happier. At present, I take

it, we are fashioning the happy State, not piecemeal, or with a view of making a few happy citizens, but as a whole; and by-and-by we will proceed to view the opposite kind of State. Suppose that we were painting a statue, and some one came up to us and said, Why do you not put the most beautiful colours on the most beautiful parts of the body—the eyes ought to be purple, but you have made them black—to him we might fairly answer, Sir, you would not surely have us beautify the eyes to such a degree that they are no longer eyes; consider rather whether, by giving this and the other features their due proportion, we make the whole beautiful. And so I say to you, do not compel us to assign to the guardians a sort of happiness which will make them anything but guardians; for we too can clothe our husbandmen in royal apparel, and set crowns of gold on their heads, and bid them till the ground as much as they like, and no more. Our potters also might be allowed to repose on couches, and feast by the fireside, passing round the winecup, while their wheel is conveniently at hand, and working at pottery only as much as they like; in this way we might make every class happy—and then, as you imagine, the whole State would be happy. But do not put this idea into our heads; for, if we listen to you, the husbandman will be no longer a husbandman, the potter will cease to be a potter, and no one will have the character of any distinct class in the State. Now this is not of much consequence where the corruption of society, and pretension to be what you are not, is confined to cobblers; but when the guardians of the laws and of the government are only seeming and not real guardians, then see how they turn the State upside down; and on the other hand they alone have the power of giving order and happiness to the State. We mean our guardians to be true saviours and not the destroyers of the State, whereas our opponent is thinking of peasants at a festival, who are enjoying a life of revelry, not of citizens who are doing their duty to the State. But, if so, we mean different things, and he is speaking of something which is not a State. And therefore we must consider whether in appointing our guardians we would look to their greatest happiness individually, or whether this principle of happiness does not rather reside in the State as a whole. But if the latter be the truth, then the guardians and auxiliaries, and all others equally with them, must be compelled or induced to do their own work in the best way. And thus the whole State will grow up in a noble order, and the several classes will receive the proportion of happiness which nature assigns to them.

I think that you are quite right.

I wonder whether you will agree with another remark which occurs to me.

What may that be?

There seem to be two causes of the deterioration of the arts.

What are they?

Wealth, I said, and poverty.

How do they act?

The process is as follows: When a potter becomes rich, will he, think you, any longer take the same pains with his art?

Certainly not.

He will grow more and more indolent and careless?

Very true.

And the result will be that he becomes a worse potter?

Yes; he greatly deteriorates.

But, on the other hand, if he has no money, and cannot provide himself with tools or

instruments, he will not work equally well himself, nor will he teach his sons or apprentices to work equally well.

Certainly not.

Then, under the influence either of poverty or of wealth, workmen and their work are equally liable to degenerate?

That is evident.

Here, then, is a discovery of new evils, I said, against which the guardians will have to watch, or they will creep into the city unobserved.

What evils?

Wealth, I said, and poverty; the one is the parent of luxury and indolence, and the other of meanness and viciousness, and both of discontent.

That is very true, he replied; but still I should like to know, Socrates, how our city will be able to go to war, especially against an enemy who is rich and powerful, if deprived of the sinews of war.

There would certainly be a difficulty, I replied, in going to war with one such enemy; but there is no difficulty where there are two of them.

How so? he asked.

In the first place, I said, if we have to fight, our side will be trained warriors fighting against an army of rich men.

That is true, he said.

And do you not suppose, Adeimantus, that a single boxer who was perfect in his art would easily be a match for two stout and well-to-do gentlemen who were not boxers?

Hardly, if they came upon him at once.

What, now, I said, if he were able to run away and then turn and strike at the one who first came up? And supposing he were to do this several times under the heat of a scorching sun, might he not, being an expert, overturn more than one stout personage?

Certainly, he said, there would be nothing wonderful in that.

And yet rich men probably have a greater superiority in the science and practise of boxing than they have in military qualities.

Likely enough.

Then we may assume that our athletes will be able to fight with two or three times their own number?

I agree with you, for I think you right.

And suppose that, before engaging, our citizens send an embassy to one of the two cities, telling them what is the truth: Silver and gold we neither have nor are permitted to have, but you may; do you therefore come and help us in war, and take the spoils of the other city: Who, on hearing these words, would choose to fight against lean wiry dogs, rather than, with the dogs on their side, against fat and tender sheep?

That is not likely; and yet there might be a danger to the poor State if the wealth of many States were to be gathered into one.

But how simple of you to use the term State at all of any but our own!

Why so?

You ought to speak of other States in the plural number; not one of them is a city, but many cities, as they say in the game. For indeed any city, however small, is in fact divided into two, one the city of the poor, the other of the rich; these are at war with one another; and in either there

are many smaller divisions, and you would be altogether beside the mark if you treated them all as a single State. But if you deal with them as many, and give the wealth or power or persons of the one to the others, you will always have a great many friends and not many enemies. And your State, while the wise order which has now been prescribed continues to prevail in her, will be the greatest of States, I do not mean to say in reputation or appearance, but in deed and truth, though she number not more than a thousand defenders. A single State which is her equal you will hardly find, either among Hellenes or barbarians, though many that appear to be as great and many times greater.

That is most true, he said.

And what, I said, will be the best limit for our rulers to fix when they are considering the size of the State and the amount of territory which they are to include, and beyond which they will not go?

What limit would you propose?

I would allow the State to increase so far as is consistent with unity; that, I think, is the proper limit.

Very good, he said.

Here then, I said, is another order which will have to be conveyed to our guardians: Let our city be accounted neither large nor small, but one and self-sufficing.

And surely, said he, this is not a very severe order which we impose upon them.

And the other, said I, of which we were speaking before is lighter still,—I mean the duty of degrading the offspring of the guardians when inferior, and of elevating into the rank of guardians the offspring of the lower classes, when naturally superior. The intention was, that, in the case of the citizens generally, each individual should be put to the use for which nature intended him, one to one work, and then every man would do his own business, and be one and not many; and so the whole city would be one and not many.

Yes, he said; that is not so difficult.

The regulations which we are prescribing, my good Adeimantus, are not, as might be supposed, a number of great principles, but trifles all, if care be taken, as the saying is, of the one great thing,—a thing, however, which I would rather call, not great, but sufficient for our purpose.

What may that be? he asked.

Education, I said, and nurture: If our citizens are well educated, and grow into sensible men, they will easily see their way through all these, as well as other matters which I omit; such, for example, as marriage, the possession of women and the procreation of children, which will all follow the general principle that friends have all things in common, as the proverb says.

That will be the best way of settling them.

Also, I said, the State, if once started well, moves with accumulating force like a wheel. For good nurture and education implant good constitutions, and these good constitutions taking root in a good education improve more and more, and this improvement affects the breed in man as in other animals.

Very possibly, he said ...

But where, amid all this, is justice? son of Ariston, tell me where. Now that our city has been made habitable, light a candle and search, and get your brother and Polemarchus and the rest of our friends to help, and let us see where in it we can discover justice and where injustice, and in

what they differ from one another, and which of them the man who would be happy should have for his portion, whether seen or unseen by gods and men.

Nonsense, said Glaucon: did you not promise to search yourself, saying that for you not to help justice in her need would be an impiety?

I do not deny that I said so, and as you remind me, I will be as good as my word; but you must join.

We will, he replied.

Well, then, I hope to make the discovery in this way: I mean to begin with the assumption that our State, if rightly ordered, is perfect.

That is most certain.

And being perfect, is therefore wise and valiant and temperate and just.

That is likewise clear.

And whichever of these qualities we find in the State, the one which is not found will be the residue?

Very good.

If there were four things, and we were searching for one of them, wherever it might be, the one sought for might be known to us from the first, and there would be no further trouble; or we might know the other three first, and then the fourth would clearly be the one left.

Very true, he said.

And is not a similar method to be pursued about the virtues, which are also four in number?

Clearly.

First among the virtues found in the State, wisdom comes into view, and in this I detect a certain peculiarity.

What is that?

The State which we have been describing is said to be wise as being good in counsel?

Very true.

And good counsel is clearly a kind of knowledge, for not by ignorance, but by knowledge, do men counsel well?

Clearly.

And the kinds of knowledge in a State are many and diverse?

Of course.

There is the knowledge of the carpenter; but is that the sort of knowledge which gives a city the title of wise and good in counsel?

Certainly not; that would only give a city the reputation of skill in carpentering.

Then a city is not to be called wise because possessing a knowledge which counsels for the best about wooden implements?

Certainly not.

Nor by reason of a knowledge which advises about brazen pots, I said, nor as possessing any other similar knowledge?

Not by reason of any of them, he said.

Nor yet by reason of a knowledge which cultivates the earth; that would give the city the name of agricultural?

Yes.

Well, I said, and is there any knowledge in our recently-founded State among any of the citizens

which advises, not about any particular thing in the State, but about the whole, and considers how a State can best deal with itself and with other States?

There certainly is.

And what is this knowledge, and among whom is it found? I asked.

It is the knowledge of the guardians, he replied, and is found among those whom we were just now describing as perfect guardians.

And what is the name which the city derives from the possession of this sort of knowledge?

The name of good in counsel and truly wise.

And will there be in our city more of these true guardians or more smiths?

The smiths, he replied, will be far more numerous.

Will not the guardians be the smallest of all the classes who receive a name from the profession of some kind of knowledge?

Much the smallest.

And so by reason of the smallest part or class, and of the knowledge which resides in this presiding and ruling part of itself, the whole State, being thus constituted according to nature, will be wise; and this, which has the only knowledge worthy to be called wisdom, has been ordained by nature to be of all classes the least.

Most true.

Thus, then, I said, the nature and place in the State of one of the four virtues has somehow or other been discovered.

And, in my humble opinion, very satisfactorily discovered, he replied.

Again, I said, there is no difficulty in seeing the nature of courage, and in what part that quality resides which gives the name of courageous to the State.

How do you mean?

Why, I said, every one who calls any State courageous or cowardly, will be thinking of the part which fights and goes out to war on the State's behalf.

No one, he replied, would ever think of any other.

The rest of the citizens may be courageous or may be cowardly, but their courage or cowardice will not, as I conceive, have the effect of making the city either the one or the other.

Certainly not.

The city will be courageous in virtue of a portion of herself which preserves under all circumstances that opinion about the nature of things to be feared and not to be feared in which our legislator educated them; and this is what you term courage.

I should like to hear what you are saying once more, for I do not think that I perfectly understand you.

I mean that courage is a kind of salvation.

Salvation of what?

Of the opinion respecting things to be feared, what they are and of what nature, which the law implants through education; and I mean by the words 'under all circumstances' to intimate that in pleasure or in pain, or under the influence of desire or fear, a man preserves, and does not lose this opinion. Shall I give you an illustration?

If you please.

You know, I said, that dyers, when they want to dye wool for making the true sea-purple, begin by selecting their white colour first; this they prepare and dress with much care and pains, in order

that the white ground may take the purple hue in full perfection. The dyeing then proceeds; and whatever is dyed in this manner becomes a fast colour, and no washing either with lyes or without them can take away the bloom. But, when the ground has not been duly prepared, you will have noticed how poor is the look either of purple or of any other colour.

Yes, he said; I know that they have a washed-out and ridiculous appearance.

Then now, I said, you will understand what our object was in selecting our soldiers, and educating them in music and gymnastic; we were contriving influences which would prepare them to take the dye of the laws in perfection, and the colour of their opinion about dangers and of every other opinion was to be indelibly fixed by their nurture and training, not to be washed away by such potent lyes as pleasure—mightier agent far in washing the soul than any soda or lye; or by sorrow, fear, and desire, the mightiest of all other solvents. And this sort of universal saving power of true opinion in conformity with law about real and false dangers I call and maintain to be courage, unless you disagree.

But I agree, he replied; for I suppose that you mean to exclude mere uninstructed courage, such as that of a wild beast or of a slave—this, in your opinion, is not the courage which the law ordains, and ought to have another name.

Most certainly.

Then I may infer courage to be such as you describe?

Why, yes, said I, you may, and if you add the words ‘of a citizen,’ you will not be far wrong;—hereafter, if you like, we will carry the examination further, but at present we are seeking not for courage but justice; and for the purpose of our enquiry we have said enough.

You are right, he replied.

Two virtues remain to be discovered in the State—first, temperance, and then justice which is the end of our search.

Very true.

Now, can we find justice without troubling ourselves about temperance?

I do not know how that can be accomplished, he said, nor do I desire that justice should be brought to light and temperance lost sight of; and therefore I wish that you would do me the favour of considering temperance first.

Certainly, I replied, I should not be justified in refusing your request.

Then consider, he said.

Yes, I replied; I will; and as far as I can at present see, the virtue of temperance has more of the nature of harmony and symphony than the preceding.

How so? he asked.

Temperance, I replied, is the ordering or controlling of certain pleasures and desires; this is curiously enough implied in the saying of ‘a man being his own master;’ and other traces of the same notion may be found in language.

No doubt, he said.

There is something ridiculous in the expression ‘master of himself;’ for the master is also the servant and the servant the master; and in all these modes of speaking the same person is denoted.

Certainly.

The meaning is, I believe, that in the human soul there is a better and also a worse principle; and when the better has the worse under control, then a man is said to be master of himself; and this is a term of praise: but when, owing to evil education or association, the better principle, which is



also the smaller, is overwhelmed by the greater mass of the worse—in this case he is blamed and is called the slave of self and unprincipled.

Yes, there is reason in that.

And now, I said, look at our newly-created State, and there you will find one of these two conditions realized; for the State, as you will acknowledge, may be justly called master of itself, if the words 'temperance' and 'self-mastery' truly express the rule of the better part over the worse.

Yes, he said, I see that what you say is true.

Let me further note that the manifold and complex pleasures and desires and pains are generally found in children and women and servants, and in the freemen so called who are of the lowest and more numerous class.

Certainly, he said.

Whereas the simple and moderate desires which follow reason, and are under the guidance of mind and true opinion, are to be found only in a few, and those the best born and best educated.

Very true.

These two, as you may perceive, have a place in our State; and the meaner desires of the many are held down by the virtuous desires and wisdom of the few.

That I perceive, he said.

Then if there be any city which may be described as master of its own pleasures and desires, and master of itself, ours may claim such a designation?

Certainly, he replied.

It may also be called temperate, and for the same reasons?

Yes.

And if there be any State in which rulers and subjects will be agreed as to the question who are to rule, that again will be our State?

Undoubtedly.

And the citizens being thus agreed among themselves, in which class will temperance be found—in the rulers or in the subjects?

In both, as I should imagine, he replied.

Do you observe that we were not far wrong in our guess that temperance was a sort of harmony?

Why so?

Why, because temperance is unlike courage and wisdom, each of which resides in a part only, the one making the State wise and the other valiant; not so temperance, which extends to the whole, and runs through all the notes of the scale, and produces a harmony of the weaker and the stronger and the middle class, whether you suppose them to be stronger or weaker in wisdom or power or numbers or wealth, or anything else. Most truly then may we deem temperance to be the agreement of the naturally superior and inferior, as to the right to rule of either, both in states and individuals.

I entirely agree with you.

And so, I said, we may consider three out of the four virtues to have been discovered in our State. The last of those qualities which make a state virtuous must be justice, if we only knew what that was.

The inference is obvious.

The time then has arrived, Glaucon, when, like huntsmen, we should surround the cover, and look sharp that justice does not steal away, and pass out of sight and escape us; for beyond a doubt

she is somewhere in this country: watch therefore and strive to catch a sight of her, and if you see her first, let me know.

Would that I could! but you should regard me rather as a follower who has just eyes enough to see what you show him—that is about as much as I am good for.

Offer up a prayer with me and follow.

I will, but you must show me the way.

Here is no path, I said, and the wood is dark and perplexing; still we must push on.

Let us push on.

Here I saw something: Halloo! I said, I begin to perceive a track, and I believe that the quarry will not escape.

Good news, he said.

Truly, I said, we are stupid fellows.

Why so?

Why, my good sir, at the beginning of our enquiry, ages ago, there was justice tumbling out at our feet, and we never saw her; nothing could be more ridiculous. Like people who go about looking for what they have in their hands—that was the way with us—we looked not at what we were seeking, but at what was far off in the distance; and therefore, I suppose, we missed her.

What do you mean?

I mean to say that in reality for a long time past we have been talking of justice, and have failed to recognise her.

I grow impatient at the length of your exordium.

Well then, tell me, I said, whether I am right or not: You remember the original principle which we were always laying down at the foundation of the State, that one man should practise one thing only, the thing to which his nature was best adapted;—now justice is this principle or a part of it.

Yes, we often said that one man should do one thing only.

Further, we affirmed that justice was doing one's own business, and not being a busybody; we said so again and again, and many others have said the same to us.

Yes, we said so.

Then to do one's own business in a certain way may be assumed to be justice. Can you tell me whence I derive this inference?

I cannot, but I should like to be told.

Because I think that this is the only virtue which remains in the State when the other virtues of temperance and courage and wisdom are abstracted; and, that this is the ultimate cause and condition of the existence of all of them, and while remaining in them is also their preservative; and we were saying that if the three were discovered by us, justice would be the fourth or remaining one.

That follows of necessity.

If we are asked to determine which of these four qualities by its presence contributes most to the excellence of the State, whether the agreement of rulers and subjects, or the preservation in the soldiers of the opinion which the law ordains about the true nature of dangers, or wisdom and watchfulness in the rulers, or whether this other which I am mentioning, and which is found in children and women, slave and freeman, artisan, ruler, subject,—the quality, I mean, of every one doing his own work, and not being a busybody, would claim the palm—the question is not so easily answered.

Certainly, he replied, there would be a difficulty in saying which.

Then the power of each individual in the State to do his own work appears to compete with the other political virtues, wisdom, temperance, courage.

Yes, he said.

And the virtue which enters into this competition is justice?

Exactly.

Let us look at the question from another point of view: Are not the rulers in a State those to whom you would entrust the office of determining suits at law?

Certainly.

And are suits decided on any other ground but that a man may neither take what is another's, nor be deprived of what is his own?

Yes; that is their principle.

Which is a just principle?

Yes.

Then on this view also justice will be admitted to be the having and doing what is a man's own, and belongs to him?

Very true.

Think, now, and say whether you agree with me or not. Suppose a carpenter to be doing the business of a cobbler, or a cobbler of a carpenter; and suppose them to exchange their implements or their duties, or the same person to be doing the work of both, or whatever be the change; do you think that any great harm would result to the State?

Not much.

But when the cobbler or any other man whom nature designed to be a trader, having his heart lifted up by wealth or strength or the number of his followers, or any like advantage, attempts to force his way into the class of warriors, or a warrior into that of legislators and guardians, for which he is unfitted, and either to take the implements or the duties of the other; or when one man is trader, legislator, and warrior all in one, then I think you will agree with me in saying that this interchange and this meddling of one with another is the ruin of the State.

Most true.

Seeing then, I said, that there are three distinct classes, any meddling of one with another, or the change of one into another, is the greatest harm to the State, and may be most justly termed evil-doing?

Precisely.

And the greatest degree of evil-doing to one's own city would be termed by you injustice?

Certainly.

This then is injustice; and on the other hand when the trader, the auxiliary, and the guardian each do their own business, that is justice, and will make the city just.

I agree with you.

We will not, I said, be over-positive as yet; but if, on trial, this conception of justice be verified in the individual as well as in the State, there will be no longer any room for doubt; if it be not verified, we must have a fresh enquiry. First let us complete the old investigation, which we began, as you remember, under the impression that, if we could previously examine justice on the larger scale, there would be less difficulty in discerning her in the individual. That larger example appeared to be the State, and accordingly we constructed as good a one as we could, knowing well that in

the good State justice would be found. Let the discovery which we made be now applied to the individual—if they agree, we shall be satisfied; or, if there be a difference in the individual, we will come back to the State and have another trial of the theory. The friction of the two when rubbed together may possibly strike a light in which justice will shine forth, and the vision which is then revealed we will fix in our souls.

That will be in regular course; let us do as you say.

I proceeded to ask: When two things, a greater and less, are called by the same name, are they like or unlike in so far as they are called the same?

Like, he replied.

The just man then, if we regard the idea of justice only, will be like the just State?

He will.

And a State was thought by us to be just when the three classes in the State severally did their own business; and also thought to be temperate and valiant and wise by reason of certain other affections and qualities of these same classes?

True, he said.

And so of the individual; we may assume that he has the same three principles in his own soul which are found in the State; and he may be rightly described in the same terms, because he is affected in the same manner?

Certainly, he said.

Once more then, O my friend, we have alighted upon an easy question—whether the soul has these three principles or not?

An easy question! Nay, rather, Socrates, the proverb holds that hard is the good.

Very true, I said; and I do not think that the method which we are employing is at all adequate to the accurate solution of this question; the true method is another and a longer one. Still we may arrive at a solution not below the level of the previous enquiry.

May we not be satisfied with that? he said;—under the circumstances, I am quite content.

I too, I replied, shall be extremely well satisfied.

Then faint not in pursuing the speculation, he said.

Must we not acknowledge, I said, that in each of us there are the same principles and habits which there are in the State; and that from the individual they pass into the State?—how else can they come there? Take the quality of passion or spirit;—it would be ridiculous to imagine that this quality, when found in States, is not derived from the individuals who are supposed to possess it, e.g. the Thracians, Scythians, and in general the northern nations; and the same may be said of the love of knowledge, which is the special characteristic of our part of the world, or of the love of money, which may, with equal truth, be attributed to the Phoenicians and Egyptians.

Exactly so, he said.

There is no difficulty in understanding this.

None whatever.

But the question is not quite so easy when we proceed to ask whether these principles are three or one; whether, that is to say, we learn with one part of our nature, are angry with another, and with a third part desire the satisfaction of our natural appetites; or whether the whole soul comes into play in each sort of action—to determine that is the difficulty.

Yes, he said; there lies the difficulty.

Then let us now try and determine whether they are the same or different.

How can we? he asked.

I replied as follows: The same thing clearly cannot act or be acted upon in the same part or in relation to the same thing at the same time, in contrary ways; and therefore whenever this contradiction occurs in things apparently the same, we know that they are really not the same, but different.

Good.

For example, I said, can the same thing be at rest and in motion at the same time in the same part?

Impossible.

Still, I said, let us have a more precise statement of terms, lest we should hereafter fall out by the way. Imagine the case of a man who is standing and also moving his hands and his head, and suppose a person to say that one and the same person is in motion and at rest at the same moment—to such a mode of speech we should object, and should rather say that one part of him is in motion while another is at rest.

Very true.

And suppose the objector to refine still further, and to draw the nice distinction that not only parts of tops, but whole tops, when they spin round with their pegs fixed on the spot, are at rest and in motion at the same time (and he may say the same of anything which revolves in the same spot), his objection would not be admitted by us, because in such cases things are not at rest and in motion in the same parts of themselves; we should rather say that they have both an axis and a circumference, and that the axis stands still, for there is no deviation from the perpendicular; and that the circumference goes round. But if, while revolving, the axis inclines either to the right or left, forwards or backwards, then in no point of view can they be at rest.

That is the correct mode of describing them, he replied.

Then none of these objections will confuse us, or incline us to believe that the same thing at the same time, in the same part or in relation to the same thing, can act or be acted upon in contrary ways.

Certainly not, according to my way of thinking.

Yet, I said, that we may not be compelled to examine all such objections, and prove at length that they are untrue, let us assume their absurdity, and go forward on the understanding that hereafter, if this assumption turn out to be untrue, all the consequences which follow shall be withdrawn.

Yes, he said, that will be the best way.

Well, I said, would you not allow that assent and dissent, desire and aversion, attraction and repulsion, are all of them opposites, whether they are regarded as active or passive (for that makes no difference in the fact of their opposition)?

Yes, he said, they are opposites.

Well, I said, and hunger and thirst, and the desires in general, and again willing and wishing,—all these you would refer to the classes already mentioned. You would say—would you not?—that the soul of him who desires is seeking after the object of his desire; or that he is drawing to himself the thing which he wishes to possess: or again, when a person wants anything to be given him, his mind, longing for the realization of his desire, intimates his wish to have it by a nod of assent, as if he had been asked a question?

Very true.

And what would you say of unwillingness and dislike and the absence of desire; should not these be referred to the opposite class of repulsion and rejection?

Certainly.

Admitting this to be true of desire generally, let us suppose a particular class of desires, and out of these we will select hunger and thirst, as they are termed, which are the most obvious of them?

Let us take that class, he said.

The object of one is food, and of the other drink?

Yes.

And here comes the point: is not thirst the desire which the soul has of drink, and of drink only; not of drink qualified by anything else; for example, warm or cold, or much or little, or, in a word, drink of any particular sort: but if the thirst be accompanied by heat, then the desire is of cold drink; or, if accompanied by cold, then of warm drink; or, if the thirst be excessive, then the drink which is desired will be excessive; or, if not great, the quantity of drink will also be small: but thirst pure and simple will desire drink pure and simple, which is the natural satisfaction of thirst, as food is of hunger?

Yes, he said; the simple desire is, as you say, in every case of the simple object, and the qualified desire of the qualified object.

But here a confusion may arise; and I should wish to guard against an opponent starting up and saying that no man desires drink only, but good drink, or food only, but good food; for good is the universal object of desire, and thirst being a desire, will necessarily be thirst after good drink; and the same is true of every other desire.

Yes, he replied, the opponent might have something to say.

Nevertheless I should still maintain, that of relatives some have a quality attached to either term of the relation; others are simple and have their correlatives simple.

I do not know what you mean.

Well, you know of course that the greater is relative to the less?

Certainly.

And the much greater to the much less?

Yes.

And the sometime greater to the sometime less, and the greater that is to be to the less that is to be?

Certainly, he said.

And so of more and less, and of other correlative terms, such as the double and the half, or again, the heavier and the lighter, the swifter and the slower; and of hot and cold, and of any other relatives;—is not this true of all of them?

Yes.

And does not the same principle hold in the sciences? The object of science is knowledge (assuming that to be the true definition), but the object of a particular science is a particular kind of knowledge; I mean, for example, that the science of house-building is a kind of knowledge which is defined and distinguished from other kinds and is therefore termed architecture.

Certainly.

Because it has a particular quality which no other has?

Yes.

And it has this particular quality because it has an object of a particular kind; and this is true of the other arts and sciences?

Yes.

Now, then, if I have made myself clear, you will understand my original meaning in what I said about relatives. My meaning was, that if one term of a relation is taken alone, the other is taken alone; if one term is qualified, the other is also qualified. I do not mean to say that relatives may not be disparate, or that the science of health is healthy, or of disease necessarily diseased, or that the sciences of good and evil are therefore good and evil; but only that, when the term science is no longer used absolutely, but has a qualified object which in this case is the nature of health and disease, it becomes defined, and is hence called not merely science, but the science of medicine.

I quite understand, and I think as you do.

Would you not say that thirst is one of these essentially relative terms, having clearly a relation—

Yes, thirst is relative to drink.

And a certain kind of thirst is relative to a certain kind of drink; but thirst taken alone is neither of much nor little, nor of good nor bad, nor of any particular kind of drink, but of drink only?

Certainly.

Then the soul of the thirsty one, in so far as he is thirsty, desires only drink; for this he yearns and tries to obtain it?

That is plain.

And if you suppose something which pulls a thirsty soul away from drink, that must be different from the thirsty principle which draws him like a beast to drink; for, as we were saying, the same thing cannot at the same time with the same part of itself act in contrary ways about the same.

Impossible.

No more than you can say that the hands of the archer push and pull the bow at the same time, but what you say is that one hand pushes and the other pulls.

Exactly so, he replied.

And might a man be thirsty, and yet unwilling to drink?

Yes, he said, it constantly happens.

And in such a case what is one to say? Would you not say that there was something in the soul bidding a man to drink, and something else forbidding him, which is other and stronger than the principle which bids him?

I should say so.

And the forbidding principle is derived from reason, and that which bids and attracts proceeds from passion and disease?

Clearly.

Then we may fairly assume that they are two, and that they differ from one another; the one with which a man reasons, we may call the rational principle of the soul, the other, with which he loves and hungers and thirsts and feels the flutterings of any other desire, may be termed the irrational or appetitive, the ally of sundry pleasures and satisfactions?

Yes, he said, we may fairly assume them to be different.

Then let us finally determine that there are two principles existing in the soul. And what of passion, or spirit? Is it a third, or akin to one of the preceding?

I should be inclined to say—akin to desire.

Well, I said, there is a story which I remember to have heard, and in which I put faith. The story

is, that Leontius, the son of Aglaion, coming up one day from the Piraeus, under the north wall on the outside, observed some dead bodies lying on the ground at the place of execution. He felt a desire to see them, and also a dread and abhorrence of them; for a time he struggled and covered his eyes, but at length the desire got the better of him; and forcing them open, he ran up to the dead bodies, saying, Look, ye wretches, take your fill of the fair sight.

I have heard the story myself, he said.

The moral of the tale is, that anger at times goes to war with desire, as though they were two distinct things.

Yes; that is the meaning, he said.

And are there not many other cases in which we observe that when a man's desires violently prevail over his reason, he reviles himself, and is angry at the violence within him, and that in this struggle, which is like the struggle of factions in a State, his spirit is on the side of his reason;—but for the passionate or spirited element to take part with the desires when reason decides that she should not be opposed, is a sort of thing which I believe that you never observed occurring in yourself, nor, as I should imagine, in any one else?

Certainly not.

Suppose that a man thinks he has done a wrong to another, the nobler he is the less able is he to feel indignant at any suffering, such as hunger, or cold, or any other pain which the injured person may inflict upon him—these he deems to be just, and, as I say, his anger refuses to be excited by them.

True, he said.

But when he thinks that he is the sufferer of the wrong, then he boils and chafes, and is on the side of what he believes to be justice; and because he suffers hunger or cold or other pain he is only the more determined to persevere and conquer. His noble spirit will not be quelled until he either slays or is slain; or until he hears the voice of the shepherd, that is, reason, bidding his dog bark no more.

The illustration is perfect, he replied; and in our State, as we were saying, the auxiliaries were to be dogs, and to hear the voice of the rulers, who are their shepherds.

I perceive, I said, that you quite understand me; there is, however, a further point which I wish you to consider.

What point?

You remember that passion or spirit appeared at first sight to be a kind of desire, but now we should say quite the contrary; for in the conflict of the soul spirit is arrayed on the side of the rational principle.

Most assuredly.

But a further question arises: Is passion different from reason also, or only a kind of reason; in which latter case, instead of three principles in the soul, there will only be two, the rational and the concupiscent; or rather, as the State was composed of three classes, traders, auxiliaries, counsellors, so may there not be in the individual soul a third element which is passion or spirit, and when not corrupted by bad education is the natural auxiliary of reason?

Yes, he said, there must be a third.

Yes, I replied, if passion, which has already been shown to be different from desire, turn out also to be different from reason.

But that is easily proved:—We may observe even in young children that they are full of spirit



almost as soon as they are born, whereas some of them never seem to attain to the use of reason, and most of them late enough.

Excellent, I said, and you may see passion equally in brute animals, which is a further proof of the truth of what you are saying. And we may once more appeal to the words of Homer, which have been already quoted by us,

‘He smote his breast, and thus rebuked his soul,’

for in this verse Homer has clearly supposed the power which reasons about the better and worse to be different from the unreasoning anger which is rebuked by it.

Very true, he said.

And so, after much tossing, we have reached land, and are fairly agreed that the same principles which exist in the State exist also in the individual, and that they are three in number.

Exactly.

Must we not then infer that the individual is wise in the same way, and in virtue of the same quality which makes the State wise?

Certainly.

Also that the same quality which constitutes courage in the State constitutes courage in the individual, and that both the State and the individual bear the same relation to all the other virtues?

Assuredly.

And the individual will be acknowledged by us to be just in the same way in which the State is just?

That follows, of course.

We cannot but remember that the justice of the State consisted in each of the three classes doing the work of its own class?

We are not very likely to have forgotten, he said.

We must recollect that the individual in whom the several qualities of his nature do their own work will be just, and will do his own work?

Yes, he said, we must remember that too.

And ought not the rational principle, which is wise, and has the care of the whole soul, to rule, and the passionate or spirited principle to be the subject and ally?

Certainly.

And, as we were saying, the united influence of music and gymnastic will bring them into accord, nerving and sustaining the reason with noble words and lessons, and moderating and soothing and civilizing the wildness of passion by harmony and rhythm?

Quite true, he said.

And these two, thus nurtured and educated, and having learned truly to know their own functions, will rule over the concupiscent, which in each of us is the largest part of the soul and by nature most insatiable of gain; over this they will keep guard, lest, waxing great and strong with the fulness of bodily pleasures, as they are termed, the concupiscent soul, no longer confined to her own sphere, should attempt to enslave and rule those who are not her natural-born subjects, and overturn the whole life of man?

Very true, he said.

Both together will they not be the best defenders of the whole soul and the whole body

against attacks from without; the one counselling, and the other fighting under his leader, and courageously executing his commands and counsels?

True.

And he is to be deemed courageous whose spirit retains in pleasure and in pain the commands of reason about what he ought or ought not to fear?

Right, he replied.

And him we call wise who has in him that little part which rules, and which proclaims these commands; that part too being supposed to have a knowledge of what is for the interest of each of the three parts and of the whole?

Assuredly.

And would you not say that he is temperate who has these same elements in friendly harmony, in whom the one ruling principle of reason, and the two subject ones of spirit and desire are equally agreed that reason ought to rule, and do not rebel?

Certainly, he said, that is the true account of temperance whether in the State or individual.

And surely, I said, we have explained again and again how and by virtue of what quality a man will be just.

That is very certain.

And is justice dimmer in the individual, and is her form different, or is she the same which we found her to be in the State?

There is no difference in my opinion, he said.

Because, if any doubt is still lingering in our minds, a few commonplace instances will satisfy us of the truth of what I am saying.

What sort of instances do you mean?

If the case is put to us, must we not admit that the just State, or the man who is trained in the principles of such a State, will be less likely than the unjust to make away with a deposit of gold or silver? Would any one deny this?

No one, he replied.

Will the just man or citizen ever be guilty of sacrilege or theft, or treachery either to his friends or to his country?

Never.

Neither will he ever break faith where there have been oaths or agreements?

Impossible.

No one will be less likely to commit adultery, or to dishonour his father and mother, or to fail in his religious duties?

No one.

And the reason is that each part of him is doing its own business, whether in ruling or being ruled?

Exactly so.

Are you satisfied then that the quality which makes such men and such states is justice, or do you hope to discover some other?

Not I, indeed.

Then our dream has been realized; and the suspicion which we entertained at the beginning of our work of construction, that some divine power must have conducted us to a primary form of justice, has now been verified?

Yes, certainly.

And the division of labour which required the carpenter and the shoemaker and the rest of the citizens to be doing each his own business, and not another's, was a shadow of justice, and for that reason it was of use?

Clearly.

But in reality justice was such as we were describing, being concerned however, not with the outward man, but with the inward, which is the true self and concernment of man: for the just man does not permit the several elements within him to interfere with one another, or any of them to do the work of others,—he sets in order his own inner life, and is his own master and his own law, and at peace with himself; and when he has bound together the three principles within him, which may be compared to the higher, lower, and middle notes of the scale, and the intermediate intervals—when he has bound all these together, and is no longer many, but has become one entirely temperate and perfectly adjusted nature, then he proceeds to act, if he has to act, whether in a matter of property, or in the treatment of the body, or in some affair of politics or private business; always thinking and calling that which preserves and co-operates with this harmonious condition, just and good action, and the knowledge which presides over it, wisdom, and that which at any time impairs this condition, he will call unjust action, and the opinion which presides over it ignorance.

You have said the exact truth, Socrates.

Very good; and if we were to affirm that we had discovered the just man and the just State, and the nature of justice in each of them, we should not be telling a falsehood?

Most certainly not.

May we say so, then?

Let us say so.

And now, I said, injustice has to be considered.

Clearly.

Must not injustice be a strife which arises among the three principles—a meddlesomeness, and interference, and rising up of a part of the soul against the whole, an assertion of unlawful authority, which is made by a rebellious subject against a true prince, of whom he is the natural vassal,—what is all this confusion and delusion but injustice, and intemperance and cowardice and ignorance, and every form of vice?

Exactly so.

And if the nature of justice and injustice be known, then the meaning of acting unjustly and being unjust, or, again, of acting justly, will also be perfectly clear?

What do you mean? he said.

Why, I said, they are like disease and health; being in the soul just what disease and health are in the body.

How so? he said.

Why, I said, that which is healthy causes health, and that which is unhealthy causes disease.

Yes.

And just actions cause justice, and unjust actions cause injustice?

That is certain.

And the creation of health is the institution of a natural order and government of one by another

in the parts of the body; and the creation of disease is the production of a state of things at variance with this natural order?

True.

And is not the creation of justice the institution of a natural order and government of one by another in the parts of the soul, and the creation of injustice the production of a state of things at variance with the natural order?

Exactly so, he said.

Then virtue is the health and beauty and well-being of the soul, and vice the disease and weakness and deformity of the same?

True.

And do not good practices lead to virtue, and evil practices to vice?

Assuredly.

Still our old question of the comparative advantage of justice and injustice has not been answered: Which is the more profitable, to be just and act justly and practise virtue, whether seen or unseen of gods and men, or to be unjust and act unjustly, if only unpunished and unreformed?

In my judgment, Socrates, the question has now become ridiculous. We know that, when the bodily constitution is gone, life is no longer endurable, though pampered with all kinds of meats and drinks, and having all wealth and all power; and shall we be told that when the very essence of the vital principle is undermined and corrupted, life is still worth having to a man, if only he be allowed to do whatever he likes with the single exception that he is not to acquire justice and virtue, or to escape from injustice and vice; assuming them both to be such as we have described?

Yes, I said, the question is, as you say, ridiculous. Still, as we are near the spot at which we may see the truth in the clearest manner with our own eyes, let us not faint by the way.

Certainly not, he replied.

Come up hither, I said, and behold the various forms of vice, those of them, I mean, which are worth looking at.

I am following you, he replied: proceed.

I said, The argument seems to have reached a height from which, as from some tower of speculation, a man may look down and see that virtue is one, but that the forms of vice are innumerable; there being four special ones which are deserving of note.

What do you mean? he said.

I mean, I replied, that there appear to be as many forms of the soul as there are distinct forms of the State.

How many?

There are five of the State, and five of the soul, I said.

What are they?

The first, I said, is that which we have been describing, and which may be said to have two names, monarchy and aristocracy, accordingly as rule is exercised by one distinguished man or by many.

True, he replied.

But I regard the two names as describing one form only; for whether the government is in the hands of one or many, if the governors have been trained in the manner which we have supposed, the fundamental laws of the State will be maintained.

That is true, he replied

## 4.2 Locke on Justice

### *About this Text*

We met John Locke in the happiness module. We've got some excerpts this week from his *Second Treatise of Government*. In the *Second Treatise*, Locke lays out his argument that rational people will only consent to a government that limits itself to protecting their rights and so does not abuse those rights. Put differently, Locke understands justice as about rights, limited government, and consent.

EXCERPTS FROM JOHN LOCKE, *SECOND TREATISE OF GOVERNMENT* (SOURCE)

### *CHAPTER. II.*

#### *OF THE STATE OF NATURE.*

Sect. 4. TO understand political power right, and derive it from its original, we must consider, what state all men are naturally in, and that is, a state of perfect freedom to order their actions, and dispose of their possessions and persons, as they think fit, within the bounds of the law of nature, without asking leave, or depending upon the will of any other man.

A state also of equality, wherein all the power and jurisdiction is reciprocal, no one having more than another; there being nothing more evident, than that creatures of the same species and rank, promiscuously born to all the same advantages of nature, and the use of the same faculties, should also be equal one amongst another without subordination or subjection, unless the lord and master of them all should, by any manifest declaration of his will, set one above another, and confer on him, by an evident and clear appointment, an undoubted right to dominion and sovereignty.

Sect. 5. This equality of men by nature, the judicious Hooker looks upon as so evident in itself, and beyond all question, that he makes it the foundation of that obligation to mutual love amongst men, on which he builds the duties they owe one another, and from whence he derives the great maxims of justice and charity. His words are,

The like natural inducement hath brought men to know that it is no less their duty, to love others than themselves; for seeing those things which are equal, must needs all have one measure; if I cannot but wish to receive good, even as much at every man's hands, as any man can wish unto his own soul, how should I look to have any part of my desire herein satisfied, unless myself be careful to satisfy the like desire, which is undoubtedly in other men, being of one and the same nature? To have any thing offered them repugnant to this desire, must needs in all respects grieve them as

much as me; so that if I do harm, I must look to suffer, there being no reason that others should shew greater measure of love to me, than they have by me shewed unto them: my desire therefore to be loved of my equals in nature as much as possible may be, imposeth upon me a natural duty of bearing to them-ward fully the like affection; from which relation of equality between ourselves and them that are as ourselves, what several rules and canons natural reason hath drawn, for direction of life, no man is ignorant, Eccl. Pol. Lib. 1.

Sect. 6. But though this be a state of liberty, yet it is not a state of licence: though man in that state have an uncontrollable liberty to dispose of his person or possessions, yet he has not liberty to destroy himself, or so much as any creature in his possession, but where some nobler use than its bare preservation calls for it. The state of nature has a law of nature to govern it, which obliges every one: and reason, which is that law, teaches all mankind, who will but consult it, that being all equal and independent, no one ought to harm another in his life, health, liberty, or possessions: for men being all the workmanship of one omnipotent, and infinitely wise maker; all the servants of one sovereign master, sent into the world by his order, and about his business; they are his property, whose workmanship they are, made to last during his, not one another's pleasure: and being furnished with like faculties, sharing all in one community of nature, there cannot be supposed any such subordination among us, that may authorize us to destroy one another, as if we were made for one another's uses, as the inferior ranks of creatures are for our's. Every one, as he is bound to preserve himself, and not to quit his station wilfully, so by the like reason, when his own preservation comes not in competition, ought he, as much as he can, to preserve the rest of mankind, and may not, unless it be to do justice on an offender, take away, or impair the life, or what tends to the preservation of the life, the liberty, health, limb, or goods of another.

Sect. 7. And that all men may be restrained from invading others rights, and from doing hurt to one another, and the law of nature be observed, which willeth the peace and preservation of all mankind, the execution of the law of nature is, in that state, put into every man's hands, whereby every one has a right to punish the transgressors of that law to such a degree, as may hinder its violation: for the law of nature would, as all other laws that concern men in this world 'be in vain, if there were no body that in the state of nature had a power to execute that law, and thereby preserve the innocent and restrain offenders. And if any one in the state of nature may punish another for any evil he has done, every one may do so: for in that state of perfect equality, where naturally there is no superiority or jurisdiction of one over another, what any may do in prosecution of that law, every one must needs have a right to do.

Sect. 8. And thus, in the state of nature, one man comes by a power over another; but yet no absolute or arbitrary power, to use a criminal, when he has got him in his hands, according to the passionate heats, or boundless extravagancy of his own will; but only to retribute to him, so far as calm reason and conscience dictate, what is proportionate to his transgression, which is so much as may serve for reparation and restraint: for these two are the only reasons, why one man may lawfully do harm to another, which is that we call punishment. In transgressing the law of nature, the offender declares himself to live by another rule than that of reason and common equity, which is that measure God has set to the actions of men, for their mutual security; and so he becomes dangerous to mankind, the tye, which is to secure them from injury and violence, being slighted and broken by him. Which being a trespass against the whole species, and the peace and safety of it, provided for by the law of nature, every man upon this score, by the right he hath to preserve

mankind in general, may restrain, or where it is necessary, destroy things noxious to them, and so may bring such evil on any one, who hath transgressed that law, as may make him repent the doing of it, and thereby deter him, and by his example others, from doing the like mischief. And in the case, and upon this ground, EVERY MAN HATH A RIGHT TO PUNISH THE OFFENDER, AND BE EXECUTIONER OF THE LAW OF NATURE.

Sect. 9. I doubt not but this will seem a very strange doctrine to some men: but before they condemn it, I desire them to resolve me, by what right any prince or state can put to death, or punish an alien, for any crime he commits in their country. It is certain their laws, by virtue of any sanction they receive from the promulgated will of the legislative, reach not a stranger: they speak not to him, nor, if they did, is he bound to hearken to them. The legislative authority, by which they are in force over the subjects of that commonwealth, hath no power over him. Those who have the supreme power of making laws in England, France or Holland, are to an Indian, but like the rest of the world, men without authority: and therefore, if by the law of nature every man hath not a power to punish offences against it, as he soberly judges the case to require, I see not how the magistrates of any community can punish an alien of another country; since, in reference to him, they can have no more power than what every man naturally may have over another.

Sect. 10. Besides the crime which consists in violating the law, and varying from the right rule of reason, whereby a man so far becomes degenerate, and declares himself to quit the principles of human nature, and to be a noxious creature, there is commonly injury done to some person or other, and some other man receives damage by his transgression: in which case he who hath received any damage, has, besides the right of punishment common to him with other men, a particular right to seek reparation from him that has done it: and any other person, who finds it just, may also join with him that is injured, and assist him in recovering from the offender so much as may make satisfaction for the harm he has suffered.

Sect. 11. From these two distinct rights, the one of punishing the crime for restraint, and preventing the like offence, which right of punishing is in every body; the other of taking reparation, which belongs only to the injured party, comes it to pass that the magistrate, who by being magistrate hath the common right of punishing put into his hands, can often, where the public good demands not the execution of the law, remit the punishment of criminal offences by his own authority, but yet cannot remit the satisfaction due to any private man for the damage he has received. That, he who has suffered the damage has a right to demand in his own name, and he alone can remit: the damnified person has this power of appropriating to himself the goods or service of the offender, by right of self-preservation, as every man has a power to punish the crime, to prevent its being committed again, by the right he has of preserving all mankind, and doing all reasonable things he can in order to that end: and thus it is, that every man, in the state of nature, has a power to kill a murderer, both to deter others from doing the like injury, which no reparation can compensate, by the example of the punishment that attends it from every body, and also to secure men from the attempts of a criminal, who having renounced reason, the common rule and measure God hath given to mankind, hath, by the unjust violence and slaughter he hath committed upon one, declared war against all mankind, and therefore may be destroyed as a lion or a tyger, one of those wild savage beasts, with whom men can have no society nor security: and upon this is grounded that great law of nature, Whoso sheddeth man's blood, by man shall his blood be shed. And Cain was so fully convinced, that every one had a right to destroy such a

criminal, that after the murder of his brother, he cries out, Every one that findeth me, shall slay me; so plain was it writ in the hearts of all mankind.

Sect. 12. By the same reason may a man in the state of nature punish the lesser breaches of that law. It will perhaps be demanded, with death? I answer, each transgression may be punished to that degree, and with so much severity, as will suffice to make it an ill bargain to the offender, give him cause to repent, and terrify others from doing the like. Every offence, that can be committed in the state of nature, may in the state of nature be also punished equally, and as far forth as it may, in a commonwealth: for though it would be besides my present purpose, to enter here into the particulars of the law of nature, or its measures of punishment; yet, it is certain there is such a law, and that too, as intelligible and plain to a rational creature, and a studier of that law, as the positive laws of commonwealths; nay, possibly plainer; as much as reason is easier to be understood, than the fancies and intricate contrivances of men, following contrary and hidden interests put into words; for so truly are a great part of the municipal laws of countries, which are only so far right, as they are founded on the law of nature, by which they are to be regulated and interpreted.

Sect. 13. To this strange doctrine, viz. That in the state of nature every one has the executive power of the law of nature, I doubt not but it will be objected, that it is unreasonable for men to be judges in their own cases, that self-love will make men partial to themselves and their friends: and on the other side, that ill nature, passion and revenge will carry them too far in punishing others; and hence nothing but confusion and disorder will follow, and that therefore God hath certainly appointed government to restrain the partiality and violence of men. I easily grant, that civil government is the proper remedy for the inconveniencies of the state of nature, which must certainly be great, where men may be judges in their own case, since it is easy to be imagined, that he who was so unjust as to do his brother an injury, will scarce be so just as to condemn himself for it: but I shall desire those who make this objection, to remember, that absolute monarchs are but men; and if government is to be the remedy of those evils, which necessarily follow from men's being judges in their own cases, and the state of nature is therefore not to be endured, I desire to know what kind of government that is, and how much better it is than the state of nature, where one man, commanding a multitude, has the liberty to be judge in his own case, and may do to all his subjects whatever he pleases, without the least liberty to any one to question or controul those who execute his pleasure? and in whatsoever he doth, whether led by reason, mistake or passion, must be submitted to? much better it is in the state of nature, wherein men are not bound to submit to the unjust will of another: and if he that judges, judges amiss in his own, or any other case, he is answerable for it to the rest of mankind.

Sect. 14. It is often asked as a mighty objection, where are, or ever were there any men in such a state of nature? To which it may suffice as an answer at present, that since all princes and rulers of independent governments all through the world, are in a state of nature, it is plain the world never was, nor ever will be, without numbers of men in that state. I have named all governors of independent communities, whether they are, or are not, in league with others: for it is not every compact that puts an end to the state of nature between men, but only this one of agreeing together mutually to enter into one community, and make one body politic; other promises, and compacts, men may make one with another, and yet still be in the state of nature. The promises and bargains for truck, &c. between the two men in the desert island, mentioned by Garcilasso de la Vega, in his history of Peru; or between a Swiss and an Indian, in the woods of America, are



binding to them, though they are perfectly in a state of nature, in reference to one another: for truth and keeping of faith belongs to men, as men, and not as members of society.

Sect. 15. To those that say, there were never any men in the state of nature, I will not only oppose the authority of the judicious Hooker, Eccl. Pol. lib. i. sect. 10, where he says,

The laws which have been hitherto mentioned, i.e. the laws of nature, do bind men absolutely, even as they are men, although they have never any settled fellowship, never any solemn agreement amongst themselves what to do, or not to do: but forasmuch as we are not by ourselves sufficient to furnish ourselves with competent store of things, needful for such a life as our nature doth desire, a life fit for the dignity of man; therefore to supply those defects and imperfections which are in us, as living single and solely by ourselves, we are naturally induced to seek communion and fellowship with others: this was the cause of men's uniting themselves at first in politic societies.

But I moreover affirm, that all men are naturally in that state, and remain so, till by their own consents they make themselves members of some politic society; and I doubt not in the sequel of this discourse, to make it very clear.

## *CHAPTER. VIII.*

### *OF THE BEGINNING OF POLITICAL SOCIETIES.*

Sect. 95. MEN being, as has been said, by nature, all free, equal, and independent, no one can be put out of this estate, and subjected to the political power of another, without his own consent. The only way whereby any one divests himself of his natural liberty, and puts on the bonds of civil society, is by agreeing with other men to join and unite into a community for their comfortable, safe, and peaceable living one amongst another, in a secure enjoyment of their properties, and a greater security against any, that are not of it. This any number of men may do, because it injures not the freedom of the rest; they are left as they were in the liberty of the state of nature. When any number of men have so consented to make one community or government, they are thereby presently incorporated, and make one body politic, wherein the majority have a right to act and conclude the rest.

Sect. 96. For when any number of men have, by the consent of every individual, made a community, they have thereby made that community one body, with a power to act as one body, which is only by the will and determination of the majority: for that which acts any community, being only the consent of the individuals of it, and it being necessary to that which is one body to move one way; it is necessary the body should move that way whither the greater force carries it, which is the consent of the majority: or else it is impossible it should act or continue one body, one community, which the consent of every individual that united into it, agreed that it should; and so every one is bound by that consent to be concluded by the majority. And therefore we see, that in assemblies, impowered to act by positive laws, where no number is set by that positive law which impowers them, the act of the majority passes for the act of the whole, and of course determines, as having, by the law of nature and reason, the power of the whole.

Sect. 97. And thus every man, by consenting with others to make one body politic under one government, puts himself under an obligation, to every one of that society, to submit to the determination of the majority, and to be concluded by it; or else this original compact, whereby he with others incorporates into one society, would signify nothing, and be no compact, if he be left free, and under no other ties than he was in before in the state of nature. For what appearance would there be of any compact? what new engagement if he were no farther tied by any decrees of the society, than he himself thought fit, and did actually consent to? This would be still as great a liberty, as he himself had before his compact, or any one else in the state of nature hath, who may submit himself, and consent to any acts of it if he thinks fit.

Sect. 98. For if the consent of the majority shall not, in reason, be received as the act of the whole, and conclude every individual; nothing but the consent of every individual can make any thing to be the act of the whole: but such a consent is next to impossible ever to be had, if we consider the infirmities of health, and avocations of business, which in a number, though much less than that of a commonwealth, will necessarily keep many away from the public assembly. To which if we add the variety of opinions, and contrariety of interests, which unavoidably happen in all collections of men, the coming into society upon such terms would be only like Cato's coming into the theatre, only to go out again. Such a constitution as this would make the mighty Leviathan of a shorter duration, than the feeblest creatures, and not let it outlast the day it was born in: which cannot be supposed, till we can think, that rational creatures should desire and constitute societies only to be dissolved: for where the majority cannot conclude the rest, there they cannot act as one body, and consequently will be immediately dissolved again.

Sect. 99. Whosoever therefore out of a state of nature unite into a community, must be understood to give up all the power, necessary to the ends for which they unite into society, to the majority of the community, unless they expressly agreed in any number greater than the majority. And this is done by barely agreeing to unite into one political society, which is all the compact that is, or needs be, between the individuals, that enter into, or make up a commonwealth. And thus that, which begins and actually constitutes any political society, is nothing but the consent of any number of freemen capable of a majority to unite and incorporate into such a society. And this is that, and that only, which did, or could give beginning to any lawful government in the world ...

Sect. 119. Every man being, as has been shewed, naturally free, and nothing being able to put him into subjection to any earthly power, but only his own consent; it is to be considered, what shall be understood to be a sufficient declaration of a man's consent, to make him subject to the laws of any government. There is a common distinction of an express and a tacit consent, which will concern our present case. No body doubts but an express consent, of any man entering into any society, makes him a perfect member of that society, a subject of that government. The difficulty is, what ought to be looked upon as a tacit consent, and how far it binds, i.e. how far any one shall be looked on to have consented, and thereby submitted to any government, where he has made no expressions of it at all. And to this I say, that every man, that hath any possessions, or enjoyment, of any part of the dominions of any government, doth thereby give his tacit consent, and is as far forth obliged to obedience to the laws of that government, during such enjoyment, as any one under it; whether this his possession be of land, to him and his heirs for ever, or a lodging only for a week; or whether it be barely travelling freely on the highway; and in effect, it reaches as far as the very being of any one within the territories of that government.

Sect. 120. To understand this the better, it is fit to consider, that every man, when he at first

incorporates himself into any commonwealth, he, by his uniting himself thereunto, annexed also, and submits to the community, those possessions, which he has, or shall acquire, that do not already belong to any other government: for it would be a direct contradiction, for any one to enter into society with others for the securing and regulating of property; and yet to suppose his land, whose property is to be regulated by the laws of the society, should be exempt from the jurisdiction of that government, to which he himself, the proprietor of the land, is a subject. By the same act therefore, whereby any one unites his person, which was before free, to any commonwealth, by the same he unites his possessions, which were before free, to it also; and they become, both of them, person and possession, subject to the government and dominion of that commonwealth, as long as it hath a being. Whoever therefore, from thenceforth, by inheritance, purchase, permission, or otherways, enjoys any part of the land, so annexed to, and under the government of that commonwealth, must take it with the condition it is under; that is, of submitting to the government of the commonwealth, under whose jurisdiction it is, as far forth as any subject of it.

Sect. 121. But since the government has a direct jurisdiction only over the land, and reaches the possessor of it, (before he has actually incorporated himself in the society) only as he dwells upon, and enjoys that; the obligation any one is under, by virtue of such enjoyment, to submit to the government, begins and ends with the enjoyment; so that whenever the owner, who has given nothing but such a tacit consent to the government, will, by donation, sale, or otherwise, quit the said possession, he is at liberty to go and incorporate himself into any other commonwealth; or to agree with others to begin a new one, in vacuis locis, in any part of the world, they can find free and unpossessed: whereas he, that has once, by actual agreement, and any express declaration, given his consent to be of any commonwealth, is perpetually and indispensably obliged to be, and remain unalterably a subject to it, and can never be again in the liberty of the state of nature; unless, by any calamity, the government he was under comes to be dissolved; or else by some public act cuts him off from being any longer a member of it.

Sect. 122. But submitting to the laws of any country, living quietly, and enjoying privileges and protection under them, makes not a man a member of that society: this is only a local protection and homage due to and from all those, who, not being in a state of war, come within the territories belonging to any government, to all parts whereof the force of its laws extends. But this no more makes a man a member of that society, a perpetual subject of that commonwealth, than it would make a man a subject to another, in whose family he found it convenient to abide for some time; though, whilst he continued in it, he were obliged to comply with the laws, and submit to the government he found there. And thus we see, that foreigners, by living all their lives under another government, and enjoying the privileges and protection of it, though they are bound, even in conscience, to submit to its administration, as far forth as any denison; yet do not thereby come to be subjects or members of that commonwealth. Nothing can make any man so, but his actually entering into it by positive engagement, and express promise and compact. This is that, which I think, concerning the beginning of political societies, and that consent which makes any one a member of any commonwealth.

## 4.3 Rawls on Justice

### *About this Text*

John Rawls was one of the most prominent political philosophers of the 20th century. We're reading excerpts from his *A Theory of Justice*, published in 1971 (available as a pdf – see the link below). Locke argues that justice involves a fair distribution of freedoms and primary goods. See if you can figure out what a just distribution requires for Rawls. He defends his idea of justice by arguing that it is what people would choose if they entered the “original position,” which involves setting aside all aspects of their individual justice and considering only what reason tells them about justice. Think about how this compares to the arguments made by Locke, Hobbes and Rousseau about how people choose legitimate government.

EXCERPTS FROM JOHN RAWLS, *A THEORY OF JUSTICE*

[CLICK HERE TO OPEN PDF IN NEW TAB](#)

## 4.4 Young on Justice

### *About this Text*

Iris Marion Young was a late 20th century political theorist. In the excerpts we're reading from *Justice and the Politics of Difference*, Young criticizes Rawls' focus on distribution. She argues that while distribution works as a way to think about economic justice, focusing only on distribution can blind us to injustice in the form of domination and oppression. As you read, think about the kinds of domination and oppression that Young has in mind and why she thinks Rawls' theory is ineffective in diagnosing and correcting them.

IRIS MARION YOUNG

EXCERPTS FROM *JUSTICE AND THE POLITICS OF DIFFERENCE*

*click to open pdf in new tab*

# MODULE 5: POWER

## 5.1 Thucydides on Power

### *About this Text*

bust of Thucydides  
*Bust of Thucydides*

Arendt looks back to ancient Greece and Rome for examples of the sort of power she has in mind. One place she looks is to Athens during the time of the great statesman Pericles. So, we're reading an excerpt from Thucydides, *History of the Peloponnesian War* in which the great Athenian general Pericles describes the greatness of Athens.

EXCERPTS FROM THUCYDIDES, *THE PELOPONNESIAN WAR* (SOURCE)

### Book 2, Chapters 35-46

In the same winter the Athenians gave a funeral at the public cost to those who had first fallen in this war. It was a custom of their ancestors, and the manner of it is as follows. Three days before the ceremony, the bones of the dead are laid out in a tent which has been erected; and their friends bring to their relatives such offerings as they please. In the funeral procession cypress coffins are borne in cars, one for each tribe; the bones of the deceased being placed in the coffin of their tribe. Among these is carried one empty bier decked for the missing, that is, for those whose bodies could not be recovered. Any citizen or stranger who pleases, joins in the procession: and the female relatives are there to wail at the burial. The dead are laid in the public sepulchre in the Beautiful suburb of the city, in which those who fall in war are always buried; with the exception of those slain at Marathon, who for their singular and extraordinary valour were interred on the spot where they fell. After the bodies have been laid in the earth, a man chosen by the state, of approved wisdom and eminent reputation, pronounces over them an appropriate panegyric; after which all retire. Such is the manner of the burying; and throughout the whole of the war, whenever the occasion arose, the established custom was observed. Meanwhile these were the first that had fallen, and Pericles, son of Xanthippus, was chosen to pronounce their eulogium. When the proper time arrived, he advanced from the sepulchre to an elevated platform in order to be heard by as many of the crowd as possible, and spoke as follows:

“Most of my predecessors in this place have commended him who made this speech part of the law, telling us that it is well that it should be delivered at the burial of those who fall in battle. For myself, I should have thought that the worth which had displayed itself in deeds would be sufficiently rewarded by honours also shown by deeds; such as you now see in this funeral prepared at the people's cost. And I could have wished that the reputations of many brave men

were not to be imperilled in the mouth of a single individual, to stand or fall according as he spoke well or ill. For it is hard to speak properly upon a subject where it is even difficult to convince your hearers that you are speaking the truth. On the one hand, the friend who is familiar with every fact of the story may think that some point has not been set forth with that fullness which he wishes and knows it to deserve; on the other, he who is a stranger to the matter may be led by envy to suspect exaggeration if he hears anything above his own nature. For men can endure to hear others praised only so long as they can severally persuade themselves of their own ability to equal the actions recounted: when this point is passed, envy comes in and with it incredulity. However, since our ancestors have stamped this custom with their approval, it becomes my duty to obey the law and to try to satisfy your several wishes and opinions as best I may.

“I shall begin with our ancestors: it is both just and proper that they should have the honour of the first mention on an occasion like the present. They dwelt in the country without break in the succession from generation to generation, and handed it down free to the present time by their valour. And if our more remote ancestors deserve praise, much more do our own fathers, who added to their inheritance the empire which we now possess, and spared no pains to be able to leave their acquisitions to us of the present generation. Lastly, there are few parts of our dominions that have not been augmented by those of us here, who are still more or less in the vigour of life; while the mother country has been furnished by us with everything that can enable her to depend on her own resources whether for war or for peace. That part of our history which tells of the military achievements which gave us our several possessions, or of the ready valour with which either we or our fathers stemmed the tide of Hellenic or foreign aggression, is a theme too familiar to my hearers for me to dilate on, and I shall therefore pass it by. But what was the road by which we reached our position, what the form of government under which our greatness grew, what the national habits out of which it sprang; these are questions which I may try to solve before I proceed to my panegyric upon these men; since I think this to be a subject upon which on the present occasion a speaker may properly dwell, and to which the whole assemblage, whether citizens or foreigners, may listen with advantage.

“Our constitution does not copy the laws of neighbouring states; we are rather a pattern to others than imitators ourselves. Its administration favours the many instead of the few; this is why it is called a democracy. If we look to the laws, they afford equal justice to all in their private differences; if no social standing, advancement in public life falls to reputation for capacity, class considerations not being allowed to interfere with merit; nor again does poverty bar the way, if a man is able to serve the state, he is not hindered by the obscurity of his condition. The freedom which we enjoy in our government extends also to our ordinary life. There, far from exercising a jealous surveillance over each other, we do not feel called upon to be angry with our neighbour for doing what he likes, or even to indulge in those injurious looks which cannot fail to be offensive, although they inflict no positive penalty. But all this ease in our private relations does not make us lawless as citizens. Against this fear is our chief safeguard, teaching us to obey the magistrates and the laws, particularly such as regard the protection of the injured, whether they are actually on the statute book, or belong to that code which, although unwritten, yet cannot be broken without acknowledged disgrace.

“Further, we provide plenty of means for the mind to refresh itself from business. We celebrate games and sacrifices all the year round, and the elegance of our private establishments forms a daily source of pleasure and helps to banish the spleen; while the magnitude of our city draws the



produce of the world into our harbour, so that to the Athenian the fruits of other countries are as familiar a luxury as those of his own.

“If we turn to our military policy, there also we differ from our antagonists. We throw open our city to the world, and never by alien acts exclude foreigners from any opportunity of learning or observing, although the eyes of an enemy may occasionally profit by our liberality; trusting less in system and policy than to the native spirit of our citizens; while in education, where our rivals from their very cradles by a painful discipline seek after manliness, at Athens we live exactly as we please, and yet are just as ready to encounter every legitimate danger. In proof of this it may be noticed that the Lacedaemonians do not invade our country alone, but bring with them all their confederates; while we Athenians advance unsupported into the territory of a neighbour, and fighting upon a foreign soil usually vanquish with ease men who are defending their homes. Our united force was never yet encountered by any enemy, because we have at once to attend to our marine and to dispatch our citizens by land upon a hundred different services; so that, wherever they engage with some such fraction of our strength, a success against a detachment is magnified into a victory over the nation, and a defeat into a reverse suffered at the hands of our entire people. And yet if with habits not of labour but of ease, and courage not of art but of nature, we are still willing to encounter danger, we have the double advantage of escaping the experience of hardships in anticipation and of facing them in the hour of need as fearlessly as those who are never free from them.

“Nor are these the only points in which our city is worthy of admiration. We cultivate refinement without extravagance and knowledge without effeminacy; wealth we employ more for use than for show, and place the real disgrace of poverty not in owning to the fact but in declining the struggle against it. Our public men have, besides politics, their private affairs to attend to, and our ordinary citizens, though occupied with the pursuits of industry, are still fair judges of public matters; for, unlike any other nation, regarding him who takes no part in these duties not as unambitious but as useless, we Athenians are able to judge at all events if we cannot originate, and, instead of looking on discussion as a stumbling-block in the way of action, we think it an indispensable preliminary to any wise action at all. Again, in our enterprises we present the singular spectacle of daring and deliberation, each carried to its highest point, and both united in the same persons; although usually decision is the fruit of ignorance, hesitation of reflection. But the palm of courage will surely be adjudged most justly to those, who best know the difference between hardship and pleasure and yet are never tempted to shrink from danger. In generosity we are equally singular, acquiring our friends by conferring, not by receiving, favours. Yet, of course, the doer of the favour is the firmer friend of the two, in order by continued kindness to keep the recipient in his debt; while the debtor feels less keenly from the very consciousness that the return he makes will be a payment, not a free gift. And it is only the Athenians, who, fearless of consequences, confer their benefits not from calculations of expediency, but in the confidence of liberality.

“In short, I say that as a city we are the school of Hellas, while I doubt if the world can produce a man who, where he has only himself to depend upon, is equal to so many emergencies, and graced by so happy a versatility, as the Athenian. And that this is no mere boast thrown out for the occasion, but plain matter of fact, the power of the state acquired by these habits proves. For Athens alone of her contemporaries is found when tested to be greater than her reputation, and alone gives no occasion to her assailants to blush at the antagonist by whom they have been worsted, or to her subjects to question her title by merit to rule. Rather, the admiration of the

present and succeeding ages will be ours, since we have not left our power without witness, but have shown it by mighty proofs; and far from needing a Homer for our panegyrist, or other of his craft whose verses might charm for the moment only for the impression which they gave to melt at the touch of fact, we have forced every sea and land to be the highway of our daring, and everywhere, whether for evil or for good, have left imperishable monuments behind us. Such is the Athens for which these men, in the assertion of their resolve not to lose her, nobly fought and died; and well may every one of their survivors be ready to suffer in her cause.

“Indeed if I have dwelt at some length upon the character of our country, it has been to show that our stake in the struggle is not the same as theirs who have no such blessings to lose, and also that the panegyric of the men over whom I am now speaking might be by definite proofs established. That panegyric is now in a great measure complete; for the Athens that I have celebrated is only what the heroism of these and their like have made her, men whose fame, unlike that of most Hellenes, will be found to be only commensurate with their deserts. And if a test of worth be wanted, it is to be found in their closing scene, and this not only in cases in which it set the final seal upon their merit, but also in those in which it gave the first intimation of their having any. For there is justice in the claim that steadfastness in his country’s battles should be as a cloak to cover a man’s other imperfections; since the good action has blotted out the bad, and his merit as a citizen more than outweighed his demerits as an individual. But none of these allowed either wealth with its prospect of future enjoyment to unnerve his spirit, or poverty with its hope of a day of freedom and riches to tempt him to shrink from danger. No, holding that vengeance upon their enemies was more to be desired than any personal blessings, and reckoning this to be the most glorious of hazards, they joyfully determined to accept the risk, to make sure of their vengeance, and to let their wishes wait; and while committing to hope the uncertainty of final success, in the business before them they thought fit to act boldly and trust in themselves. Thus choosing to die resisting, rather than to live submitting, they fled only from dishonour, but met danger face to face, and after one brief moment, while at the summit of their fortune, escaped, not from their fear, but from their glory.

“So died these men as became Athenians. You, their survivors, must determine to have as unfaltering a resolution in the field, though you may pray that it may have a happier issue. And not contented with ideas derived only from words of the advantages which are bound up with the defence of your country, though these would furnish a valuable text to a speaker even before an audience so alive to them as the present, you must yourselves realize the power of Athens, and feed your eyes upon her from day to day, till love of her fills your hearts; and then, when all her greatness shall break upon you, you must reflect that it was by courage, sense of duty, and a keen feeling of honour in action that men were enabled to win all this, and that no personal failure in an enterprise could make them consent to deprive their country of their valour, but they laid it at her feet as the most glorious contribution that they could offer. For this offering of their lives made in common by them all they each of them individually received that renown which never grows old, and for a sepulchre, not so much that in which their bones have been deposited, but that noblest of shrines wherein their glory is laid up to be eternally remembered upon every occasion on which deed or story shall call for its commemoration. For heroes have the whole earth for their tomb; and in lands far from their own, where the column with its epitaph declares it, there is enshrined in every breast a record unwritten with no tablet to preserve it, except that of the heart. These take as your model and, judging happiness to be the fruit of freedom and freedom of valour, never

decline the dangers of war. For it is not the miserable that would most justly be unsparing of their lives; these have nothing to hope for: it is rather they to whom continued life may bring reverses as yet unknown, and to whom a fall, if it came, would be most tremendous in its consequences. And surely, to a man of spirit, the degradation of cowardice must be immeasurably more grievous than the unfelt death which strikes him in the midst of his strength and patriotism!

“Comfort, therefore, not condolence, is what I have to offer to the parents of the dead who may be here. Numberless are the chances to which, as they know, the life of man is subject; but fortunate indeed are they who draw for their lot a death so glorious as that which has caused your mourning, and to whom life has been so exactly measured as to terminate in the happiness in which it has been passed. Still I know that this is a hard saying, especially when those are in question of whom you will constantly be reminded by seeing in the homes of others blessings of which once you also boasted: for grief is felt not so much for the want of what we have never known, as for the loss of that to which we have been long accustomed. Yet you who are still of an age to beget children must bear up in the hope of having others in their stead; not only will they help you to forget those whom you have lost, but will be to the state at once a reinforcement and a security; for never can a fair or just policy be expected of the citizen who does not, like his fellows, bring to the decision the interests and apprehensions of a father. While those of you who have passed your prime must congratulate yourselves with the thought that the best part of your life was fortunate, and that the brief span that remains will be cheered by the fame of the departed. For it is only the love of honour that never grows old; and honour it is, not gain, as some would have it, that rejoices the heart of age and helplessness.

“Turning to the sons or brothers of the dead, I see an arduous struggle before you. When a man is gone, all are wont to praise him, and should your merit be ever so transcendent, you will still find it difficult not merely to overtake, but even to approach their renown. The living have envy to contend with, while those who are no longer in our path are honoured with a goodwill into which rivalry does not enter. On the other hand, if I must say anything on the subject of female excellence to those of you who will now be in widowhood, it will be all comprised in this brief exhortation. Great will be your glory in not falling short of your natural character; and greatest will be hers who is least talked of among the men, whether for good or for bad.

“My task is now finished. I have performed it to the best of my ability, and in word, at least, the requirements of the law are now satisfied. If deeds be in question, those who are here interred have received part of their honours already, and for the rest, their children will be brought up till manhood at the public expense: the state thus offers a valuable prize, as the garland of victory in this race of valour, for the reward both of those who have fallen and their survivors. And where the rewards for merit are greatest, there are found the best citizens.

“And now that you have brought to a close your lamentations for your relatives, you may depart.”

## 5.2 Hobbes on Power

### *About this Text*

Thomas Hobbes  
*Thomas Hobbes*

We'll start of the week with excerpts from Thomas Hobbes' *Leviathan*, You'll remember Hobbes from previous weeks as a social contract theorist with a frightening view of the state of nature. In these excerpts, Hobbes tells us what he thinks of power. Pay attention to the various things that he thinks can contribute to the power of an individual and try to think of your own real world examples.

EXCERPTS FROM THOMAS HOBBS, LEVIATHAN (SOURCE)

*BOOK 1, CHAPTER X. OF POWER, WORTH, DIGNITY, HONOUR AND WORTHINESS*

### *Power*

The POWER of a Man, (to take it Universally,) is his present means, to obtain some future apparent Good. And is either Originall, or Instrumentall.

Naturall Power, is the eminence of the Faculties of Body, or Mind: as extraordinary Strength, Forme, Prudence, Arts, Eloquence, Liberality, Nobility. Instrumentall are those Powers, which acquired by these, or by fortune, are means and Instruments to acquire more: as Riches, Reputation, Friends, and the Secret working of God, which men call Good Luck. For the nature of Power, is in this point, like to Fame, increasing as it proceeds; or like the motion of heavy bodies, which the further they go, make still the more hast.

The Greatest of humane Powers, is that which is compounded of the Powers of most men, united by consent, in one person, Naturall, or civill, that has the use of all their Powers depending on his will; such as is the Power of a Common-wealth: or depending on the wills of each particular; such as is the Power of a Faction, or of divers factions leagued. Therefore to have servants, is Power; To have Friends, is Power: for they are strengths united.

Also Riches joyned with liberality, is Power; because it procureth friends, and servants: Without liberality, not so; because in this case they defend not; but expose men to Envy, as a Prey.

Reputation of power, is Power; because it draweth with it the adhaerance of those that need protection.

So is Reputation of love of a mans Country, (called Popularity,) for the same Reason.

Also, what quality soever maketh a man beloved, or feared of many; or the reputation of such quality, is Power; because it is a means to have the assistance, and service of many.

Good successe is Power; because it maketh reputation of Wisdome, or good fortune; which makes men either feare him, or rely on him.

Affability of men already in power, is encrease of Power; because it gaineth love.

Reputation of Prudence in the conduct of Peace or War, is Power; because to prudent men, we commit the government of our selves, more willingly than to others.

Nobility is Power, not in all places, but onely in those Common-wealths, where it has Priviledges: for in such priviledges consisteth their Power.

Eloquence is Power; because it is seeming Prudence.

Forme is Power; because being a promise of Good, it recommendeth men to the favour of women and strangers.

The Sciences, are small Power; because not eminent; and therefore, not acknowledged in any man; nor are at all, but in a few; and in them, but of a few things. For Science is of that nature, as none can understand it to be, but such as in a good measure have attayned it.

Arts of publique use, as Fortification, making of Engines, and other Instruments of War; because they conferre to Defence, and Victory, are Power; And though the true Mother of them, be Science, namely the Mathematicques; yet, because they are brought into the Light, by the hand of the Artificer, they be esteemed (the Midwife passing with the vulgar for the Mother,) as his issue.

### **Worth**

The Value, or WORTH of a man, is as of all other things, his Price; that is to say, so much as would be given for the use of his Power: and therefore is not absolute; but a thing dependant on the need and judgement of another. An able conductor of Souldiers, is of great Price in time of War present, or imminent; but in Peace not so. A learned and uncorrupt Judge, is much Worth in time of Peace; but not so much in War. And as in other things, so in men, not the seller, but the buyer determines the Price. For let a man (as most men do,) rate themselves as the highest Value they can; yet their true Value is no more than it is esteemed by others.

The manifestation of the Value we set on one another, is that which is commonly called Honouring, and Dishonouring. To Value a man at a high rate, is to Honour him; at a low rate, is to Dishonour him. But high, and low, in this case, is to be understood by comparison to the rate that each man setteth on himselfe.

### **Dignity**

The publique worth of a man, which is the Value set on him by the Common-wealth, is that which men commonly call DIGNITY. And this Value of him by the Common-wealth, is understood, by offices of Command, Judicature, publike Employment; or by Names and Titles, introduced for distinction of such Value.

### **To Honour and Dishonour**

To pray to another, for ayde of any kind, is to HONOUR; because a signe we have an opinion he has power to help; and the more difficult the ayde is, the more is the Honour.

To obey, is to Honour; because no man obeyes them, whom they think have no power to help, or hurt them. And consequently to disobey, is to Dishonour.

To give great gifts to a man, is to Honour him; because 'tis buying of Protection, and acknowledging of Power. To give little gifts, is to Dishonour; because it is but Almes, and signifies an opinion of the need of small helps. To be sedulous in promoting anothers good; also to flatter, is to Honour; as a signe we seek his protection or ayde. To neglect, is to Dishonour.

To give way, or place to another, in any Commodity, is to Honour; being a confession of greater power. To arrogate, is to Dishonour.

To shew any signe of love, or feare of another, is to Honour; for both to love, and to feare, is to value. To contemne, or lesse to love or feare then he expects, is to Dishonour; for 'tis undervaluing.

To praise, magnifie, or call happy, is to Honour; because nothing but goodnesse, power, and felicity is valued. To revile, mock, or pittie, is to Dishonour.

To speak to another with consideration, to appear before him with decency, and humility, is to Honour him; as signes of fear to offend. To speak to him rashly, to do anything before him obscenely, slovenly, impudently, is to Dishonour.

To believe, to trust, to rely on another, is to Honour him; signe of opinion of his vertue and power. To distrust, or not believe, is to Dishonour.

To hearken to a mans counsell, or discourse of what kind soever, is to Honour; as a signe we think him wise, or eloquent, or witty. To sleep, or go forth, or talk the while, is to Dishonour.

To do those things to another, which he takes for signes of Honour, or which the Law or Custome makes so, is to Honour; because in approving the Honour done by others, he acknowledgeth the power which others acknowledge. To refuse to do them, is to Dishonour.

To agree with in opinion, is to Honour; as being a signe of approving his judgement, and wisdom. To dissent, is Dishonour; and an upbraiding of error; and (if the dissent be in many things) of folly.

To imitate, is to Honour; for it is vehemently to approve. To imitate ones Enemy, is to Dishonour.

To honour those another honours, is to Honour him; as a signe of approbation of his judgement. To honour his Enemies, is to Dishonour him.

To employ in counsell, or in actions of difficulty, is to Honour; as a signe of opinion of his wisdom, or other power. To deny employment in the same cases, to those that seek it, is to Dishonour.

All these wayes of Honouring, are naturall; and as well within, as without Common-wealths. But in Common-wealths, where he, or they that have the supreme Authority, can make whatsoever they please, to stand for signes of Honour, there be other Honours.

A Sovereigne doth Honour a Subject, with whatsoever Title, or Office, or Employment, or Action, that he himselfe will have taken for a signe of his will to Honour him.

The King of Persia, Honoured Mordecay, when he appointed he should be conducted through the streets in the Kings Garment, upon one of the Kings Horses, with a Crown on his head, and a Prince before him, proclayming, "Thus shall it be done to him that the King will honour." And yet another King of Persia, or the same another time, to one that demanded for some great service, to weare one of the Kings robes, gave him leave so to do; but with his addition, that he should weare it as the Kings foole; and then it was Dishonour. So that of Civill Honour; such as are Magistracy, Offices, Titles; and in some places Coats, and Scutchions painted: and men Honour such as have them, as having so many signes of favour in the Common-wealth; which favour is Power.

Honourable is whatsoever possession, action, or quality, is an argument and signe of Power.

And therefore To be Honoured, loved, or feared of many, is Honourable; as arguments of Power. To be Honoured of few or none, Dishonourable.

Good fortune (if lasting,) Honourable; as a signe of the favour of God. Ill fortune, and losses, Dishonourable. Riches, are Honourable; for they are Power. Poverty, Dishonourable. Magnanimity, Liberality, Hope, Courage, Confidence, are Honourable; for they proceed from the conscience of Power. Pusillanimity, Parsimony, Fear, Diffidence, are Dishonourable.

Timely Resolution, or determination of what a man is to do, is Honourable; as being the contempt of small difficulties, and dangers. And Irresolution, Dishonourable; as a signe of too much valuing of little impediments, and little advantages: For when a man has weighed things as long as the time permits, and resolves not, the difference of weight is but little; and therefore if he resolve not, he overvalues little things, which is Pusillanimity.

All Actions, and Speeches, that proceed, or seem to proceed from much Experience, Science, Discretion, or Wit, are Honourable; For all these are Powers. Actions, or Words that proceed from Errour, Ignorance, or Folly, Dishonourable.

Gravity, as farre forth as it seems to proceed from a mind employed on some thing else, is Honourable; because employment is a signe of Power. But if it seem to proceed from a purpose to appear grave, it is Dishonourable. For the gravity of the Former, is like the steddinesse of a Ship laden with Merchandise; but of the later, like the steddinesse of a Ship ballasted with Sand, and other trash.

To be Conspicuous, that is to say, to be known, for Wealth, Office, great Actions, or any eminent Good, is Honourable; as a signe of the power for which he is conspicuous. On the contrary, Obscurity, is Dishonourable.

To be descended from conspicuous Parents, is Honourable; because they the more easily attain the aydes, and friends of their Ancestors. On the contrary, to be descended from obscure Parentage, is Dishonourable.

Actions proceeding from Equity, joyned with losse, are Honourable; as signes of Magnanimity: for Magnanimity is a signe of Power. On the contrary, Craft, Shifting, neglect of Equity, is Dishonourable.

Nor does it alter the case of Honour, whether an action (so it be great and difficult, and consequently a signe of much power,) be just or unjust: for Honour consisteth onely in the opinion of Power. Therefore the ancient Heathen did not thinke they Dishonoured, but greatly Honoured the Gods, when they introduced them in their Poems, committing Rapes, Thefts, and other great, but unjust, or unclean acts: In so much as nothing is so much celebrated in Jupiter, as his Adulteries; nor in Mercury, as his Frauds, and Thefts: of whose praises, in a hymne of Homer, the greatest is this, that being born in the morning, he had invented Musique at noon, and before night, stolen away the Cattell of Appollo, from his Herdsmen.

Also amongst men, till there were constituted great Common-wealths, it was thought no dishonour to be a Pyrate, or a High-way Theefe; but rather a lawfull Trade, not onely amongst the Greeks, but also amongst all other Nations; as is manifest by the Histories of antient time. And at this day, in this part of the world, private Duels are, and alwayes will be Honourable, though unlawfull, till such time as there shall be Honour ordained for them that refuse, and Ignominy for them that make the Challenge. For Duels also are many times effects of Courage; and the ground of Courage is alwayes Strength or Skill, which are Power; though for the most part they be effects

of rash speaking, and of the fear of Dishonour, in one, or both the Combatants; who engaged by rashnesse, are driven into the Lists to avoyd disgrace.

Scutchions, and coats of Armes haereditary, where they have any eminent Priviledges, are Honourable; otherwise not: for their Power consisteth either in such Priviledges, or in Riches, or some such thing as is equally honoured in other men. This kind of Honour, commonly called Gentry, has been derived from the Antient Germans. For there never was any such thing known, where the German Customes were unknown. Nor is it now any where in use, where the Germans have not inhabited. The antient Greek Commanders, when they went to war, had their Shields painted with such Devises as they pleased; insomuch as an unpainted Buckler was a signe of Poverty, and of a common Souldier: but they transmitted not the Inheritance of them. The Romans transmitted the Marks of their Families: but they were the Images, not the Devises of their Ancestors. Amongst the people of Asia, Afrique, and America, there is not, nor was ever, any such thing. The Germans onely had that custome; from whom it has been derived into England, France, Spain, and Italy, when in great numbers they either ayded the Romans, or made their own Conquests in these Westerne parts of the world.

For Germany, being antiently, as all other Countries, in their beginnings, divided amongst an infinite number of little Lords, or Masters of Families, that continually had wars one with another; those Masters, or Lords, principally to the end they might, when they were Covered with Arms, be known by their followers; and partly for ornament, both painted their Armor, or their Scutchion, or Coat, with the picture of some Beast, or other thing; and also put some eminent and visible mark upon the Crest of their Helmets. And his ornament both of the Armes, and Crest, descended by inheritance to their Children; to the eldest pure, and to the rest with some note of diversity, such as the Old master, that is to say in Dutch, the Here-alt thought fit. But when many such Families, joyned together, made a greater Monarchy, this duty of the Herealt, to distinguish Scutchions, was made a private Office a part. And the issue of these Lords, is the great and antient Gentry; which for the most part bear living creatures, noted for courage, and rapine; or Castles, Battlements, Belts, Weapons, Bars, Palisadoes, and other notes of War; nothing being then in honour, but vertue military. Afterwards, not onely Kings, but popular Common-wealths, gave divers manners of Scutchions, to such as went forth to the War, or returned from it, for encouragement, or recompence to their service. All which, by an observing Reader, may be found in such ancient Histories, Greek and Latine, as make mention of the German Nation, and Manners, in their times.

### **Titles of Honour**

Titles of Honour, such as are Duke, Count, Marquis, and Baron, are Honourable; as signifying the value set upon them by the Sovereigne Power of the Common-wealth: Which Titles, were in old time titles of Office, and Command, derived some from the Romans, some from the Germans, and French. Dukes, in Latine Duces, being Generalls in War: Counts, Comites, such as bare the Generall company out of friendship; and were left to govern and defend places conquered, and pacified: Marquises, Marchiones, were Counts that governed the Marches, or bounds of the Empire. Which titles of Duke, Count, and Marquis, came into the Empire, about the time of Constantine the Great, from the customes of the German Militia. But Baron, seems to have been a Title of the Gaules, and signifies a Great man; such as were the Kings, or Princes men, whom they employed in war about their persons; and seems to be derived from Vir, to Ber, and Bar, that signified the same in the Language of the Gaules, that Vir in Latine; and thence to Bero, and Baro: so that such men



were called Berones, and after Barones; and (in Spanish) Varones. But he that would know more particularly the originall of Titles of Honour, may find it, as I have done this, in Mr. Seldens most excellent Treatise of that subject. In processe of time these offices of Honour, by occasion of trouble, and for reasons of good and peacable government, were turned into meer Titles; serving for the most part, to distinguish the precedence, place, and order of subjects in the Commonwealth: and men were made Dukes, Counts, Marquises, and Barons of Places, wherein they had neither possession, nor command: and other Titles also, were devised to the same end.

### **Worthinesse Fitnessse**

WORTHINESSE, is a thing different from the worth, or value of a man; and also from his merit, or desert; and consisteth in a particular power, or ability for that, whereof he is said to be worthy: which particular ability, is usually named FITNESSE, or Aptitude.

For he is Worthiest to be a Commander, to be a Judge, or to have any other charge, that is best fitted, with the qualities required to the well discharging of it; and Worthiest of Riches, that has the qualities most requisite for the well using of them: any of which qualities being absent, one may neverthesse be a Worthy man, and valuable for some thing else. Again, a man may be Worthy of Riches, Office, and Employment, that neverthesse, can plead no right to have it before another; and therefore cannot be said to merit or deserve it. For Merit, praesupposeth a right, and that the thing deserved is due by promise: Of which I shall say more hereafter, when I shall speak of Contracts.

## *CHAPTER XIII. OF THE NATURALL CONDITION OF MANKIND,*

### *AS CONCERNING THEIR FELICITY, AND MISERY*

Nature hath made men so equall, in the faculties of body, and mind; as that though there bee found one man sometimes manifestly stronger in body, or of quicker mind then another; yet when all is reckoned together, the difference between man, and man, is not so considerable, as that one man can thereupon claim to himselfe any benefit, to which another may not pretend, as well as he. For as to the strength of body, the weakest has strength enough to kill the strongest, either by secret machination, or by confederacy with others, that are in the same danger with himselfe.

And as to the faculties of the mind, (setting aside the arts grounded upon words, and especially that skill of proceeding upon generall, and infallible rules, called Science; which very few have, and but in few things; as being not a native faculty, born with us; nor attained, (as Prudence,) while we look after somewhat els,) I find yet a greater equality amongst men, than that of strength. For Prudence, is but Experience; which equall time, equally bestowes on all men, in those things they equally apply themselves unto. That which may perhaps make such equality incredible, is but a vain conceit of ones owne wisdom, which almost all men think they have in a greater degree, than the Vulgar; that is, than all men but themselves, and a few others, whom by Fame, or for concurring with themselves, they approve. For such is the nature of men, that howsoever they may acknowledge many others to be more witty, or more eloquent, or more learned; Yet they will hardly believe there be many so wise as themselves: For they see their own wit at hand, and other mens at a distance. But this proveth rather that men are in that point equall, than unequall. For

there is not ordinarily a greater signe of the equall distribution of any thing, than that every man is contented with his share.

### **From Equality Proceeds Diffidence**

From this equality of ability, ariseth equality of hope in the attaining of our Ends. And therefore if any two men desire the same thing, which neverthelesse they cannot both enjoy, they become enemies; and in the way to their End, (which is principally their owne conservation, and sometimes their delectation only,) endeavour to destroy, or subdue one an other. And from hence it comes to passe, that where an Invader hath no more to feare, than an other mans single power; if one plant, sow, build, or possesse a convenient Seat, others may probably be expected to come prepared with forces united, to dispossesse, and deprive him, not only of the fruit of his labour, but also of his life, or liberty. And the Invader again is in the like danger of another.

### **From Diffidence Warre**

And from this diffidence of one another, there is no way for any man to secure himselfe, so reasonable, as Anticipation; that is, by force, or wiles, to master the persons of all men he can, so long, till he see no other power great enough to endanger him: And this is no more than his own conservation requireth, and is generally allowed. Also because there be some, that taking pleasure in contemplating their own power in the acts of conquest, which they pursue farther than their security requires; if others, that otherwise would be glad to be at ease within modest bounds, should not by invasion increase their power, they would not be able, long time, by standing only on their defence, to subsist. And by consequence, such augmentation of dominion over men, being necessary to a mans conservation, it ought to be allowed him.

Againe, men have no pleasure, (but on the contrary a great deale of grieve) in keeping company, where there is no power able to over-awe them all. For every man looketh that his companion should value him, at the same rate he sets upon himselfe: And upon all signes of contempt, or undervaluing, naturally endeavours, as far as he dares (which amongst them that have no common power, to keep them in quiet, is far enough to make them destroy each other,) to extort a greater value from his contemners, by damage; and from others, by the example.

So that in the nature of man, we find three principall causes of quarrel. First, Competition; Secondly, Diffidence; Thirdly, Glory.

The first, maketh men invade for Gain; the second, for Safety; and the third, for Reputation. The first use Violence, to make themselves Masters of other mens persons, wives, children, and cattell; the second, to defend them; the third, for trifles, as a word, a smile, a different opinion, and any other signe of undervalue, either direct in their Persons, or by reflexion in their Kindred, their Friends, their Nation, their Profession, or their Name.

### **Out Of Civil States,**

There Is Always Warre Of Every One Against Every One Hereby it is manifest, that during the time men live without a common Power to keep them all in awe, they are in that condition which is called Warre; and such a warre, as is of every man, against every man. For WARRE, consisteth not in Battell onely, or the act of fighting; but in a tract of time, wherein the Will to contend by Battell is sufficiently known: and therefore the notion of Time, is to be considered in the nature of Warre; as it is in the nature of Weather. For as the nature of Foule weather, lyeth not in a showre or two

of rain; but in an inclination thereto of many dayes together: So the nature of War, consisteth not in actuall fighting; but in the known disposition thereto, during all the time there is no assurance to the contrary. All other time is PEACE.

### **The Incommodities Of Such A War**

Whatsoever therefore is consequent to a time of Warre, where every man is Enemy to every man; the same is consequent to the time, wherein men live without other security, than what their own strength, and their own invention shall furnish them withall. In such condition, there is no place for Industry; because the fruit thereof is uncertain; and consequently no Culture of the Earth; no Navigation, nor use of the commodities that may be imported by Sea; no commodious Building; no Instruments of moving, and removing such things as require much force; no Knowledge of the face of the Earth; no account of Time; no Arts; no Letters; no Society; and which is worst of all, continuall feare, and danger of violent death; And the life of man, solitary, poore, nasty, brutish, and short.

It may seem strange to some man, that has not well weighed these things; that Nature should thus dissociate, and render men apt to invade, and destroy one another: and he may therefore, not trusting to this Inference, made from the Passions, desire perhaps to have the same confirmed by Experience. Let him therefore consider with himselfe, when taking a journey, he armes himselfe, and seeks to go well accompanied; when going to sleep, he locks his dores; when even in his house he locks his chests; and this when he knows there bee Lawes, and publike Officers, armed, to revenge all injuries shall bee done him; what opinion he has of his fellow subjects, when he rides armed; of his fellow Citizens, when he locks his dores; and of his children, and servants, when he locks his chests. Does he not there as much accuse mankind by his actions, as I do by my words? But neither of us accuse mans nature in it. The Desires, and other Passions of man, are in themselves no Sin. No more are the Actions, that proceed from those Passions, till they know a Law that forbids them; which till Lawes be made they cannot know: nor can any Law be made, till they have agreed upon the Person that shall make it.

It may peradventure be thought, there was never such a time, nor condition of warre as this; and I believe it was never generally so, over all the world: but there are many places, where they live so now. For the savage people in many places of America, except the government of small Families, the concord whereof dependeth on naturall lust, have no government at all; and live at this day in that brutish manner, as I said before. Howsoever, it may be perceived what manner of life there would be, where there were no common Power to feare; by the manner of life, which men that have formerly lived under a peacefull government, use to degenerate into, in a civill Warre.

But though there had never been any time, wherein particular men were in a condition of warre one against another; yet in all times, Kings, and persons of Sovereigne authority, because of their Independency, are in continuall jealousies, and in the state and posture of Gladiators; having their weapons pointing, and their eyes fixed on one another; that is, their Forts, Garrisons, and Guns upon the Frontiers of their Kingdomes; and continuall Spyes upon their neighbours; which is a posture of War. But because they uphold thereby, the Industry of their Subjects; there does not follow from it, that misery, which accompanies the Liberty of particular men.

### **In Such A Warre, Nothing Is Unjust**

To this warre of every man against every man, this also is consequent; that nothing can be

Unjust. The notions of Right and Wrong, Justice and Injustice have there no place. Where there is no common Power, there is no Law: where no Law, no Injustice. Force, and Fraud, are in warre the two Cardinall vertues. Justice, and Injustice are none of the Faculties neither of the Body, nor Mind. If they were, they might be in a man that were alone in the world, as well as his Senses, and Passions. They are Qualities, that relate to men in Society, not in Solitude. It is consequent also to the same condition, that there be no Propriety, no Dominion, no Mine and Thine distinct; but onely that to be every mans that he can get; and for so long, as he can keep it. And thus much for the ill condition, which man by meer Nature is actually placed in; though with a possibility to come out of it, consisting partly in the Passions, partly in his Reason.

### **The Passions That Incline Men To Peace**

The Passions that encline men to Peace, are Feare of Death; Desire of such things as are necessary to commodious living; and a Hope by their Industry to obtain them. And Reason suggesteth convenient Articles of Peace, upon which men may be drawn to agreement. These Articles, are they, which otherwise are called the Lawes of Nature: whereof I shall speak more particularly, in the two following Chapters.

## 5.3 Foucault on Power

### *About this Text*

Michel Foucault  
*Michel Foucault*

Next up are selections from the 20th century French philosopher Michel Foucault's *Discipline and Punish*. Foucault describes a peculiar prison design, the "panopticon." That means "all seeing" or "all visible." Foucault wants us to think about the panopticon as embodying a new sort of "disciplinary" power that "normalizes" us—ALL of us. For Foucault, no person "has" power in Hobbes' sense. Instead, we are all produced by power.

EXCERPTS FROM MICHEL FOUCAULT, *DISCIPLINE AND PUNISH* (SOURCE)

### *Part III, Chapter 3: Panopticism*

The following, according to an order published at the end of the seventeenth century, were the measures to be taken when the plague appeared in a town.

First, a strict spatial partitioning: the closing of the town and its outlying districts, a prohibition to leave the town on pain of death, the killing of all stray animals; the division of the town into distinct quarters, each governed by an intendant. Each street is placed under the authority of a syndic, who keeps it under surveillance; if he leaves the street, he will be condemned to death. On the appointed day, everyone is ordered to stay indoors: it is forbidden to leave on pain of death. The syndic himself comes to lock the door of each house from the outside; he takes the key with him and hands it over to the intendant of the quarter; the intendant keeps it until the end of the quarantine. Each family will have made its own provisions; but, for bread and wine, small wooden canals are set up between the street and the interior of the houses, thus allowing each person to receive his ration without communicating with the suppliers and other residents; meat, fish and herbs will be hoisted up into the houses with pulleys and baskets. If it is absolutely necessary to leave the house, it will be done in turn, avoiding any meeting. Only the intendants, syndics and guards will move about the streets and also, between the infected houses, from one corpse to another, the 'crows', who can be left to die: these are 'people of little substance who carry the sick, bury the dead, clean and do many vile and abject offices'. It is a segmented, immobile, frozen space. Each individual is fixed in his place. And, if he moves, he does so at the risk of his life, contagion or punishment.

Inspection functions ceaselessly. The gaze is alert everywhere: 'A considerable body of militia,

commanded by good officers and men of substance', guards at the gates, at the town hall and in every quarter to ensure the prompt obedience of the people and the most absolute authority of the magistrates, 'as also to observe all disorder, theft and extortion'. At each of the town gates there will be an observation post; at the end of each street sentinels. Every day, the intendant visits the quarter in his charge, inquires whether the syndics have carried out their tasks, whether the inhabitants have anything to complain of; they 'observe their actions'. Every day, too, the syndic goes into the street for which he is responsible; stops before each house: gets all the inhabitants to appear at the windows (those who live overlooking the courtyard will be allocated a window looking onto the street at which no one but they may show themselves); he calls each of them by name; informs himself as to the state of each and every one of them – 'in which respect the inhabitants will be compelled to speak the truth under pain of death'; if someone does not appear at the window, the syndic must ask why: 'In this way he will find out easily enough whether dead or sick are being concealed.' Everyone locked up in his cage, everyone at his window, answering to his name and showing himself when asked – it is the great review of the living and the dead.

This surveillance is based on a system of permanent registration: reports from the syndics to the intendants, from the intendants to the magistrates or mayor. At the beginning of the 'lock up', the role of each of the inhabitants present in the town is laid down, one by one; this document bears 'the name, age, sex of everyone, notwithstanding his condition': a copy is sent to the intendant of the quarter, another to the office of the town hall, another to enable the syndic to make his daily roll call. Everything that may be observed during the course of the visits – deaths, illnesses, complaints, irregularities is noted down and transmitted to the intendants and magistrates. The magistrates have complete control over medical treatment; they have appointed a physician in charge; no other practitioner may treat, no apothecary prepare medicine, no confessor visit a sick person without having received from him a written note 'to prevent anyone from concealing and dealing with those sick of the contagion, unknown to the magistrates'. The registration of the pathological must be constantly centralized. The relation of each individual to his disease and to his death passes through the representatives of power, the registration they make of it, the decisions they take on it.

Five or six days after the beginning of the quarantine, the process of purifying the houses one by one is begun. All the inhabitants are made to leave; in each room 'the furniture and goods' are raised from the ground or suspended from the air; perfume is poured around the room; after carefully sealing the windows, doors and even the keyholes with wax, the perfume is set alight. Finally, the entire house is closed while the perfume is consumed; those who have carried out the work are searched, as they were on entry, 'in the presence of the residents of the house, to see that they did not have something on their persons as they left that they did not have on entering'. Four hours later, the residents are allowed to re-enter their homes.

This enclosed, segmented space, observed at every point, in which the individuals are inserted in a fixed place, in which the slightest movements are supervised, in which all events are recorded, in which an uninterrupted work of writing links the centre and periphery, in which power is exercised without division, according to a continuous hierarchical figure, in which each individual is constantly located, examined and distributed among the living beings, the sick and the dead – all this constitutes a compact model of the disciplinary mechanism. The plague is met by order; its function is to sort out every possible confusion: that of the disease, which is transmitted when bodies are mixed together; that of the evil, which is increased when fear and death overcome

prohibitions. It lays down for each individual his place, his body, his disease and his death, his well-being, by means of an omnipresent and omniscient power that subdivides itself in a regular, uninterrupted way even to the ultimate determination of the individual, of what characterizes him, of what belongs to him, of what happens to him. Against the plague, which is a mixture, discipline brings into play its power, which is one of analysis. A whole literary fiction of the festival grew up around the plague: suspended laws, lifted prohibitions, the frenzy of passing time, bodies mingling together without respect, individuals unmasked, abandoning their statutory identity and the figure under which they had been recognized, allowing a quite different truth to appear. But there was also a political dream of the plague, which was exactly its reverse: not the collective festival, "but strict divisions; not laws transgressed, but the penetration of regulation into even the smallest details of everyday life through the mediation of the complete hierarchy that assured the capillary functioning of power; not masks that were put on and taken off, but the assignment to each individual of his 'true' name, his 'true' place, his 'true' body, his 'true' disease. The plague as a form, at once real and imaginary, of disorder had as its medical and political correlative discipline. Behind the disciplinary mechanisms can be read the haunting memory of 'contagions', of the plague, of rebellions, crimes, vagabondage, desertions, people who appear and disappear, live and die in disorder.

If it is true that the leper gave rise to rituals of exclusion, which to a certain extent provided the model for and general form of the great Confinement, then the plague gave rise to disciplinary projects. Rather than the massive, binary division between one set of people and another, it called for multiple separations, individualizing distributions, an organization in depth of surveillance and control, an intensification and a ramification of power. The leper was caught up in a practice of rejection, of exile-enclosure; he was left to his doom in a mass among which it was useless to differentiate; those sick of the plague were caught up in a meticulous tactical partitioning in which individual differentiations were the constricting effects of a power that multiplied, articulated and subdivided itself; the great confinement on the one hand; the correct training on the other. The leper and his separation; the plague and its segmentations. The first is marked; the second analysed and distributed. The exile of the leper and the arrest of the plague do not bring with them the same political dream. The first is that of a pure community, the second that of a disciplined society. Two ways of exercising power over men, of controlling their relations, of separating out their dangerous mixtures. The plague-stricken town, traversed throughout with hierarchy, surveillance, observation, writing; the town immobilized by the functioning of an extensive power that bears in a distinct way over all individual bodies – this is the utopia of the perfectly governed city. The plague (envisaged as a possibility at least) is the trial in the course of which one may define ideally the exercise of disciplinary power. In order to make rights and laws function according to pure theory, the jurists place themselves in imagination in the state of nature; in order to see perfect disciplines functioning, rulers dreamt of the state of plague. Underlying disciplinary projects the image of the plague stands for all forms of confusion and disorder; just as the image of the leper, cut off from all human contact, underlies projects of exclusion.

They are different projects, then, but not incompatible ones. We see them coming slowly together, and it is the peculiarity of the nineteenth century that it applied to the space of exclusion of which the leper was the symbolic inhabitant (beggars, vagabonds, madmen and the disorderly formed the real population) the technique of power proper to disciplinary partitioning. Treat 'lepers' as 'plague victims', project the subtle segmentations of discipline onto the confused

space of internment, combine it with the methods of analytical distribution proper to power, individualize the excluded, but use procedures of individualization to mark exclusion – this is what was operated regularly by disciplinary power from the beginning of the nineteenth century in the psychiatric asylum, the penitentiary, the reformatory, the approved school and, to some extent, the hospital. Generally speaking, all the authorities exercising individual control function according to a double mode; that of binary division and branding (mad/sane; dangerous/harmless; normal/abnormal); and that of coercive assignment of differential distribution (who he is; where he must be; how he is to be characterized; how he is to be recognized; how a constant surveillance is to be exercised over him in an individual way, etc.). On the one hand, the lepers are treated as plague victims; the tactics of individualizing disciplines are imposed on the excluded; and, on the other hand, the universality of disciplinary controls makes it possible to brand the ‘leper’ and to bring into play against him the dualistic mechanisms of exclusion. The constant division between the normal and the abnormal, to which every individual is subjected, brings us back to our own time, by applying the binary branding and exile of the leper to quite different objects; the existence of a whole set of techniques and institutions for measuring, supervising and correcting the abnormal brings into play the disciplinary mechanisms to which the fear of the plague gave rise. All the mechanisms of power which, even today, are disposed around the abnormal individual, to brand him and to alter him, are composed of those two forms from which they distantly derive.

Bentham’s Panopticon is the architectural figure of this composition. We know the principle on which it was based: at the periphery, an annular building; at the centre, a tower; this tower is pierced with wide windows that open onto the inner side of the ring; the peripheric building is divided into cells, each of which extends the whole width of the building; they have two windows, one on the inside, corresponding to the windows of the tower; the other, on the outside, allows the light to cross the cell from one end to the other. All that is needed, then, is to place a supervisor in a central tower and to shut up in each cell a madman, a patient, a condemned man, a worker or a schoolboy. By the effect of backlighting, one can observe from the tower, standing out precisely against the light, the small captive shadows in the cells of the periphery. They are like so many cages, so many small theatres, in which each actor is alone, perfectly individualized and constantly visible. The panoptic mechanism arranges spatial unities that make it possible to see constantly and to recognize immediately. In short, it reverses the principle of the dungeon; or rather of its three functions – to enclose, to deprive of light and to hide – it preserves only the first and eliminates the other two. Full lighting and the eye of a supervisor capture better than darkness, which ultimately protected. Visibility is a trap.

To begin with, this made it possible – as a negative effect – to avoid those compact, swarming, howling masses that were to be found in places of confinement, those painted by Goya or described by Howard. Each individual, in his place, is securely confined to a cell from which he is seen from the front by the supervisor; but the side walls prevent him from coming into contact with his companions. He is seen, but he does not see; he is the object of information, never a subject in communication. The arrangement of his room, opposite the central tower, imposes on him an axial visibility; but the divisions of the ring, those separated cells, imply a lateral invisibility. And this invisibility is a guarantee of order. If the inmates are convicts, there is no danger of a plot, an attempt at collective escape, the planning of new crimes for the future, bad reciprocal influences; if they are patients, there is no danger of contagion; if they are madmen there is no



risk of their committing violence upon one another; if they are schoolchildren, there is no copying, no noise, no chatter, no waste of time; if they are workers, there are no disorders, no theft, no coalitions, none of those distractions that slow down the rate of work, make it less perfect or cause accidents. The crowd, a compact mass, a locus of multiple exchanges, individualities merging together, a collective effect, is abolished and replaced by a collection of separated individualities. From the point of view of the guardian, it is replaced by a multiplicity that can be numbered and supervised; from the point of view of the inmates, by a sequestered and observed solitude (Bentham, 60-64).

Hence the major effect of the Panopticon: to induce in the inmate a state of conscious and permanent visibility that assures the automatic functioning of power. So to arrange things that the surveillance is permanent in its effects, even if it is discontinuous in its action; that the perfection of power should tend to render its actual exercise unnecessary; that this architectural apparatus should be a machine for creating and sustaining a power relation independent of the person who exercises it; in short, that the inmates should be caught up in a power situation of which they are themselves the bearers. To achieve this, it is at once too much and too little that the prisoner should be constantly observed by an inspector: too little, for what matters is that he knows himself to be observed; too much, because he has no need in fact of being so. In view of this, Bentham laid down the principle that power should be visible and unverifiable. Visible: the inmate will constantly have before his eyes the tall outline of the central tower from which he is spied upon. Unverifiable: the inmate must never know whether he is being looked at at any one moment; but he must be sure that he may always be so. In order to make the presence or absence of the inspector unverifiable, so that the prisoners, in their cells, cannot even see a shadow, Bentham envisaged not only venetian blinds on the windows of the central observation hall, but, on the inside, partitions that intersected the hall at right angles and, in order to pass from one quarter to the other, not doors but zig-zag openings; for the slightest noise, a gleam of light, a brightness in a half-opened door would betray the presence of the guardian. The Panopticon is a machine for dissociating the see/being seen dyad: in the peripheric ring, one is totally seen, without ever seeing; in the central tower, one sees everything without ever being seen.

It is an important mechanism, for it automatizes and disindividualizes power. Power has its principle not so much in a person as in a certain concerted distribution of bodies, surfaces, lights, gazes; in an arrangement whose internal mechanisms produce the relation in which individuals are caught up. The ceremonies, the rituals, the marks by which the sovereign's surplus power was manifested are useless. There is a machinery that assures dissymmetry, disequilibrium, difference. Consequently, it does not matter who exercises power. Any individual, taken almost at random, can operate the machine: in the absence of the director, his family, his friends, his visitors, even his servants (Bentham, 45). Similarly, it does not matter what motive animates him: the curiosity of the indiscreet, the malice of a child, the thirst for knowledge of a philosopher who wishes to visit this museum of human nature, or the perversity of those who take pleasure in spying and punishing. The more numerous those anonymous and temporary observers are, the greater the risk for the inmate of being surprised and the greater his anxious awareness of being observed. The Panopticon is a marvellous machine which, whatever use one may wish to put it to, produces homogeneous effects of power.

A real subjection is born mechanically from a fictitious relation. So it is not necessary to use force to constrain the convict to good behaviour, the madman to calm, the worker to work, the

schoolboy to application, the patient to the observation of the regulations. Bentham was surprised that panoptic institutions could be so light: there were no more bars, no more chains, no more heavy locks; all that was needed was that the separations should be clear and the openings well arranged. The heaviness of the old 'houses of security', with their fortress-like architecture, could be replaced by the simple, economic geometry of a 'house of certainty'. The efficiency of power, its constraining force have, in a sense, passed over to the other side – to the side of its surface of application. He who is subjected to a field of visibility, and who knows it, assumes responsibility for the constraints of power; he makes them play spontaneously upon himself; he inscribes in himself the power relation in which he simultaneously plays both roles; he becomes the principle of his own subjection. By this very fact, the external power may throw off its physical weight; it tends to the non-corporal; and, the more it approaches this limit, the more constant, profound and permanent are its effects: it is a perpetual victory that avoids any physical confrontation and which is always decided in advance.

Bentham does not say whether he was inspired, in his project, by Le Vaux's menagerie at Versailles: the first menagerie in which the different elements are not, as they traditionally were, distributed in a park (Loisel, 104-7). At the centre was an octagonal pavilion which, on the first floor, consisted of only a single room, the king's salon; on every side large windows looked out onto seven cages (the eighth side was reserved for the entrance), containing different species of animals. By Bentham's time, this menagerie had disappeared. But one finds in the programme of the Panopticon a similar concern with individualizing observation, with characterization and classification, with the analytical arrangement of space. The Panopticon is a royal menagerie; the animal is replaced by man,, individual distribution by specific grouping and the king by the machinery of a furtive power. With this exception, the Panopticon also does the work of a naturalist. It makes it possible to draw up differences: among patients, to observe the symptoms of each individual, without the proximity of beds, the circulation of miasmas, the effects of contagion confusing the clinical tables; among school-children, it makes it possible to observe performances (without there being any imitation or copying), to map aptitudes, to assess characters, to draw up rigorous classifications and, in relation to normal development, to distinguish 'laziness and stubbornness' from 'incurable imbecility'; among workers, it makes it possible to note the aptitudes of each worker, compare the time he takes to perform a task, and if they are paid by the day, to calculate their wages (Bentham, 60-64).

So much for the question of observation. But the Panopticon was also a laboratory; it could be used as a machine to carry out experiments, to alter behaviour, to train or correct individuals. To experiment with medicines and monitor their effects. To try out different punishments on prisoners, according to their crimes and character, and to seek the most effective ones. To teach different techniques simultaneously to the workers, to decide which is the best. To try out pedagogical experiments – and in particular to take up once again the well-debated problem of secluded education, by using orphans. One would see what would happen when, in their sixteenth or eighteenth year, they were presented with other boys or girls; one could verify whether, as Helvetius thought, anyone could learn anything; one would follow 'the genealogy of every observable idea'; one could bring up different children according to different systems of thought, making certain children believe that two and two do not make four or that the moon is a cheese, then put them together when they are twenty or twenty-five years old; one would then have discussions that would be worth a great deal more than the sermons or lectures on which so

much money is spent; one would have at least an opportunity of making discoveries in the domain of metaphysics. The Panopticon is a privileged place for experiments on men, and for analysing with complete certainty the transformations that may be obtained from them. The Panopticon may even provide an apparatus for supervising its own mechanisms. In this central tower, the director may spy on all the employees that he has under his orders: nurses, doctors, foremen, teachers, warders; he will be able to judge them continuously, alter their behaviour, impose upon them the methods he thinks best; and it will even be possible to observe the director himself. An inspector arriving unexpectedly at the centre of the Panopticon will be able to judge at a glance, without anything being concealed from him, how the entire establishment is functioning. And, in any case, enclosed as he is in the middle of this architectural mechanism, is not the – 5 director's own fate entirely bound up with it? The incompetent physician who has allowed contagion to spread, the incompetent prison governor or workshop manager will be the first victims of an epidemic or a revolt. ‘ “By every tie I could devise”, said the master of the Panopticon, “my own fate had been bound up by me with theirs”’ (Bentham, 177). The Panopticon functions as a kind of laboratory of power. Thanks to its mechanisms of observation, it gains in efficiency and in the ability to penetrate into men's behaviour; knowledge follows the advances of power, discovering new objects of knowledge over all the surfaces on which power is exercised.

The plague-stricken town, the panoptic establishment – the differences are important. They mark, at a distance of a century and a half, the transformations of the disciplinary programme. In the first case, there is an exceptional situation: against an extraordinary evil, power is mobilized; it makes itself everywhere present and visible; it invents new mechanisms; it separates, it immobilizes, it partitions constructs for a time what is both a counter-city and the perfect society; it imposes an ideal functioning, but one that is reduced, in the final analysis, like the evil that it combats, to a simple dualism of life and death: that which moves brings death, and one kills that which moves. The Panopticon, on the other hand, must be understood as a generalizable model of functioning; a way of defining power relations in terms of the everyday life of men. No doubt Bentham presents it as a particular institution, closed in upon itself. Utopias, perfectly closed in upon themselves, are common enough. As opposed to the ruined prisons, littered with mechanisms of torture, to be seen in Piranese's engravings, the Panopticon presents a cruel, ingenious cage. The fact that it should have given rise, even in our own time, to so many variations, projected or realized, is evidence of the imaginary intensity that it has possessed for almost two hundred years. But the Panopticon must not be understood as a dream building: it is the diagram of a mechanism of power reduced to its ideal form; its functioning, abstracted from any obstacle, resistance or friction, must be represented as a pure architectural and optical system: it is in fact a figure of political technology that may and must be detached from any specific use.

It is polyvalent in its applications; it serves to reform prisoners, but also to treat patients, to instruct schoolchildren, to confine the insane, to supervise workers, to put beggars and idlers to work. It is a type of location of bodies in space, of distribution of individuals in relation to one another, of hierarchical organization, of disposition of centres and channels of power, of definition of the instruments and modes of intervention of power, which can be implemented in hospitals, workshops, schools, prisons. Whenever one is dealing with a multiplicity of individuals on whom a task or a particular form of behaviour must be imposed, the panoptic schema may be used. It is – necessary modifications apart – applicable ‘to all establishments whatsoever, in which, within a space not too large to be covered or commanded by buildings, a number of persons are meant

to be kept under inspection' (Bentham, 40; although Bentham takes the penitentiary house as his prime example, it is because it has many different functions to fulfil – safe custody, confinement, solitude, forced labour and instruction).

In each of its applications, it makes it possible to perfect the exercise of power. It does this in several ways: because it can reduce the number of those who exercise it, while increasing the number of those on whom it is exercised. Because it is possible to intervene at any moment and because the constant pressure acts even before the offences, mistakes or crimes have been committed. Because, in these conditions, its strength is that it never intervenes, it is exercised spontaneously and without noise, it constitutes a mechanism whose effects follow from one another. Because, without any physical instrument other than architecture and geometry, it acts directly on individuals; it gives 'power of mind over mind'. The panoptic schema makes any apparatus of power more intense: it assures its economy (in material, in personnel, in time); it assures its efficacy by its preventative character, its continuous functioning and its automatic mechanisms. It is a way of obtaining from power 'in hitherto unexampled quantity', 'a great and new instrument of government . . . ; its great excellence consists in the great strength it is capable of giving to any institution it may be thought proper to apply it to' (Bentham, 66).

It's a case of 'it's easy once you've thought of it' in the political sphere. It can in fact be integrated into any function (education, medical treatment, production, punishment); it can increase the effect of this function, by being linked closely with it; it can constitute a mixed mechanism in which relations of power (and of knowledge) may be precisely adjusted, in the smallest detail, to the processes that are to be supervised; it can establish a direct proportion between 'surplus power' and 'surplus production'. In short, it arranges things in such a way that the exercise of power is not added on from the outside, like a rigid, heavy constraint, to the functions it invests, but is so subtly present in them as to increase their efficiency by itself increasing its own points of contact. The panoptic mechanism is not simply a hinge, a point of exchange between a mechanism of power and a function; it is a way of making power relations function in a function, and of making a function function through these power relations. Bentham's Preface to *Panopticon* opens with a list of the benefits to be obtained from his 'inspection-house': 'Morals reformed – health preserved – industry invigorated – instruction diffused – public burthens lightened – Economy seated, as it were, upon a rock – the gordian knot of the Poor-Laws not cut, but untied – all by a simple idea in architecture!' (Bentham, 39)

Furthermore, the arrangement of this machine is such that its enclosed nature does not preclude a permanent presence from the outside: we have seen that anyone may come and exercise in the central tower the functions of surveillance, and that, this being the case, he can gain a clear idea of the way in which the surveillance is practised. In fact, any panoptic institution, even if it is as rigorously closed as a penitentiary, may without difficulty be subjected to such irregular and constant inspections: and not only by the appointed inspectors, but also by the public; any member of society will have the right to come and see with his own eyes how the schools, hospitals, factories, prisons function. There is no risk, therefore, that the increase of power created by the panoptic machine may degenerate into tyranny; the disciplinary mechanism will be democratically controlled, since it will be constantly accessible 'to the great tribunal committee of the world'. This *Panopticon*, subtly arranged so that an observer may observe, at a glance, so many different individuals, also enables everyone to come and observe any of the observers. The seeing machine was once a sort of dark room into which individuals spied; it has

become a transparent building in which the exercise of power may be supervised by society as a whole.

The panoptic schema, without disappearing as such or losing any of its properties, was destined to spread throughout the social body; its vocation was to become a generalized function. The plague-stricken town provided an exceptional disciplinary model: perfect, but absolutely violent; to the disease that brought death, power opposed its perpetual threat of death; life inside it was reduced to its simplest expression; it was, against the power of death, the meticulous exercise of the right of the sword. The Panopticon, on the other hand, has a role of amplification; although it arranges power, although it is intended to make it more economic and more effective, it does so not for power itself, nor for the immediate salvation of a threatened society: its aim is to strengthen the social forces – to increase production, to develop the economy, spread education, raise the level of public morality; to increase and multiply.

How is power to be strengthened in such a way that, far from impeding progress, far from weighing upon it with its rules and regulations, it actually facilitates such progress? What intensifier of power will be able at the same time to be a multiplier of production? How will power, by increasing its forces, be able to increase those of society instead of confiscating them or impeding them? The Panopticon's solution to this problem is that the productive increase of power can be assured only if, on the one hand, it can be exercised continuously in the very foundations of society, in the subtlest possible way, and if, on the other hand, it functions outside these sudden, violent, discontinuous forms that are bound up with the exercise of sovereignty. The body of the king, with its strange material and physical presence, with the force that he himself deploys or transmits to some few others, is at the opposite extreme of this new physics of power represented by panopticism; the domain of panopticism is, on the contrary, that whole lower region, that region of irregular bodies, with their details, their multiple movements, their heterogeneous forces, their spatial relations; what are required are mechanisms that analyse distributions, gaps, series, combinations, and which use instruments that render visible, record, differentiate and compare: a physics of a relational and multiple power, which has its maximum intensity not in the person of the king, but in the bodies that can be individualized by these relations. At the theoretical level, Bentham defines another way of analysing the social body and the power relations that traverse it; in terms of practice, he defines – a procedure of subordination of bodies and forces that must increase the utility of power while practising the economy of the prince. Panopticism is the general principle of a new 'political anatomy' whose object and end are not the relations of sovereignty but the relations of discipline. The celebrated, transparent, circular cage, with its high towers powerful and knowing, may have been for Bentham a project of perfect disciplinary institution; but he also set out to show how one may 'unlock' the disciplines and get them to function in a diffused, multiple, polyvalent way throughout the whole social body. These disciplines – which the classical age had elaborated in specific, relatively enclosed places – barracks, schools, workshops – and whose total implementation had been imagined only at the limited and temporary scale of a plague-stricken town, Bentham dreamt of transforming into a network of mechanisms that would be everywhere and always alert, running through society without interruption in space or in time. The panoptic arrangement provides the formula for this generalization. It programmes, at the level of an elementary and easily transferable mechanism, the basic functioning of a society penetrated through and through with disciplinary mechanisms.

There are two images, then, of discipline. At one extreme, the discipline-blockade, the enclosed

institution, established on the edges of society, turned inwards towards negative functions: arresting evil, breaking communications, suspending time. At the other extreme, with panopticism, is the discipline-mechanism: a functional mechanism that must improve the exercise of power by making it lighter, more rapid, more effective, a design of subtle coercion for a society to come. The movement from one project to the other, from a schema of exceptional discipline to one of a generalized surveillance, rests on a historical transformation: the gradual extension of the mechanisms of discipline throughout the seventeenth and eighteenth centuries, their spread throughout the whole social body, the formation of what might be called in general the disciplinary society.

A whole disciplinary generalization – the Benthamite physics of power represents an acknowledgement of this – had operated throughout the classical age. The spread of disciplinary institutions, whose network was beginning to cover an ever larger surface and occupying above all a less and less marginal position, testifies to this: what was an islet, a privileged place, a circumstantial measure, or a singular model, became a general formula; the regulations characteristic of the Protestant and pious armies of William of Orange or of Gustavus Adolphus were transformed into regulations for all the armies of Europe; the model colleges of the Jesuits, or the schools of Batencour or Demia, following the example set by Sturm, provided the outlines for the general forms of educational discipline; the ordering of the naval and military hospitals provided the model for the entire reorganization of hospitals in the eighteenth century.

But this extension of the disciplinary institutions was no doubt only the most visible aspect of various, more profound processes.

1. The functional inversion of the disciplines. At first, they were expected to neutralize dangers, to fix useless or disturbed populations, to avoid the inconveniences of over-large assemblies; now they were being asked to play a positive role, for they were becoming able to do so, to increase the possible utility of individuals. Military discipline is no longer a mere means of preventing looting, desertion or failure to obey orders among the troops; it has become a basic technique to enable the army to exist, not as an assembled crowd, but as a unity that derives from this very unity an increase in its forces; discipline increases the skill of each individual, coordinates these skills, accelerates movements, increases fire power, broadens the fronts of attack without reducing their vigour, increases the capacity for resistance, etc. The discipline of the workshop, while remaining a way of enforcing respect for the regulations and authorities, of preventing thefts or losses, tends to increase aptitudes, speeds, output and therefore profits; it still exerts a moral influence over behaviour, but more and more it treats actions in terms of their results, introduces bodies into a machinery, forces into an economy. When, in the seventeenth century, the provincial schools or the Christian elementary schools were founded, the justifications given for them were above all negative: those poor who were unable to bring up their children left them 'in ignorance of their obligations: given the difficulties they have in earning a living, and themselves having been badly brought up, they are unable to communicate a sound upbringing that they themselves never had'; this involves three major inconveniences: ignorance of God, idleness (with its consequent drunkenness, impurity, larceny, brigandage); and the formation of those gangs of beggars, always ready to stir up public disorder and 'virtually to exhaust the funds of the Hotel-Dieu' (Demia, 60-61). Now, at the beginning of the Revolution, the end laid down for primary education was to be, among other things, to 'fortify', to 'develop the body', to prepare the child 'for a future in some mechanical work', to give him 'an observant eye, a sure hand and prompt habits' (Talleyrand's

Report to the Constituent Assembly, 10 September 1791, quoted by Leon, 106). The disciplines function increasingly as techniques for making useful individuals. Hence their emergence from a marginal position on the confines of society, and detachment from the forms of exclusion or expiation, confinement or retreat. Hence the slow loosening of their kinship with religious regularities and enclosures. Hence also their rooting in the most important, most central and most productive sectors of society. They become attached to some of the great essential functions: factory production, the transmission of knowledge, the diffusion of aptitudes and skills, the war-machine. Hence, too, the double tendency one sees developing throughout the eighteenth century to increase the number of disciplinary institutions and to discipline the existing apparatuses.

2. The swarming of disciplinary mechanisms. While, on the one hand, the disciplinary establishments increase, their mechanisms have a certain tendency to become 'de-institutionalized', to emerge from the closed fortresses in which they once functioned and to circulate in a 'free' state; the massive, compact disciplines are broken down into flexible methods of control, which may be transferred and adapted. Sometimes the closed apparatuses add to their internal and specific function a role of external surveillance, developing around themselves a whole margin of lateral controls. Thus the Christian School must not simply train docile children; it must also make it possible to supervise the parents, to gain information as to their way of life, their resources, their piety, their morals. The school tends to constitute minute social observatories that penetrate even to the adults and exercise regular supervision over them: the bad behaviour of the child, or his absence, is a legitimate pretext, according to Demia, for one to go and question the neighbours, especially if there is any reason to believe that the family will not tell the truth; one can then go and question the parents themselves, to find out whether they know their catechism and the prayers, whether they are determined to root out the vices of their children, how many beds there are in the house and what the sleeping arrangements are; the visit may end with the giving of alms, the present of a religious picture, or the provision of additional beds (Demia, 39-40). Similarly, the hospital is increasingly conceived of as a base for the medical observation of the population outside; after the burning down of the Hotel-Dieu in 1772, there were several demands that the large buildings, so heavy and so disordered, should be replaced by a series of smaller hospitals; their function would be to take in the sick of the quarter, but also to gather information, to be alert to any endemic or epidemic phenomena, to open dispensaries, to give advice to the inhabitants and to keep the authorities informed of the sanitary state of the region.

One also sees the spread of disciplinary procedures, not in the form of enclosed institutions, but as centres of observation disseminated throughout society. Religious groups and charity organizations had long played this role of 'disciplining' the population. From the Counter-Reformation to the philanthropy of the July monarchy, initiatives of this type continued to increase; their aims were religious (conversion and moralization), economic (aid and encouragement to work) or political (the struggle against discontent or agitation). One has only to cite by way of example the regulations for the charity associations in the Paris parishes. The territory to be covered was divided into quarters and cantons and the members of the associations divided themselves up along the same lines. These members had to visit their respective areas regularly. 'They will strive to eradicate places of ill-repute, tobacco shops, life-classes, gaming house, public scandals, blasphemy, impiety, and any other disorders that may come to their knowledge.' They will also have to make individual visits to the poor; and the information to be obtained is laid down in regulations: the stability of the lodging, knowledge of prayers, attendance

at the sacraments, knowledge of a trade, morality (and 'whether they have not fallen into poverty through their own fault'); lastly, 'one must learn by skilful questioning in what way they behave at home. Whether there is peace between them and their neighbours, whether they are careful to bring up their children in the fear of God . . . whether they do not have their older children of different sexes sleeping together and with them, whether they do not allow licentiousness and cajolery in their families, especially in their older daughters. If one has any doubts as to whether they are married, one must ask to see their marriage certificate'.<sup>5</sup>

3. The state-control of the mechanisms of discipline. In England, it was private religious groups that carried out, for a long time, the functions of social discipline (cf. Radzinovitz, 203-14); in France, although a part of this role remained in the hands of parish guilds or charity associations, another – and no doubt the most important part – was very soon taken over by the police apparatus.

The organization of a centralized police had long been regarded, even by contemporaries, as the most direct expression of absolutism; the sovereign had wished to have 'his own magistrate to whom he might directly entrust his orders, his commissions, intentions, and who was entrusted with the execution of orders and orders under the King's private seal' (a note by Duval, first secretary at the police magistrature, quoted in Funck-Brentano, 1). In effect, in taking over a number of pre-existing functions – the search for criminals, urban surveillance, economic and political supervision the police magistratures and the magistrature-general that presided over them in Paris transposed them into a single, strict, administrative machine: 'All the radiations of force and information that spread from the circumference culminate in the magistrate-general. . . It is he who operates all the wheels that together produce order and harmony. The effects of his administration cannot be better compared than to the movement of the celestial bodies' (Des Essarts, 344 and 528).

But, although the police as an institution were certainly organized in the form of a state apparatus, and although this was certainly linked directly to the centre of political sovereignty, the type of power that it exercises, the mechanisms it operates and the elements to which it applies them are specific. It is an apparatus that must be coextensive with the entire social body – and not only by the extreme limits that it embraces, but by the minuteness of the details it is concerned with. Police power must bear 'over everything': it is not however the totality of the state nor of the kingdom as visible and invisible body of the monarch; it is the dust of events, actions, behaviour, opinions – 'everything that happens'; the police are concerned with 'those things of every moment', those 'unimportant things', of which Catherine II spoke in her Great Instruction (Supplement to the Instruction for the drawing up of a new code, 1769, article 535). With the police, one is in the indefinite world of a supervision that seeks ideally to reach the most elementary particle, the most passing phenomenon of the social body: 'The ministry of the magistrates and police officers is of the greatest importance; the objects that it embraces are in a sense definite, one may perceive them only by a sufficiently detailed examination' (Delamare, unnumbered Preface); the infinitely small of political power.

And, in order to be exercised, this power had to be given the instrument of permanent, exhaustive, omnipresent surveillance, capable of making all visible, as long as it could itself remain invisible. It had to be like a faceless gaze that transformed the whole social body into a field of perception: thousands of eyes posted everywhere, mobile attentions ever on the alert, a long, hierarchized network which, according to Le Maire, comprised for Paris the forty-eight



commissaires, the twenty inspecteurs, then the 'observers', who were paid regularly, the 'basses mouches', or secret agents, who were paid by the day, then the informers, paid according to the job done, and finally the prostitutes. And this unceasing observation had to be accumulated in a series of reports and registers; throughout the eighteenth century, an immense police text increasingly covered society by means of a complex documentary organization (on the police registers in the eighteenth century, cf. Chassaigne). And, unlike the methods of judicial or administrative writing, what was registered in this way were forms of behaviour, attitudes, possibilities, suspicions – a permanent account of individuals' behaviour.

Now, it should be noted that, although this police supervision was entirely 'in the hands of the king', it did not function in a single direction. It was in fact a double-entry system: it had to correspond, by manipulating the machinery of justice, to the immediate wishes of the king, but it was also capable of responding to solicitations from below; the celebrated lettres de cachet, or orders under the king's private seal, which were long the symbol of arbitrary royal rule and which brought detention into disrepute on political grounds, were in fact demanded by families, masters, local notables, neighbours, parish priests; and their function was to punish by confinement a whole infra-penalty, that of disorder, agitation, disobedience, bad conduct; those things that Ledoux wanted to exclude from his architecturally perfect city and which he called 'offences of non-surveillance'. In short, the eighteenth-century police added a disciplinary function to its role as the auxiliary of justice in the pursuit of criminals and as an instrument for the political supervision of plots, opposition movements or revolts. It was a complex function since it linked the absolute power of the monarch to the lowest levels of power disseminated in society; since, between these different, enclosed institutions of discipline (workshops, armies, schools), it extended an intermediary network, acting where they could not intervene, disciplining the non-disciplinary spaces; but it filled in the gaps, linked them together, guaranteed with its armed force an interstitial discipline and a meta-discipline. 'By means of a wise police, the sovereign accustoms the people to order and obedience' (Vattel, 162).

The organization of the police apparatus in the eighteenth century sanctioned a generalization of the disciplines that became co-extensive with the state itself. Although it was linked in the most explicit way with everything in the royal power that exceeded the exercise of regular justice, it is understandable why the police offered such slight resistance to the rearrangement of the judicial power; and why it has not ceased to impose its prerogatives upon it, with everincreasing weight, right up to the present day; this is no doubt because it is the secular arm of the judiciary; but it is also because to a far greater degree than the judicial institution, it is identified, by reason of its extent and mechanisms, with a society of the disciplinary type. Yet it would be wrong to believe that the disciplinary functions were confiscated and absorbed once and for all by a state apparatus.

'Discipline' may be identified neither with an institution nor with an apparatus; it is a type of power, a modality for its exercise, comprising a whole set of instruments, techniques, procedures, levels of application, targets; it is a 'physics' or an 'anatomy' of power, a technology. And it may be taken over either by 'specialized' institutions (the penitentiaries or 'houses of correction' of the nineteenth century), or by institutions that use it as an essential instrument for a particular end (schools, hospitals), or by pre-existing authorities that find in it a means of reinforcing or reorganizing their internal mechanisms of power (one day we should show how intra-familial relations, essentially in the parents-children cell, have become 'disciplined', absorbing since the

classical age external schemata, first educational and military, then medical, psychiatric, psychological, which have made the family the privileged locus of emergence for the disciplinary question of the normal and the abnormal); or by apparatuses that have made discipline their principle of internal functioning (the disciplinarization of the administrative apparatus from the Napoleonic period), or finally by state apparatuses whose major, if not exclusive, function is to assure that discipline reigns over society as a whole (the police).

On the whole, therefore, one can speak of the formation of a disciplinary society in this movement that stretches from the enclosed disciplines, a sort of social 'quarantine', to an indefinitely generalizable mechanism of 'panopticism'. Not because the disciplinary modality of power has replaced all the others; but because it has infiltrated the others, sometimes undermining them, but serving as an intermediary between them, linking them together, extending them and above all making it possible to bring the effects of power to the most minute and distant elements. It assures an infinitesimal distribution of the power relations.

A few years after Bentham, Julius gave this society its birth certificate (Julius, 384-6). Speaking of the panoptic principle, he said that there was much more there than architectural ingenuity: it was an event in the 'history of the human mind'. In appearance, it is merely the solution of a technical problem; but, through it, a whole type of society emerges. Antiquity had been a civilization of spectacle. 'To render accessible to a multitude of men the inspection of a small number of objects': this was the problem to which the architecture of temples, theatres and circuses responded. With spectacle, there was a predominance of public life, the intensity of festivals, sensual proximity. In these rituals in which blood flowed, society found new vigour and formed for a moment a single great body. The modern age poses the opposite problem: 'To procure for a small number, or even for a single individual, the instantaneous view of a great multitude.' In a society in which the principal elements are no longer the community and public life, but, on the one hand, private individuals and, on the other, the state, relations can be regulated only in a form that is the exact reverse of the spectacle: 'It was to the modern age, to the ever-growing influence of the state, to its ever more profound intervention in all the details and all the relations of social life, that was reserved the task of increasing and perfecting its guarantees, by using and directing towards that great aim the building and distribution of buildings intended to observe a great multitude of men at the same time.'

Julius saw as a fulfilled historical process that which Bentham had described as a technical programme. Our society is one not of spectacle, but of surveillance; under the surface of images, one invests bodies in depth; behind the great abstraction of exchange, there continues the meticulous, concrete training of useful forces; the circuits of communication are the supports of an accumulation and a centralization of knowledge; the play of signs defines the anchorages of power; it is not that the beautiful totality of the individual is amputated, repressed, altered by our social order, it is rather that the individual is carefully fabricated in it, according to a whole technique of forces and bodies. We are much less Greeks than we believe. We are neither in the amphitheatre, nor on the stage, but in the panoptic machine, invested by its effects of power<sup>2</sup> which we bring to ourselves since we are part of its mechanism. The importance, in historical mythology, of the Napoleonic character probably derives from the fact that it is at the point of junction of the monarchical, ritual exercise of sovereignty and the hierarchical, permanent exercise of indefinite discipline. He is the individual who looms over everything with a single gaze which no detail, however minute, can escape: 'You may consider that no part of the Empire is

without surveillance, no crime, no offence, no contravention that remains unpunished, and that the eye of the genius who can enlighten all embraces the whole of this vast machine, without, however, the slightest detail escaping his attention' (Treilhard, 14). At the moment of its full blossoming, the disciplinary society still assumes with the Emperor the old aspect of the power of spectacle. As a monarch who is at one and the same time a usurper of the ancient throne and the organizer of the new state, he combined into a single symbolic, ultimate figure the whole of the long process by which the pomp of sovereignty, the necessarily spectacular manifestations of power, were extinguished one by one in the daily exercise of surveillance, in a panopticism in which the vigilance of intersecting gazes was soon to render useless both the eagle and the sun.

The formation of the disciplinary society is connected with a number of broad historical processes – economic, juridico-political and, lastly, scientific – of which it forms part.

1. Generally speaking, it might be said that the disciplines are techniques for assuring the ordering of human multiplicities. It is true that there is nothing exceptional or even characteristic in this; every system of power is presented with the same problem. But the peculiarity of the disciplines is that they try to define in relation to the multiplicities a tactics of power that fulfils three criteria: firstly, to obtain the exercise of power at the lowest possible cost (economically, by the low expenditure it involves; politically, by its discretion, its low exteriorization, its relative invisibility, the little resistance it arouses); secondly, to bring the effects of this social power to their maximum intensity and to extend them as far as possible, without either failure or interval; thirdly, to link this 'economic' growth of power with the output of the apparatuses (educational, military, industrial or medical) within which it is exercised; in short, to increase both the docility and the utility of all the elements of the system. This triple objective of the disciplines corresponds to a well-known historical conjuncture. One aspect of this conjuncture was the large demographic thrust of the eighteenth century; an increase in the floating population (one of the primary objects of discipline is to fix; it is an anti-nomadic technique); a change of quantitative scale in the groups to be supervised or manipulated (from the beginning of the seventeenth century to the eve of the French Revolution, the school population had been increasing rapidly, as had no doubt the hospital population; by the end of the eighteenth century, the peace-time army exceeded 200,000 men). The other aspect of the conjuncture was the growth in the apparatus of production, which was becoming more and more extended and complex, it was also becoming more costly and its profitability had to be increased. The development of the disciplinary methods corresponded to these two processes, or rather, no doubt, to the new need to adjust their correlation. Neither the residual forms of feudal power nor the structures of the administrative monarchy, nor the local mechanisms of supervision, nor the unstable, tangled mass they all formed together could carry out this role: they were hindered from doing so by the irregular and inadequate extension of their network, by their often conflicting functioning, but above all by the 'costly' nature of the power that was exercised in them. It was costly in several senses: because directly it cost a great deal to the Treasury; because the system of corrupt offices and farmed-out taxes weighed indirectly, but very heavily, on the population; because the resistance it encountered forced it into a cycle of perpetual reinforcement; because it proceeded essentially by levying (levying on money or products by royal, seigniorial, ecclesiastical taxation; levying on men or time by corvées of press-ganging, by locking up or banishing vagabonds). The development of the disciplines marks the appearance of elementary techniques belonging to a quite different economy: mechanisms of power which, instead of proceeding by deduction, are integrated into the productive efficiency

of the apparatuses from within, into the growth of this efficiency and into the use of what it produces. For the old principle of 'levying-violence', which governed the economy of power, the disciplines substitute the principle of 'mildness-production-profit'. These are the techniques that make it possible to adjust the multiplicity of men and the multiplication of the apparatuses of production (and this means not only 'production' in the strict sense, but also the production of knowledge and skills in the school, the production of health in the hospitals, the production of destructive force in the army).

In this task of adjustment, discipline had to solve a number of problems for which the old economy of power was not sufficiently equipped. It could reduce the inefficiency of mass phenomena: reduce what, in a multiplicity, makes it much less manageable than a unity; reduce what is opposed to the use of each of its elements and of their sum; reduce everything that may counter the advantages of number. That is why discipline fixes; it arrests or regulates movements; it clears up confusion; it dissipates compact groupings of individuals wandering about the country in unpredictable ways; it establishes calculated distributions. It must also master all the forces that are formed from the very constitution of an organized multiplicity; it must neutralize the effects of counter-power that spring from them and which form a resistance to the power that wishes to dominate it: agitations, revolts, spontaneous organizations, coalitions – anything that may establish horizontal conjunctions. Hence the fact that the disciplines use procedures of partitioning and verticality, that they introduce, between the different elements at the same level, as solid separations as possible, that they define compact hierarchical networks, in short, that they oppose to the intrinsic, adverse force of multiplicity the technique of the continuous, individualizing pyramid. They must also increase the particular utility of each element of the multiplicity, but by means that are the most rapid and the least costly, that is to say, by using the multiplicity itself as an instrument of this growth. Hence, in order to extract from bodies the maximum time and force, the use of those overall methods known as time-tables, collective training, exercises, total and detailed surveillance. Furthermore, the disciplines must increase the effect of utility proper to the multiplicities, so that each is made more useful than the simple sum of its elements: it is in order to increase the utilizable effects of the multiple that the disciplines define tactics of distribution, reciprocal adjustment of bodies, gestures and rhythms, differentiation of capacities, reciprocal coordination in relation to apparatuses or tasks. Lastly, the disciplines have to bring into play the power relations, not above but inside the very texture of the multiplicity, as discreetly as possible, as well articulated on the other functions of these multiplicities and also in the least expensive way possible: to this correspond anonymous instruments of power, coextensive with the multiplicity that they regiment, such as hierarchical surveillance, continuous registration, perpetual assessment and classification. In short, to substitute for a power that is manifested through the brilliance of those who exercise it, a power that insidiously objectifies those on whom it is applied; to form a body of knowledge about these individuals, rather than to deploy the ostentatious signs of sovereignty. In a word, the disciplines are the ensemble of minute technical inventions that made it possible to increase the useful size of multiplicities by decreasing the inconveniences of the power which, in order to make them useful, must control them. A multiplicity, whether in a workshop or a nation, an army or a school, reaches the threshold of a discipline when the relation of the one to the other becomes favourable.

If the economic take-off of the West began with the techniques that made possible the accumulation of capital, it might perhaps be said that the methods for administering the

accumulation of men 220 Panopticism made possible a political take-off in relation to the traditional, ritual, costly, violent forms of power, which soon fell into disuse and were superseded by a subtle, calculated technology of subjection. In fact, the two processes – the accumulation of men and the accumulation of capital – cannot be separated; it would not have been possible to solve the problem of the accumulation of men without the growth of an apparatus of production capable of both sustaining them and using them; conversely, the techniques that made the cumulative ‘multiplicity of men useful accelerated the accumulation of capital. At a less general level, the technological mutations of the apparatus of production, the division of labour and the elaboration of the disciplinary techniques sustained an ensemble of very close relations (cf. Marx, *Capital*, vol. 1, chapter XIII and the very interesting analysis in Guerry and Deleule). Each makes the other possible and necessary; each provides a model for the other. The disciplinary pyramid constituted the small cell of power within which the separation, coordination and supervision of tasks was imposed and made efficient; and analytical partitioning of time, gestures and bodily forces constituted an operational schema that could easily be transferred from the groups to be subjected to the mechanisms of production; the massive projection of military methods onto industrial organization was an example of this modelling of the division of labour following the model laid down by the schemata of power. But, on the other hand, the technical analysis of the process of production, its ‘mechanical’ breaking-down, were projected onto the labour force whose task it was to implement it: the constitution of those disciplinary machines in which the individual forces that they bring together are composed into a whole and therefore increased is the effect of this projection. Let us say that discipline is the unitary technique by which the body is reduced as a ‘political’ force at the least cost and maximized as a useful force. The growth of a capitalist economy gave rise to the specific modality of disciplinary power whose general formulas, techniques of submitting forces and bodies, in short, ‘political anatomy’, could be operated in the most diverse political regimes, apparatuses or institutions.

2. The panoptic modality of power – at the elementary, technical, merely physical level at which it is situated – is not under the immediate dependence or a direct extension of the great juridico-political structures of a society; it is nonetheless not absolutely independent. Historically, the process by which the bourgeoisie became in the course of the eighteenth century the politically dominant class was masked by the establishment of an explicit, coded and formally egalitarian juridical framework, made possible by the organization of a parliamentary, representative regime. But the development and generalization of disciplinary mechanisms constituted the other, dark side of these processes. The general juridical form that guaranteed a system of rights that were egalitarian in principle was supported by these tiny, everyday, physical mechanisms, by all those systems of micro-power that are essentially non-egalitarian and asymmetrical that we call the disciplines. And although, in a formal way, the representative regime makes it possible, directly or indirectly, with or without relays, for the will of all to form the fundamental authority of sovereignty, the disciplines provide, at the base, a guarantee of the submission of forces and bodies. The real, corporal disciplines constituted the foundation of the formal, juridical liberties. The contract may have been regarded as the ideal foundation of law and political power; panopticism constituted the technique, universally widespread, of coercion. It continued to work in depth on the juridical structures of society, in order to make the effective mechanisms of power function in opposition to the formal framework that it had acquired. The ‘Enlightenment’, which discovered the liberties, also invented the disciplines.

In appearance, the disciplines constitute nothing more than an infra-law. They seem to extend the general forms defined by law to the infinitesimal level of individual lives; or they appear as methods of training that enable individuals to become integrated into these general demands. They seem to constitute the same type of law on a different scale, thereby making it more meticulous and more indulgent. The disciplines should be regarded as a sort of counter-law. They have the precise role of introducing insuperable asymmetries and excluding reciprocities. First, because discipline creates between individuals a 'private' link, which is a relation of constraints entirely different from contractual obligation; the acceptance of a discipline may be underwritten by contract; the way in which it is imposed, the mechanisms it brings into play, the non-reversible subordination of one group of people by another, the 'surplus' power that is always fixed on the same side, the inequality of position of the different 'partners' in relation to the common regulation, all these distinguish the disciplinary link from the contractual link, and make it possible to distort the contractual link systematically from the moment it has as its content a mechanism of discipline. We know, for example, how many real procedures undermine the legal fiction of the work contract: workshop discipline is not the least important. Moreover, whereas the juridical systems define juridical subjects according to universal norms, the disciplines characterize, classify, specialize; they distribute along a scale, around a norm, hierarchize individuals in relation to one another and, if necessary, disqualify and invalidate. In any case, in the space and during the time in which they exercise their control and bring into play the asymmetries of their power, they effect a suspension of the law that is never total, but is never annulled either. Regular and institutional as it may be, the discipline, in its mechanism, is a 'counter-law'. And, although the universal juridicism of modern society seems to fix limits on the exercise of power, its universally widespread panopticism enables it to operate, on the underside of the law, a machinery that is both immense and minute, which supports, reinforces, multiplies the asymmetry of power and undermines the limits that are traced around the law. The minute disciplines, the panopticisms of every day may well be below the level of emergence of the great apparatuses and the great political struggles. But, in the genealogy of modern society, they have been, with the class domination that traverses it, the political counterpart of the juridical norms according to which power was redistributed. Hence, no doubt, the importance that has been given for so long to the small techniques of discipline, to those apparently insignificant tricks that it has invented, and even to those 'sciences' that give it a respectable face; hence the fear of abandoning them if one cannot find any substitute; hence the affirmation that they are at the very foundation of society, and an element in its equilibrium, whereas they are a series of mechanisms for unbalancing power relations definitively and everywhere; hence the persistence in regarding them as the humble, but concrete form of every morality, whereas they are a set of physico-political techniques.

To return to the problem of legal punishments, the prison with all the corrective technology at its disposal is to be resituated at the point where the codified power to punish turns into a disciplinary power to observe; at the point where the universal punishments of the law are applied selectively to certain individuals and always the same ones; at the point where the redefinition of the juridical subject by the penalty becomes a useful training of the criminal; at the point where the law is inverted and passes outside itself, and where the counter-law becomes the effective and institutionalized content of the juridical forms. What generalizes the power to punish, then, is not the universal consciousness of the law in each juridical subject; it is the regular extension, the infinitely minute web of panoptic techniques.

3. Taken one by one, most of these techniques have a long history behind them. But what was new, in the eighteenth century, was that, by being combined and generalized, they attained a level at which the formation of knowledge and the increase of power regularly reinforce one another in a circular process. At this point, the disciplines crossed the 'technological' threshold. First the hospital, then the school, then, later, the workshop were not simply 'reordered' by the disciplines; they became, thanks to them, apparatuses such that any mechanism of objectification could be used in them as an instrument of subjection, and any growth of power could give rise in them to possible branches of knowledge; it was this link, proper to the technological systems, that made possible within the disciplinary element the formation of clinical medicine, psychiatry, child psychology, educational psychology, the rationalization of labour. It is a double process, then: an epistemological 'thaw' through a refinement of power relations; a multiplication of the effects of power through the formation and accumulation of new forms of knowledge.

The extension of the disciplinary methods is inscribed in a broad historical process: the development at about the same time of many other technologies – agronomical, industrial, economic. But it must be recognized that, compared with the mining industries, the emerging chemical industries or methods of national accountancy, compared with the blast furnaces or the steam engine, panopticism has received little attention. It is regarded as not much more than a bizarre little utopia, a perverse dream – rather as though Bentham had been the Fourier of a police society, and the Phalanstery had taken on the form of the Panopticon. And yet this represented the abstract formula of a very real technology, that of individuals. There were many reasons why it received little praise; the most obvious is that the discourses to which it gave rise rarely acquired, except in the academic classifications, the status of sciences; but the real reason is no doubt that the power that it operates and which it augments is a direct, physical power that men exercise upon one another. An inglorious culmination had an origin that could be only grudgingly acknowledged. But it would be unjust to compare the disciplinary techniques with such inventions as the steam engine or Amici's microscope. They are much less; and yet, in a way, they are much more. If a historical equivalent or at least a point of comparison had to be found for them, it would be rather in the inquisitorial' technique.

The eighteenth century invented the techniques of discipline and the examination, rather as the Middle Ages invented the judicial investigation. But it did so by quite different means. The investigation procedure, an old fiscal and administrative technique, had developed above all with the reorganization of the Church and the increase of the princely states in the twelfth and thirteenth centuries. At this time it permeated to a very large degree the jurisprudence first of the ecclesiastical courts, then of the lay courts. The investigation as an authoritarian search for a truth observed or attested was thus opposed to the old procedures of the oath, the ordeal, the judicial duel, the judgement of God or even of the transaction between private individuals. The investigation was the sovereign power arrogating to itself the right to establish the truth by a number of regulated techniques. Now, although the investigation has since then been an integral part of western justice (even up to our own day), one must not forget either its political origin, its link with the birth of the states and of monarchical sovereignty, or its later extension and its role in the formation of knowledge. In fact, the investigation has been the no doubt crude, but fundamental element in the constitution of the empirical sciences; it has been the juridico-political matrix of this experimental knowledge, which, as we know, was very rapidly released at the end of the Middle Ages. It is perhaps true to say that, in Greece, mathematics were born from

techniques of measurement; the sciences of nature, in any case, were born, to some extent, at the end of the Middle Ages, from the practices of investigation. The great empirical knowledge that covered the things of the world and transcribed them into the ordering of an indefinite discourse that observes, describes and establishes the 'facts' (at a time when the western world was beginning the economic and political conquest of this same world) had its operating model no doubt in the Inquisition – that immense invention that our recent mildness has placed in the dark recesses of our memory. But what this politico-juridical, administrative and criminal, religious and lay, investigation was to the sciences of nature, disciplinary analysis has been to the sciences of man. These sciences, which have so delighted our 'humanity' for over a century, have their technical matrix in the petty, malicious minutiae of the disciplines and their investigations. These investigations are perhaps to psychology, psychiatry, pedagogy, criminology, and so many other strange sciences, what the terrible power of investigation was to the calm knowledge of the animals, the plants or the earth. Another power, another knowledge. On the threshold of the classical age, Bacon, lawyer and statesman, tried to develop a methodology of investigation for the empirical sciences. What Great Observer will produce the methodology of examination for the human sciences? Unless, of course, such a thing is not possible. For, although it is true that, in becoming a technique for the empirical sciences, the investigation has detached itself from the inquisitorial procedure, in which it was historically rooted, the examination has remained extremely close to the disciplinary power that shaped it. It has always been and still is an intrinsic element of the disciplines. Of course it seems to have undergone a speculative purification by integrating itself with such sciences as psychology and psychiatry. And, in effect, its appearance in the form of tests, interviews, interrogations and consultations is apparently in order to rectify the mechanisms of discipline: educational psychology is supposed to correct the rigours of the school, just as the medical or psychiatric interview is supposed to rectify the effects of the discipline of work. But we must not be misled; these techniques merely refer individuals from one disciplinary authority to another, and they reproduce, in a concentrated or formalized form, the schema of power-knowledge proper to each discipline (on this subject, cf. Tort). The great investigation that gave rise to the sciences of nature has become detached from its politico-juridical model; the examination, on the other hand, is still caught up in disciplinary technology.

In the Middle Ages, the procedure of investigation gradually superseded the old accusatory justice, by a process initiated from above; the disciplinary technique, on the other hand, insidiously and as if from below, has invaded a penal justice that is still, in principle, inquisitorial. All the great movements of extension that characterize modern penalty – the problematization of the criminal behind his crime, the concern with a punishment that is a correction, a therapy, a normalization, the division of the act of judgement between various authorities that are supposed to measure, assess, diagnose, cure, transform individuals – all this betrays the penetration of the disciplinary examination into the judicial inquisition.

What is now imposed on penal justice as its point of application, its 'useful' object, will no longer be the body of the guilty man set up against the body of the king; nor will it be the juridical subject of an ideal contract; it will be the disciplinary individual. The extreme point of penal justice under the Ancien Regime was the infinite segmentation of the body of the regicide: a manifestation of the strongest power over the body of the greatest criminal, whose total destruction made the crime explode into its truth. The ideal point of penalty today would be an indefinite discipline: an interrogation without end, an investigation that would be extended



without limit to a meticulous and ever more analytical observation, a judgement that would at the same time be the constitution of a file that was never closed, the calculated leniency of a penalty that would be interlaced with the ruthless curiosity of an examination, a procedure that would be at the same time the permanent measure of a gap in relation to an inaccessible norm and the asymptotic movement that strives to meet in infinity. The public execution was the logical culmination of a procedure governed by the Inquisition. The practice of placing individuals under 'observation' is a natural extension of a justice imbued with disciplinary methods and examination procedures. Is it surprising that the cellular prison, with its regular chronologies, forced labour, its authorities of surveillance and registration, its experts in normality, who continue and multiply the functions of the judge, should have become the modern instrument of penalty? Is it surprising that prisons resemble factories, schools, barracks, hospitals, which all resemble prisons?

## 5.4 Arendt on Power

### *About this Text*

Hannah Arendt  
*Hannah Arendt*

While Foucault think so of power that flows through all of us, shaping us while remaining beyond our control, the 20th century political theorist Hannah Arendt argues that power properly understood is something that groups of people create by coming together and acting collectively. Arendt departs from both Hobbes' individualistic notion of power and Foucault's idea that power is beyond any person's or group's control. Click the link below to open a pdf with excerpts from Arendt's *The Human Condition*.

EXCERPTS FROM HANNAH ARENDT, *THE HUMAN CONDITION*

[click here to open pdf in new tab](#)

# MODULE 6: FREEDOM

## 6.1 Rousseau on Freedom

### *About this Text*

More this week from Jean-Jacques Rousseau. We've heard from Rousseau before, as he wondered about the state of nature. This week we have excerpts from his *On the Social Contract*. Here Rousseau discusses the social contract. Pay attention to what he says about the "general will" and the "particular will." And look for the passage in which he says that a person can be "forced to be free." See if you can figure out how that claim relates to the general vs. the particular will.

EXCERPTS FROM JEAN JACQUES ROUSSEAU, *ON THE SOCIAL CONTRACT* (SOURCE)

### *FOREWORD*

This little treatise is part of a longer work which I began years ago without realising my limitations, and long since abandoned. Of the various fragments that might have been extracted from what I wrote, this is the most considerable, and, I think, the least unworthy of being offered to the public. The rest no longer exists.

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### *BOOK I*

I mean to inquire if, in the civil order, there can be any sure and legitimate rule of administration, men being taken as they are and laws as they might be. In this inquiry I shall endeavour always to unite what right sanctions with what is prescribed by interest, in order that justice and utility may in no case be divided.

I enter upon my task without proving the importance of the subject I shall be asked if I am a prince or a legislator, to write on politics. I answer that I am neither, and that is why I do so. If I were a prince or a legislator, I should not waste time in saying what wants doing; I should do it, or hold my peace.

As I was born a citizen of a free State, and a member of the Sovereign, I feel that, however feeble the influence my voice can have on public affairs, the right of voting on them makes it my duty to study them: and I am happy, when I reflect upon governments, to find my inquiries always furnish me with new reasons for loving that of my own country.

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## CHAPTER I

### *SUBJECT OF THE FIRST BOOK*

Man is born free; and everywhere he is in chains. One thinks himself the master of others, and still remains a greater slave than they. How did this change come about? I do not know. What can make it legitimate? That question I think I can answer.

If I took into account only force, and the effects derived from it, I should say: "As long as a people is compelled to obey, and obeys, it does well; as soon as it can shake off the yoke, and shakes it off, it does still better; for, regaining its liberty by the same right as took it away, either it is justified in resuming it, or there was no justification for those who took it away." But the social order is a sacred right which is the basis of all other rights. Nevertheless, this right does not come from nature, and must therefore be founded on conventions. Before coming to that, I have to prove what I have just asserted.

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## CHAPTER II

### *THE FIRST SOCIETIES*

The most ancient of all societies, and the only one that is natural is the family: and even so the children remain attached to the father only so long as they need him for their preservation. As soon as this need ceases, the natural bond is dissolved. The children, released from the obedience they owed to the father, and the father, released from the care he owed his children, return equally to independence. If they remain united, they continue so no longer naturally, but voluntarily; and the family itself is then maintained only by convention.

This common liberty results from the nature of man. His first law is to provide for his own preservation, his first cares are those which he owes to himself; and, as soon as he reaches years of discretion, he is the sole judge of the proper means of preserving himself, and consequently becomes his own master.

The family then may be called the first model of political societies: the ruler corresponds to the father, and the people to the children; and all, being born free and equal, alienate their liberty only for their own advantage. The whole difference is that, in the family, the love of the father for his children repays him for the care he takes of them, while, in the State, the pleasure of commanding takes the place of the love which the chief cannot have for the peoples under him.

Grotius denies that all human power is established in favour of the governed, and quotes slavery as an example. His usual method of reasoning is constantly to establish right by fact.<sup>[1]</sup> It would be possible to employ a more logical method, but none could be more favourable to tyrants.

It is then, according to Grotius, doubtful whether the human race belongs to a hundred men, or that hundred men to the human race: and, throughout his book, he seems to incline to the former alternative, which is also the view of Hobbes. On this showing, the human species is divided into so

many herds of cattle, each with its ruler, who keeps guard over them for the purpose of devouring them.

As a shepherd is of a nature superior to that of his flock, the shepherds of men, i.e. their rulers, are of a nature superior to that of the peoples under them. Thus, Philo tells us, the Emperor Caligula reasoned, concluding equally well either that kings were gods, or that men were beasts.

The reasoning of Caligula agrees with that of Hobbes and Grotius. Aristotle, before any of them, had said that men are by no means equal naturally, but that some are born for slavery, and others for dominion.

Aristotle was right; but he took the effect for the cause. Nothing can be more certain than that every man born in slavery is born for slavery. Slaves lose everything in their chains, even the desire of escaping from them: they love their servitude, as the comrades of Ulysses loved their brutish condition.[2] If then there are slaves by nature, it is because there have been slaves against nature. Force made the first slaves, and their cowardice perpetuated the condition.

I have said nothing of King Adam, or Emperor Noah, father of the three great monarchs who shared out the universe, like the children of Saturn, whom some scholars have recognised in them. I trust to getting due thanks for my moderation; for, being a direct descendant of one of these princes, perhaps of the eldest branch, how do I know that a verification of titles might not leave me the legitimate king of the human race? In any case, there can be no doubt that Adam was sovereign of the world, as Robinson Crusoe was of his island, as long as he was its only inhabitant; and this empire had the advantage that the monarch, safe on his throne, had no rebellions, wars, or conspirators to fear.

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### CHAPTER III

#### THE RIGHT OF THE STRONGEST

The strongest is never strong enough to be always the master, unless he transforms strength into right, and obedience into duty. Hence the right of the strongest, which, though to all seeming meant ironically, is really laid down as a fundamental principle. But are we never to have an

1. [1]“Learned inquiries into public right are often only the history of past abuses; and troubling to study them too deeply is a profitless infatuation” (*Essay on the Interests of France in Relation to its Neighbours*, by the Marquis d’Argenson). This is exactly what Grotius has done.
2. [2]See a short treatise of Plutarch’s entitled “That Animals Reason.”

explanation of this phrase? Force is a physical power, and I fail to see what moral effect it can have. To yield to force is an act of necessity, not of will—at the most, an act of prudence. In what sense can it be a duty?

Suppose for a moment that this so-called “right” exists. I maintain that the sole result is a mass of inexplicable nonsense. For, if force creates right, the effect changes with the cause: every force that is greater than the first succeeds to its right. As soon as it is possible to disobey with impunity, disobedience is legitimate; and, the strongest being always in the right, the only thing that matters is to act so as to become the strongest. But what kind of right is that which perishes when force fails? If we must obey perforce, there is no need to obey because we ought; and if we are not forced to obey, we are under no obligation to do so. Clearly, the word “right” adds nothing to force: in this connection, it means absolutely nothing.

Obey the powers that be. If this means yield to force, it is a good precept, but superfluous: I can answer for its never being violated. All power comes from God, I admit; but so does all sickness: does that mean that we are forbidden to call in the doctor? A brigand surprises me at the edge of a wood: must I not merely surrender my purse on compulsion; but, even if I could withhold it, am I in conscience bound to give it up? For certainly the pistol he holds is also a power.

Let us then admit that force does not create right, and that we are obliged to obey only legitimate powers. In that case, my original question recurs.

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## CHAPTER IV

### SLAVERY

Since no man has a natural authority over his fellow, and force creates no right, we must conclude that conventions form the basis of all legitimate authority among men.

If an individual, says Grotius, can alienate his liberty and make himself the slave of a master, why could not a whole people do the same and make itself subject to a king? There are in this passage plenty of ambiguous words which would need explaining; but let us confine ourselves to the word *alienate*. To alienate is to give or to sell. Now, a man who becomes the slave of another does not give himself; he sells himself, at the least for his subsistence: but for what does a people sell itself? A king is so far from furnishing his subjects with their subsistence that he gets his own only from them; and, according to Rabelais, kings do not live on nothing. Do subjects then give their persons on condition that the king takes their goods also? I fail to see what they have left to preserve.

It will be said that the despot assures his subjects civil tranquillity. Granted; but what do they gain, if the wars his ambition brings down upon them, his insatiable avidity, and the vexatious conduct of his ministers press harder on them than their own dissensions would have done? What do they gain, if the very tranquillity they enjoy is one of their miseries? Tranquillity is found also in dungeons; but is that enough to make them desirable places to live in? The Greeks imprisoned in the cave of the Cyclops lived there very tranquilly, while they were awaiting their turn to be devoured.

To say that a man gives himself gratuitously, is to say what is absurd and inconceivable; such an

act is null and illegitimate, from the mere fact that he who does it is out of his mind. To say the same of a whole people is to suppose a people of madmen; and madness creates no right.

Even if each man could alienate himself, he could not alienate his children: they are born men and free; their liberty belongs to them, and no one but they has the right to dispose of it. Before they come to years of discretion, the father can, in their name, lay down conditions for their preservation and well-being, but he cannot give them, irrevocably and without conditions: such a gift is contrary to the ends of nature, and exceeds the rights of paternity. It would therefore be necessary, in order to legitimise an arbitrary government, that in every generation the people should be in a position to accept or reject it; but, were this so, the government would be no longer arbitrary.

To renounce liberty is to renounce being a man, to surrender the rights of humanity and even its duties. For him who renounces everything no indemnity is possible. Such a renunciation is incompatible with man's nature; to remove all liberty from his will is to remove all morality from his acts. Finally, it is an empty and contradictory convention that sets up, on the one side, absolute authority, and, on the other, unlimited obedience. Is it not clear that we can be under no obligation to a person from whom we have the right to exact everything? Does not this condition alone, in the absence of equivalence or exchange, in itself involve the nullity of the act? For what right can my slave have against me, when all that he has belongs to me, and, his right being mine, this right of mine against myself is a phrase devoid of meaning?

Grotius and the rest find in war another origin for the so-called right of slavery. The victor having, as they hold, the right of killing the vanquished, the latter can buy back his life at the price of his liberty; and this convention is the more legitimate because it is to the advantage of both parties.

But it is clear that this supposed right to kill the conquered is by no means deducible from the state of war. Men, from the mere fact that, while they are living in their primitive independence, they have no mutual relations stable enough to constitute either the state of peace or the state of war, cannot be naturally enemies. War is constituted by a relation between things, and not between persons; and, as the state of war cannot arise out of simple personal relations, but only out of real relations, private war, or war of man with man, can exist neither in the state of nature, where there is no constant property, nor in the social state, where everything is under the authority of the laws.

Individual combats, duels and encounters, are acts which cannot constitute a state; while the private wars, authorised by the Establishments of Louis IX, King of France, and suspended by the Peace of God, are abuses of feudalism, in itself an absurd system if ever there was one, and contrary to the principles of natural right and to all good polity.

War then is a relation, not between man and man, but between State and State, and individuals are enemies only accidentally, not as men, nor even as citizens,<sup>[1]</sup> but as soldiers; not as members of their country, but as its defenders. Finally, each State can have for enemies only other States, and not men; for between things disparate in nature there can be no real relation.

Furthermore, this principle is in conformity with the established rules of all times and the constant practice of all civilised peoples. Declarations of war are intimations less to powers than to their subjects. The foreigner, whether king, individual, or people, who robs, kills or detains the subjects, without declaring war on the prince, is not an enemy, but a brigand. Even in real war, a just prince, while laying hands, in the enemy's country, on all that belongs to the public,



respects the lives and goods of individuals: he respects rights on which his own are founded. The object of the war being the destruction of the hostile State, the other side has a right to kill its defenders, while they are bearing arms; but as soon as they lay them down and surrender, they cease to be enemies or instruments of the enemy, and become once more merely men, whose life no one has any right to take. Sometimes it is possible to kill the State without killing a single one of its members; and war gives no right which is not necessary to the gaining of its object. These principles are not those of Grotius: they are not based on the authority of poets, but derived from the nature of reality and based on reason.

The right of conquest has no foundation other than the right of the strongest. If war does not give the conqueror the right to massacre the conquered peoples, the right to enslave them cannot be based upon a right which does not exist. No one has a right to kill an enemy except when he cannot make him a slave, and the right to enslave him cannot therefore be derived from the right to kill him. It is accordingly an unfair exchange to make him buy at the price of his liberty his life, over which the victor holds no right. Is it not clear that there is a vicious circle in founding the right of life and death on the right of slavery, and the right of slavery on the right of life and death?

Even if we assume this terrible right to kill everybody, I maintain that a slave made in war, or a conquered people, is under no obligation to a master, except to obey him as far as he is compelled to do so. By taking an equivalent for his life, the victor has not done him a favour; instead of killing him without profit, he has killed him usefully. So far then is he from acquiring over him any authority in addition to that of force, that the state of war continues to subsist between them: their mutual relation is the effect of it, and the usage of the right of war does not imply a treaty of peace. A convention has indeed been made; but this convention, so far from destroying the state of war, presupposes its continuance.

So, from whatever aspect we regard the question, the right of slavery is null and void, not only as being illegitimate, but also because it is absurd and meaningless. The words *slave* and *right* contradict each other, and are mutually exclusive. It will always be equally foolish for a man to say to a man or to a people: "I make with you a convention wholly at your expense and wholly to my advantage; I shall keep it as long as I like, and you will keep it as long as I like."

3. [1]The Romans, who understood and respected the right of war more than any other nation on earth, carried their scruples on this head so far that a citizen was not allowed to serve as a volunteer without engaging himself expressly against the enemy, and against such and such an enemy by name. A legion in which the younger Cato was seeing his first service under Popilius having been reconstructed, the elder Cato wrote to Popilius that, if he wished his son to continue serving under him, he must administer to him a new military oath, because, the first having been annulled, he was no longer able to bear arms against the enemy. The same Cato wrote to his son telling him to take great care not to go into battle before taking this new oath. I know that the siege of Clusium and other isolated events can be quoted against me; but I am citing laws and customs. The Romans are the people that least often transgressed its laws; and no other people has had such good ones.

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## CHAPTER V

### *THAT WE MUST ALWAYS GO BACK TO A FIRST CONVENTION*

Even if I granted all that I have been refuting, the friends of despotism would be no better off. There will always be a great difference between subduing a multitude and ruling a society. Even if scattered individuals were successively enslaved by one man, however numerous they might be, I still see no more than a master and his slaves, and certainly not a people and its ruler; I see what may be termed an aggregation, but not an association; there is as yet neither public good nor body politic. The man in question, even if he has enslaved half the world, is still only an individual; his interest, apart from that of others, is still a purely private interest. If this same man comes to die, his empire, after him, remains scattered and without unity, as an oak falls and dissolves into a heap of ashes when the fire has consumed it.

A people, says Grotius, can give itself to a king. Then, according to Grotius, a people is a people before it gives itself. The gift is itself a civil act, and implies public deliberation. It would be better, before examining the act by which a people gives itself to a king, to examine that by which it has become a people; for this act, being necessarily prior to the other, is the true foundation of society.

Indeed, if there were no prior convention, where, unless the election were unanimous, would be the obligation on the minority to submit to the choice of the majority? How have a hundred men who wish for a master the right to vote on behalf of ten who do not? The law of majority voting is itself something established by convention, and presupposes unanimity, on one occasion at least.

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## CHAPTER VI

### *THE SOCIAL COMPACT*

I suppose men to have reached the point at which the obstacles in the way of their preservation in the state of nature show their power of resistance to be greater than the resources at the disposal of each individual for his maintenance in that state. That primitive condition can then subsist no longer; and the human race would perish unless it changed its manner of existence.

But, as men cannot engender new forces, but only unite and direct existing ones, they have no other means of preserving themselves than the formation, by aggregation, of a sum of forces great enough to overcome the resistance. These they have to bring into play by means of a single motive power, and cause to act in concert.

This sum of forces can arise only where several persons come together: but, as the force and liberty of each man are the chief instruments of his self-preservation, how can he pledge them without harming his own interests, and neglecting the care he owes to himself? This difficulty, in its bearing on my present subject, may be stated in the following terms—

“The problem is to find a form of association which will defend and protect with the whole

common force the person and goods of each associate, and in which each, while uniting himself with all, may still obey himself alone, and remain as free as before.” This is the fundamental problem of which the *Social Contract* provides the solution.

The clauses of this contract are so determined by the nature of the act that the slightest modification would make them vain and ineffective; so that, although they have perhaps never been formally set forth, they are everywhere the same and everywhere tacitly admitted and recognised, until, on the violation of the social compact, each regains his original rights and resumes his natural liberty, while losing the conventional liberty in favour of which he renounced it.

These clauses, properly understood, may be reduced to one—the total alienation of each associate, together with all his rights, to the whole community for, in the first place, as each gives himself absolutely, the conditions are the same for all; and, this being so, no one has any interest in making them burdensome to others.

Moreover, the alienation being without reserve, the union is as perfect as it can be, and no associate has anything more to demand: for, if the individuals retained certain rights, as there would be no common superior to decide between them and the public, each, being on one point his own judge, would ask to be so on all; the state of nature would thus continue, and the association would necessarily become inoperative or tyrannical.

Finally, each man, in giving himself to all, gives himself to nobody; and as there is no associate over whom he does not acquire the same right as he yields others over himself, he gains an equivalent for everything he loses, and an increase of force for the preservation of what he has.

If then we discard from the social compact what is not of its essence, we shall find that it reduces itself to the following terms—

*“Each of us puts his person and all his power in common under the supreme direction of the general will, and, in our corporate capacity, we receive each member as an indivisible part of the whole.”*

At once, in place of the individual personality of each contracting party, this act of association creates a moral and collective body, composed of as many members as the assembly contains votes, and receiving from this act its unity, its common identity, its life and its will. This public person, so formed by the union of all other persons, formerly took the name of *city*,<sup>[1]</sup> and now takes that of *Republic* or *body politic*; it is called by its members *State* when passive, *Sovereign* when active, and *Power* when compared with others like itself. Those who are associated in it take collectively the name of *people*, and severally are called *citizens*, as sharing in the sovereign power, and *subjects*, as being under the laws of the State. But these terms are often confused and taken one for another: it is enough to know how to distinguish them when they are being used with precision.

4. [1]The real meaning of this word has been almost wholly lost in modern times; most people mistake a town for a city, and a townsman for a citizen. They do not know that houses make a town, but citizens a city. The

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## CHAPTER VII

### THE SOVEREIGN

This formula shows us that the act of association comprises a mutual undertaking between the public and the individuals, and that each individual, in making a contract, as we may say, with himself, is bound in a double capacity; as a member of the Sovereign he is bound to the individuals, and as a member of the State to the Sovereign. But the maxim of civil right, that no one is bound by undertakings made to himself, does not apply in this case; for there is a great difference between incurring an obligation to yourself and incurring one to a whole of which you form a part.

Attention must further be called to the fact that public deliberation, while competent to bind all the subjects to the Sovereign, because of the two different capacities in which each of them may be regarded, cannot, for the opposite reason, bind the Sovereign to itself; and that it is consequently against the nature of the body politic for the Sovereign to impose on itself a law which it cannot infringe. Being able to regard itself in only one capacity, it is in the position of an individual who makes a contract with himself; and this makes it clear that there neither is nor can be any kind of fundamental law binding on the body of the people—not even the social contract itself. This does not mean that the body politic cannot enter into undertakings with others, provided the contract is not infringed by them; for in relation to what is external to it, it becomes a simple being, an individual.

But the body politic or the Sovereign, drawing its being wholly from the sanctity of the contract, can never bind itself, even to an outsider, to do anything derogatory to the original act, for instance, to alienate any part of itself, or to submit to another Sovereign. Violation of the act by which it exists would be self-annihilation; and that which is itself nothing can create nothing.

As soon as this multitude is so united in one body, it is impossible to offend against one of the members without attacking the body, and still more to offend against the body without the members resenting it. Duty and interest therefore equally oblige the two contracting parties to give each other help; and the same men should seek to combine, in their double capacity, all the advantages dependent upon that capacity.

Again, the Sovereign, being formed wholly of the individuals who compose it, neither has nor

same mistake long ago cost the Carthaginians dear. I have never read of the title of citizens being given to the subjects of any prince, not even the ancient Macedonians or the English of to-day, though they are nearer liberty than any one else. The French alone everywhere familiarly adopt the name of citizens, because, as can be seen from their dictionaries, they have no idea of its meaning; otherwise they would be guilty in usurping it, of the crime of *lèse-majesté*: among them, the name expresses a virtue, and not a right. When Bodin spoke of our citizens and townsmen, he fell into a bad blunder in taking the one class for the other. M. d'Alembert has avoided the error, and, in his article on Geneva, has clearly distinguished the four orders of men (or even five, counting mere foreigners) who dwell in our town, of which two only compose the Republic. No other French writer, to my knowledge, has understood the real meaning of the word citizen.

can have any interest contrary to theirs; and consequently the sovereign power need give no guarantee to its subjects, because it is impossible for the body to wish to hurt all its members. We shall also see later on that It cannot hurt any in particular. The Sovereign, merely by virtue of what it is, is always what it should be.

This, however, is not the case with the relation of the subjects to the Sovereign, which, despite the common interest, would have no security that they would fulfil their undertakings, unless it found means to assure itself of their fidelity.

In fact, each individual, as a man, may have a particular will contrary or dissimilar to the general will which he has as a citizen. His particular interest may speak to him quite differently from the common interest: his absolute and naturally independent existence may make him look upon what he owes to the common cause as a gratuitous contribution, the loss of which will do less harm to others than the payment of it is burdensome to himself; and, regarding the moral person which constitutes the State as a *persona ficta*, because not a man, he may wish to enjoy the rights of citizenship without being ready to fulfil the duties of a subject. The continuance of such an injustice could not but prove the undoing of the body politic.

In order then that the social compact may not be an empty formula, it tacitly includes the undertaking, which alone can give force to the rest, that whoever refuses to obey the general will shall be compelled to do so by the whole body. This means nothing less than that he will be forced to be free; for this is the condition which, by giving each citizen to his country, secures him against all personal dependence. In this lies the key to the working of the political machine; this alone legitimizes civil undertakings, which, without it, would be absurd, tyrannical, and liable to the most frightful abuses.

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## CHAPTER VIII

### THE CIVIL STATE

The passage from the state of nature to the civil state produces a very remarkable change in man, by substituting justice, for instinct in his conduct, and giving his actions the morality they had formerly lacked. Then only, when the voice of duty takes the place of physical impulses and right of appetite, does *man*, who so far had considered only himself, find that he is forced to act on different principles, and to consult his reason before listening to his inclinations. Although, in this state, he deprives himself of some advantages which he got from nature, he gains in return others so great, his faculties are so stimulated and developed, his ideas so extended, his feelings so ennobled, and his whole soul so uplifted, that, did not the abuses of this new condition often degrade him below that which he left, he would be bound to bless continually the happy moment which took him from it for ever, and, instead of a stupid and unimaginative animal, made him an intelligent being and a man.

Let us draw up the whole account in terms easily commensurable. What man loses by the social contract in his natural liberty and an unlimited right to everything he tries to get and succeeds in getting; what he gains is civil liberty and the proprietorship of all he possesses. If we are to avoid

mistake in weighing one against the other, we must clearly distinguish natural liberty, which is bounded only by the strength of the individual, from civil liberty, which is limited by the general will; and possession, which is merely the effect of force or the right of the first occupier, from property, which can be founded only on a positive title.

We might, over and above all this, add, to what man acquires in the civil state, moral liberty, which alone makes him truly master of himself; for the mere impulse of appetite is slavery, while obedience to a law which we prescribe to ourselves is liberty. But I have already said too much on this head, and the philosophical meaning of the word liberty does not now concern us.

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## *CHAPTER IX*

### *REAL PROPERTY*

Each member of the community gives himself to it, at the moment of its foundation, just as he is, with all the resources at his command, including the goods he possesses. This act does not make possession, in changing hands, change its nature, and becomes property in the hands of the Sovereign; but, as the forces of the city are incomparably greater than those of an individual, public possession is also, in fact, stronger and more irrevocable, without being any more legitimate, at any rate from the point of view of foreigners. For the State, in relation to its members, is master of all their goods by the social contract, which, within the State, is the basis of all rights; but, in relation to other powers, it is so only by the right of the first occupier, which it holds from its members.

The right of the first occupier, though more real than the right of the strongest, becomes a real right only when the right of property has already been established. Every man has naturally a right to everything he needs; but the positive act which makes him proprietor of one thing excludes him from everything else. Having his share, he ought to keep to it, and can have no further right against the community. This is why the right of the first occupier, which in the state of nature is so weak, claims the respect of every man in civil society. In this right we are respecting not so much what belongs to another as what does not belong to ourselves.

In general, to establish the right of the first occupier over a plot of ground, the following conditions are necessary: first, the land must not yet be inhabited; secondly, a man must occupy only the amount he needs for his subsistence; and, in the third place, possession must be taken, not by an empty ceremony, but by labour and cultivation, the only sign of proprietorship that should be respected by others, in default of a legal title.

In granting the right of first occupancy to necessity and labour, are we not really stretching it as far as it can go? Is it possible to leave such a right unlimited? Is it to be enough to set foot on a plot of common ground, in order to be able to call yourself at once the master of it? Is it to be enough that a man has the strength to expel others for a moment, in order to establish his right to prevent them from ever returning? How can a man or a people seize an immense territory and keep it from the rest of the world except by a punishable usurpation, since all others are being robbed, by such an act, of the place of habitation and the means of subsistence which nature gave them in

common? When Nuñez Balbao, standing on the sea-shore, took possession of the South Seas and the whole of South America in the name of the crown of Castille, was that enough to dispossess all their actual inhabitants, and to shut out from them all the princes of the world? On such a showing, these ceremonies are idly multiplied, and the Catholic King need only take possession all at once, from his apartment, of the whole universe, merely making a subsequent reservation about what was already in the possession of other princes.

We can imagine how the lands of individuals, where they were contiguous and came to be united, became the public territory, and how the right of Sovereignty, extending from the subjects over the lands they held, became at once real and personal. The possessors were thus made more dependent, and the forces at their command used to guarantee their fidelity. The advantage of this does not seem to have been felt by ancient monarchs, who called themselves King of the Persians, Scythians, or Macedonians, and seemed to regard themselves more as rulers of men than as masters of a country. Those of the present day more cleverly call themselves Kings of France, Spain, England, etc.: thus holding the land, they are quite confident of holding the inhabitants.

The peculiar fact about this alienation is that, in taking over the goods of individuals, the community, so far from despoiling them, only assures them legitimate possession, and changes usurpation into a true right and enjoyment into proprietorship. Thus the possessors, being regarded as depositaries of the public good, and having their rights, respected by all the members of the State and maintained against foreign aggression by all its forces, have, by a cession which benefits both the public and still more themselves, acquired, so to speak, all that they gave up. This paradox may easily be explained by the distinction between the rights which the Sovereign and the proprietor have over the same estate, as we shall see later on. It may also happen that men begin to unite one with another before they possess anything, and that, subsequently occupying a tract of country which is enough for all, they enjoy it in common, or share it out among themselves, either equally or according to a scale fixed by the Sovereign. However the acquisition be made, the right which each individual has to his own estate is always subordinate to the right which the community has over all: without this, there would be neither stability in the social tie, nor real force in the exercise of Sovereignty.

I shall end this chapter and this book by remarking on a fact on which the whole social system should rest: i.e. that, instead of destroying natural inequality, the fundamental compact substitutes, for such physical inequality as nature may have set up between men, an equality that is moral and legitimate, and that men, who may be unequal in strength or intelligence, become every one equal by convention and legal right.[1]

5. [1]Under bad governments, this equality is only apparent and illusory: it serves only to keep the pauper in his poverty and the rich man in the position he has usurped. In fact, laws are always of use to those who possess and harmful to those who have nothing: from which it follows that the social state is advantageous to men only when all have something and none too much.

## BOOK II

### CHAPTER III

#### *WHETHER THE GENERAL WILL IS FALLIBLE*

It follows from what has gone before that the general will is always right and tends to the public advantage; but it does not follow that the deliberations of the people are always equally correct. Our will is always for our own good, but we do not always see what that is; the people is never corrupted, but it is often deceived, and on such occasions only does it seem to will what is bad.

There is often a great deal of difference between the will of all and the general will; the latter considers only the common interest, while the former takes private interest into account, and is no more than a sum of particular wills: but take away from these same wills the pluses and minuses that cancel one another,[1] and the general will remains as the sum of the differences.

If, when the people, being furnished with adequate information, held its deliberations, the citizens had no communication one with another, the grand total of the small differences would always give the general will, and the decision would always be good. But when factions arise, and partial associations are formed at the expense of the great association, the will of each of these associations becomes general in relation to its members, while it remains particular in relation to the State: it may then be said that there are no longer as many votes as there are men, but only as many as there are associations. The differences become less numerous and give a less general result. Lastly, when one of these associations is so great as to prevail over all the rest, the result is no longer a sum of small differences, but a single difference; in this case there is no longer a general will, and the opinion which prevails is purely particular.

It is therefore essential, if the general will is to be able to express itself, that there should be no partial society within the State, and that each citizen should think only his own thoughts:[2] which was indeed the sublime and unique system established by the great Lycurgus. But if there are partial societies, it is best to have as many as possible and to prevent them from being unequal, as was done by Solon, Numa and Servius. These precautions are the only ones that can guarantee that the general will shall be always enlightened, and that the people shall in no way deceive itself.

6. [1]“Every interest,” says the Marquis d’Argenson, “has different principles. The agreement of two particular interests is formed by opposition to a third.” He might have added that the agreement of all interests is formed by opposition to that of each. If there were no different interests, the common interest would be barely felt, as it would encounter no obstacle; all would go on of its own accord, and politics would cease to be an art.

7. [2]“In fact,” says Macchiavelli, “there are some divisions that are harmful to a Republic and some that are



advantageous. Those which stir up sects and parties are harmful; those attended by neither are advantageous. Since, then, the founder of a Republic cannot help enmities arising, he ought at least to prevent them from growing into sects” (*History of Florence*, Book vii). Rousseau quotes the Italian.

## 6.2 Mill On Freedom

### *About this Text*

We've already considered John Stuart Mill's utilitarian account of happiness. This week we return to *On Liberty*. In these excerpts, Mill offers his defense of freedom of thought and freedom of action.

EXCERPTS FROM JOHN STUART MILL, *ON LIBERTY* (SOURCE)

#### CHAPTER II. OF THE LIBERTY OF THOUGHT AND DISCUSSION.

The time, it is to be hoped, is gone by, when any defence would be necessary of the “liberty of the press” as one of the securities against corrupt or tyrannical government. No argument, we may suppose, can now be needed, against permitting a legislature or an executive, not identified in interest with the people, to prescribe opinions to them, and determine what doctrines or what arguments they shall be allowed to hear. This aspect of the question, besides, has been so often and so triumphantly enforced by preceding writers, that it need not be specially insisted on in this place. Though the law of England, on the subject of the press, is as servile to this day as it was in the time of the Tudors, there is little danger of its being actually put in force against political discussion, except during some temporary panic, when fear of insurrection drives ministers and[Pg 29] judges from their propriety;[6] and, speaking generally, it is not, in constitutional countries, to be apprehended that the government, whether completely responsible to the people or not, will often attempt to control the expression of opinion, except when in doing so it makes itself the organ of the general intolerance of the public. Let us suppose, therefore, that the government is entirely at one with the people, and never thinks of exerting any power of coercion unless in agreement with what it conceives to be their voice. But I deny the right of the people to exercise such coercion, either by themselves or by their government. The power itself is illegitimate. The best[Pg 30] government has no more title to it than the worst. It is as noxious, or more noxious, when exerted in accordance with public opinion, than when in or opposition to it. If all mankind minus one, were of one opinion, and only one person were of the contrary opinion, mankind would be no more justified in silencing that one person, than he, if he had the power, would be justified in silencing mankind. Were an opinion a personal possession of no value except to the owner; if to be obstructed in the enjoyment of it were simply a private injury, it would make some difference whether the injury was inflicted only on a few persons or on[Pg 31] many. But the peculiar evil of silencing the expression of an opinion is, that it is robbing the human race; posterity as well as the existing generation; those who dissent from the opinion, still more than those who hold it. If the opinion is right, they are deprived of the opportunity of exchanging error

for truth: if wrong, they lose, what is almost as great a benefit, the clearer perception and livelier impression of truth, produced by its collision with error.

It is necessary to consider separately these two hypotheses, each of which has a distinct branch of the argument corresponding to it. We can never be sure that the opinion we are endeavouring to stifle is a false opinion; and if we were sure, stifling it would be an evil still.

First: the opinion which it is attempted to suppress by authority may possibly be true. Those who desire to suppress it, of course deny its truth; but they are not infallible. They have no authority to decide the question for all mankind, and exclude every other person from the means of judging. To refuse a hearing to an opinion, because they are sure that it is false, is to assume that *their* certainty is the same thing as *absolute* certainty. All silencing of discussion is [Pg 32] an assumption of infallibility. Its condemnation may be allowed to rest on this common argument, not the worse for being common.

Unfortunately for the good sense of mankind, the fact of their fallibility is far from carrying the weight in their practical judgment, which is always allowed to it in theory; for while every one well knows himself to be fallible, few think it necessary to take any precautions against their own fallibility, or admit the supposition that any opinion, of which they feel very certain, may be one of the examples of the error to which they acknowledge themselves to be liable. Absolute princes, or others who are accustomed to unlimited deference, usually feel this complete confidence in their own opinions on nearly all subjects. People more happily situated, who sometimes hear their opinions disputed, and are not wholly unused to be set right when they are wrong, place the same unbounded reliance only on such of their opinions as are shared by all who surround them, or to whom they habitually defer: for in proportion to a man's want of confidence in his own solitary judgment, does he usually repose, with implicit trust, on the infallibility of "the world" in general. And the world, to each individual, means the part of it with which he comes in contact; his party, [Pg 33] his sect, his church, his class of society: the man may be called, by comparison, almost liberal and large-minded to whom it means anything so comprehensive as his own country or his own age. Nor is his faith in this collective authority at all shaken by his being aware that other ages, countries, sects, churches, classes, and parties have thought, and even now think, the exact reverse. He devolves upon his own world the responsibility of being in the right against the dissentient worlds of other people; and it never troubles him that mere accident has decided which of these numerous worlds is the object of his reliance, and that the same causes which make him a Churchman in London, would have made him a Buddhist or a Confucian in Pekin. Yet it is as evident in itself as any amount of argument can make it, that ages are no more infallible than individuals; every age having held many opinions which subsequent ages have deemed not only false but absurd; and it is as certain that many opinions, now general, will be rejected by future ages, as it is that many, once general, are rejected by the present.

The objection likely to be made to this argument, would probably take some such form as the following. There is no greater assumption of infallibility in forbidding the propagation of [Pg 34] error, than in any other thing which is done by public authority on its own judgment and responsibility. Judgment is given to men that they may use it. Because it may be used erroneously, are men to be told that they ought not to use it at all? To prohibit what they think pernicious, is not claiming exemption from error, but fulfilling the duty incumbent on them, although fallible, of acting on their conscientious conviction. If we were never to act on our opinions, because those opinions may be wrong, we should leave all our interests uncared for, and all our duties

unperformed. An objection which applies to all conduct, can be no valid objection to any conduct in particular. It is the duty of governments, and of individuals, to form the truest opinions they can; to form them carefully, and never impose them upon others unless they are quite sure of being right. But when they are sure (such reasoners may say), it is not conscientiousness but cowardice to shrink from acting on their opinions, and allow doctrines which they honestly think dangerous to the welfare of mankind, either in this life or in another, to be scattered abroad without restraint, because other people, in less enlightened times, have persecuted opinions now believed to be true. Let us take[Pg 35]care, it may be said, not to make the same mistake: but governments and nations have made mistakes in other things, which are not denied to be fit subjects for the exercise of authority: they have laid on bad taxes, made unjust wars. Ought we therefore to lay on no taxes, and, under whatever provocation, make no wars? Men, and governments, must act to the best of their ability. There is no such thing as absolute certainty, but there is assurance sufficient for the purposes of human life. We may, and must, assume our opinion to be true for the guidance of our own conduct: and it is assuming no more when we forbid bad men to pervert society by the propagation of opinions which we regard as false and pernicious.

I answer that it is assuming very much more. There is the greatest difference between presuming an opinion to be true, because, with every opportunity for contesting it, it has not been refuted, and assuming its truth for the purpose of not permitting its refutation. Complete liberty of contradicting and disproving our opinion, is the very condition which justifies us in assuming its truth for purposes of action; and on no other terms can a being with human faculties have any rational assurance of being right.

[Pg 36]

When we consider either the history of opinion, or the ordinary conduct of human life, to what is it to be ascribed that the one and the other are no worse than they are? Not certainly to the inherent force of the human understanding; for, on any matter not self-evident, there are ninety-nine persons totally incapable of judging of it, for one who is capable; and the capacity of the hundredth person is only comparative; for the majority of the eminent men of every past generation held many opinions now known to be erroneous, and did or approved numerous things which no one will now justify. Why is it, then, that there is on the whole a preponderance among mankind of rational opinions and rational conduct? If there really is this preponderance—which there must be, unless human affairs are, and have always been, in an almost desperate state—it is owing to a quality of the human mind, the source of everything respectable in man either as an intellectual or as a moral being, namely, that his errors are corrigible. He is capable of rectifying his mistakes, by discussion and experience. Not by experience alone. There must be discussion, to show how experience is to be interpreted. Wrong opinions and practices gradually yield to fact and argument: but facts[Pg 37] and arguments, to produce any effect on the mind, must be brought before it. Very few facts are able to tell their own story, without comments to bring out their meaning. The whole strength and value, then, of human judgment, depending on the one property, that it can be set right when it is wrong, reliance can be placed on it only when the means of setting it right are kept constantly at hand. In the case of any person whose judgment is really deserving of confidence, how has it become so? Because he has kept his mind open to criticism of his opinions and conduct. Because it has been his practice to listen to all that could be said against him; to profit by as much of it as was just, and expound to himself, and upon occasion to others, the fallacy of what was fallacious. Because he has felt, that the only way in which a human being

can make some approach to knowing the whole of a subject, is by hearing what can be said about it by persons of every variety of opinion, and studying all modes in which it can be looked at by every character of mind. No wise man ever acquired his wisdom in any mode but this; nor is it in the nature of human intellect to become wise in any other manner. The steady habit of correcting and completing his own opinion by collating it[Pg 38] with those of others, so far from causing doubt and hesitation in carrying it into practice, is the only stable foundation for a just reliance on it: for, being cognisant of all that can, at least obviously, be said against him, and having taken up his position against all gainsayers—knowing that he has sought for objections and difficulties, instead of avoiding them, and has shut out no light which can be thrown upon the subject from any quarter—he has a right to think his judgment better than that of any person, or any multitude, who have not gone through a similar process.

It is not too much to require that what the wisest of mankind, those who are best entitled to trust their own judgment, find necessary to warrant their relying on it, should be submitted to by that miscellaneous collection of a few wise and many foolish individuals, called the public. The most intolerant of churches, the Roman Catholic Church, even at the canonisation of a saint, admits, and listens patiently to, a “devil’s advocate.” The holiest of men, it appears, cannot be admitted to posthumous honours, until all that the devil could say against him is known and weighed. If even the Newtonian philosophy were not permitted to be questioned, mankind could not feel as complete assurance of its truth as they now do. The beliefs[Pg 39] which we have most warrant for, have no safeguard to rest on, but a standing invitation to the whole world to prove them unfounded. If the challenge is not accepted, or is accepted and the attempt fails, we are far enough from certainty still; but we have done the best that the existing state of human reason admits of; we have neglected nothing that could give the truth a chance of reaching us: if the lists are kept open, we may hope that if there be a better truth, it will be found when the human mind is capable of receiving it; and in the meantime we may rely on having attained such approach to truth, as is possible in our own day. This is the amount of certainty attainable by a fallible being, and this the sole way of attaining it.

Strange it is, that men should admit the validity of the arguments for free discussion, but object to their being “pushed to an extreme;” not seeing that unless the reasons are good for an extreme case, they are not good for any case. Strange that they should imagine that they are not assuming infallibility, when they acknowledge that there should be free discussion on all subjects which can possibly be *doubtful*, but think that some particular principle or doctrine should be forbidden to be questioned because it is so *certain*,[Pg 40] that is, because *they are certain* that it is certain. To call any proposition certain, while there is any one who would deny its certainty if permitted, but who is not permitted, is to assume that we ourselves, and those who agree with us, are the judges of certainty, and judges without hearing the other side.

In the present age—which has been described as “destitute of faith, but terrified at scepticism”—in which people feel sure, not so much that their opinions are true, as that they should not know what to do without them—the claims of an opinion to be protected from public attack are rested not so much on its truth, as on its importance to society. There are, it is alleged, certain beliefs, so useful, not to say indispensable to well-being, that it is as much the duty of governments to uphold those beliefs, as to protect any other of the interests of society. In a case of such necessity, and so directly in the line of their duty, something less than infallibility may, it is maintained, warrant, and even bind, governments, to act on their own opinion, confirmed by the

general opinion of mankind. It is also often argued, and still oftener thought, that none but bad men would desire to weaken these salutary beliefs; and there can be nothing wrong, it is thought, in restraining bad[Pg 41] men, and prohibiting what only such men would wish to practise. This mode of thinking makes the justification of restraints on discussion not a question of the truth of doctrines, but of their usefulness; and flatters itself by that means to escape the responsibility of claiming to be an infallible judge of opinions. But those who thus satisfy themselves, do not perceive that the assumption of infallibility is merely shifted from one point to another. The usefulness of an opinion is itself matter of opinion: as disputable, as open to discussion, and requiring discussion as much, as the opinion itself. There is the same need of an infallible judge of opinions to decide an opinion to be noxious, as to decide it to be false, unless the opinion condemned has full opportunity of defending itself. And it will not do to say that the heretic may be allowed to maintain the utility or harmlessness of his opinion, though forbidden to maintain its truth. The truth of an opinion is part of its utility. If we would know whether or not it is desirable that a proposition should be believed, is it possible to exclude the consideration of whether or not it is true? In the opinion, not of bad men, but of the best men, no belief which is contrary to truth can be really useful: and can you prevent such men[Pg 42] from urging that plea, when they are charged with culpability for denying some doctrine which they are told is useful, but which they believe to be false? Those who are on the side of received opinions, never fail to take all possible advantage of this plea; you do not find *them* handling the question of utility as if it could be completely abstracted from that of truth: on the contrary, it is, above all, because their doctrine is “the truth,” that the knowledge or the belief of it is held to be so indispensable. There can be no fair discussion of the question of usefulness, when an argument so vital may be employed on one side, but not on the other. And in point of fact, when law or public feeling do not permit the truth of an opinion to be disputed, they are just as little tolerant of a denial of its usefulness. The utmost they allow is an extenuation of its absolute necessity, or of the positive guilt of rejecting it.

In order more fully to illustrate the mischief of denying a hearing to opinions because we, in our own judgment, have condemned them, it will be desirable to fix down the discussion to a concrete case; and I choose, by preference, the cases which are least favourable to me—in which the argument against freedom of opinion, both on the score of truth and on that of utility, is considered the[Pg 43] strongest. Let the opinions impugned be the belief in a God and in a future state, or any of the commonly received doctrines of morality. To fight the battle on such ground, gives a great advantage to an unfair antagonist; since he will be sure to say (and many who have no desire to be unfair will say it internally), Are these the doctrines which you do not deem sufficiently certain to be taken under the protection of law? Is the belief in a God one of the opinions, to feel sure of which, you hold to be assuming infallibility? But I must be permitted to observe, that it is not the feeling sure of a doctrine (be it what it may) which I call an assumption of infallibility. It is the undertaking to decide that question *for others*, without allowing them to hear what can be said on the contrary side. And I denounce and reprobate this pretension not the less, if put forth on the side of my most solemn convictions. However positive any one’s persuasion may be, not only of the falsity, but of the pernicious consequences—not only of the pernicious consequences, but (to adopt expressions which I altogether condemn) the immorality and impiety of an opinion; yet if, in pursuance of that private judgment, though backed by the public judgment of his country[Pg 44] or his contemporaries, he prevents the opinion from being heard in its defence, he assumes infallibility. And so far from the assumption being less objectionable or less dangerous because the

opinion is called immoral or impious, this is the case of all others in which it is most fatal. These are exactly the occasions on which the men of one generation commit those dreadful mistakes, which excite the astonishment and horror of posterity. It is among such that we find the instances memorable in history, when the arm of the law has been employed to root out the best men and the noblest doctrines; with deplorable success as to the men, though some of the doctrines have survived to be (as if in mockery) invoked, in defence of similar conduct towards those who dissent from *them*, or from their received interpretation.

Mankind can hardly be too often reminded that there was once a man named Socrates, between whom and the legal authorities and public opinion of his time, there took place a memorable collision. Born in an age and country abounding in individual greatness, this man has been handed down to us by those who best knew both him and the age, as the most virtuous man in it; while we know him as the head and[Pg 45] prototype of all subsequent teachers of virtue, the source equally of the lofty inspiration of Plato and the judicious utilitarianism of Aristotle, “*i maestri di color che sanno*,” the two headsprings of ethical as of all other philosophy. This acknowledged master of all the eminent thinkers who have since lived—whose fame, still growing after more than two thousand years, all but outweighs the whole remainder of the names which make his native city illustrious—was put to death by his countrymen, after a judicial conviction, for impiety and immorality. Impiety, in denying the gods recognised by the State; indeed his accuser asserted (see the “Apologia”) that he believed in no gods at all. Immorality, in being, by his doctrines and instructions, a “corruptor of youth.” Of these charges the tribunal, there is every ground for believing, honestly found him guilty, and condemned the man who probably of all then born had deserved best of mankind, to be put to death as a criminal ...

Let us now pass to the second division of the argument, and dismissing the supposition that any of the received opinions may be false, let us assume them to be true, and examine into the worth of the manner in which they are likely to be held, when their truth is not freely and openly canvassed. However unwillingly a person who has a strong opinion may admit the possibility that his opinion may be false, he ought to be moved by the consideration that however true it may be, if it is not fully, frequently, and fearlessly discussed, it will be held as a dead dogma, not a living truth.

There is a class of persons (happily not quite so numerous as formerly) who think it enough if a person assents undoubtingly to what they think true, though he has no knowledge whatever of the grounds of the opinion, and could not make a[Pg 65] tenable defence of it against the most superficial objections. Such persons, if they can once get their creed taught from authority, naturally think that no good, and some harm, comes of its being allowed to be questioned. Where their influence prevails, they make it nearly impossible for the received opinion to be rejected wisely and considerately, though it may still be rejected rashly and ignorantly; for to shut out discussion entirely is seldom possible, and when it once gets in, beliefs not grounded on conviction are apt to give way before the slightest semblance of an argument. Waiving, however, this possibility—assuming that the true opinion abides in the mind, but abides as a prejudice, a belief independent of, and proof against, argument—this is not the way in which truth ought to be held by a rational being. This is not knowing the truth. Truth, thus held, is but one superstition the more, accidentally clinging to the words which enunciate a truth.

If the intellect and judgment of mankind ought to be cultivated, a thing which Protestants at least do not deny, on what can these faculties be more appropriately exercised by any one, than on the things which concern him so much that it is considered necessary for him to hold opinions

on[Pg 66]them? If the cultivation of the understanding consists in one thing more than in another, it is surely in learning the grounds of one's own opinions. Whatever people believe, on subjects on which it is of the first importance to believe rightly, they ought to be able to defend against at least the common objections. But, some one may say, "Let them be *taught* the grounds of their opinions. It does not follow that opinions must be merely parroted because they are never heard controverted. Persons who learn geometry do not simply commit the theorems to memory, but understand and learn likewise the demonstrations; and it would be absurd to say that they remain ignorant of the grounds of geometrical truths, because they never hear any one deny, and attempt to disprove them." Undoubtedly: and such teaching suffices on a subject like mathematics, where there is nothing at all to be said on the wrong side of the question. The peculiarity of the evidence of mathematical truths is, that all the argument is on one side. There are no objections, and no answers to objections. But on every subject on which difference of opinion is possible, the truth depends on a balance to be struck between two sets of conflicting reasons. Even in natural philosophy, there is always some[Pg 67] other explanation possible of the same facts; some geocentric theory instead of heliocentric, some phlogiston instead of oxygen; and it has to be shown why that other theory cannot be the true one: and until this is shown, and until we know how it is shown, we do not understand the grounds of our opinion. But when we turn to subjects infinitely more complicated, to morals, religion, politics, social relations, and the business of life, three-fourths of the arguments for every disputed opinion consist in dispelling the appearances which favour some opinion different from it. The greatest orator, save one, of antiquity, has left it on record that he always studied his adversary's case with as great, if not with still greater, intensity than even his own. What Cicero practised as the means of forensic success, requires to be imitated by all who study any subject in order to arrive at the truth. He who knows only his own side of the case, knows little of that. His reasons may be good, and no one may have been able to refute them. But if he is equally unable to refute the reasons on the opposite side; if he does not so much as know what they are, he has no ground for preferring either opinion. The rational position for him would be suspension of judgment, and unless he contents himself with that, he is either[Pg 68] led by authority, or adopts, like the generality of the world, the side to which he feels most inclination. Nor is it enough that he should hear the arguments of adversaries from his own teachers, presented as they state them, and accompanied by what they offer as refutations. That is not the way to do justice to the arguments, or bring them into real contact with his own mind. He must be able to hear them from persons who actually believe them; who defend them in earnest, and do their very utmost for them. He must know them in their most plausible and persuasive form; he must feel the whole force of the difficulty which the true view of the subject has to encounter and dispose of; else he will never really possess himself of the portion of truth which meets and removes that difficulty. Ninety-nine in a hundred of what are called educated men are in this condition; even of those who can argue fluently for their opinions. Their conclusion may be true, but it might be false for anything they know: they have never thrown themselves into the mental position of those who think differently from them, and considered what such persons may have to say; and consequently they do not, in any proper sense of the word, know the doctrine which they themselves profess. They do[Pg 69] not know those parts of it which explain and justify the remainder; the considerations which show that a fact which seemingly conflicts with another is reconcilable with it, or that, of two apparently strong reasons, one and not the other ought to be preferred. All that part of the truth which turns the scale, and decides the judgment of a



completely informed mind, they are strangers to; nor is it ever really known, but to those who have attended equally and impartially to both sides, and endeavoured to see the reasons of both in the strongest light. So essential is this discipline to a real understanding of moral and human subjects, that if opponents of all important truths do not exist, it is indispensable to imagine them, and supply them with the strongest arguments which the most skilful devil's advocate can conjure up.

To abate the force of these considerations, an enemy of free discussion may be supposed to say, that there is no necessity for mankind in general to know and understand all that can be said against or for their opinions by philosophers and theologians. That it is not needful for common men to be able to expose all the misstatements or fallacies of an ingenious opponent. That it is enough if there is always somebody capable of [Pg 70] answering them, so that nothing likely to mislead uninstructed persons remains unrefuted. That simple minds, having been taught the obvious grounds of the truths inculcated on them, may trust to authority for the rest, and being aware that they have neither knowledge nor talent to resolve every difficulty which can be raised, may repose in the assurance that all those which have been raised have been or can be answered, by those who are specially trained to the task.

Conceding to this view of the subject the utmost that can be claimed for it by those most easily satisfied with the amount of understanding of truth which ought to accompany the belief of it; even so, the argument for free discussion is no way weakened. For even this doctrine acknowledges that mankind ought to have a rational assurance that all objections have been satisfactorily answered; and how are they to be answered if that which requires to be answered is not spoken? or how can the answer be known to be satisfactory, if the objectors have no opportunity of showing that it is unsatisfactory? If not the public, at least the philosophers and theologians who are to resolve the difficulties, must make themselves familiar with those difficulties in their most puzzling form; and this cannot be [Pg 71] accomplished unless they are freely stated, and placed in the most advantageous light which they admit of. The Catholic Church has its own way of dealing with this embarrassing problem. It makes a broad separation between those who can be permitted to receive its doctrines on conviction, and those who must accept them on trust. Neither, indeed, are allowed any choice as to what they will accept; but the clergy, such at least as can be fully confided in, may admissibly and meritoriously make themselves acquainted with the arguments of opponents, in order to answer them, and may, therefore, read heretical books; the laity, not unless by special permission, hard to be obtained. This discipline recognises a knowledge of the enemy's case as beneficial to the teachers, but finds means, consistent with this, of denying it to the rest of the world: thus giving to the *élite* more mental culture, though not more mental freedom, than it allows to the mass. By this device it succeeds in obtaining the kind of mental superiority which its purposes require; for though culture without freedom never made a large and liberal mind, it can make a clever *nisi prius* advocate of a cause. But in countries professing Protestantism, this resource is denied; since Protestants hold, at least in theory, that the [Pg 72] responsibility for the choice of a religion must be borne by each for himself, and cannot be thrown off upon teachers. Besides, in the present state of the world, it is practically impossible that writings which are read by the instructed can be kept from the uninstructed. If the teachers of mankind are to be cognisant of all that they ought to know, everything must be free to be written and published without restraint.

If, however, the mischievous operation of the absence of free discussion, when the received

opinions are true, were confined to leaving men ignorant of the grounds of those opinions, it might be thought that this, if an intellectual, is no moral evil, and does not affect the worth of the opinions, regarded in their influence on the character. The fact, however, is, that not only the grounds of the opinion are forgotten in the absence of discussion, but too often the meaning of the opinion itself. The words which convey it, cease to suggest ideas, or suggest only a small portion of those they were originally employed to communicate. Instead of a vivid conception and a living belief, there remain only a few phrases retained by rote; or, if any part, the shell and husk only of the meaning is retained, the finer essence being lost. The great chapter in human history which this fact occupies[Pg 73] and fills, cannot be too earnestly studied and meditated on.

It is illustrated in the experience of almost all ethical doctrines and religious creeds. They are all full of meaning and vitality to those who originate them, and to the direct disciples of the originators. Their meaning continues to be felt in undiminished strength, and is perhaps brought out into even fuller consciousness, so long as the struggle lasts to give the doctrine or creed an ascendancy over other creeds. At last it either prevails, and becomes the general opinion, or its progress stops; it keeps possession of the ground it has gained, but ceases to spread further. When either of these results has become apparent, controversy on the subject flags, and gradually dies away. The doctrine has taken its place, if not as a received opinion, as one of the admitted sects or divisions of opinion: those who hold it have generally inherited, not adopted it; and conversion from one of these doctrines to another, being now an exceptional fact, occupies little place in the thoughts of their professors. Instead of being, as at first, constantly on the alert either to defend themselves against the world, or to bring the world over to them, they have subsided into acquiescence, and neither listen, when they[Pg 74] can help it, to arguments against their creed, nor trouble dissentients (if there be such) with arguments in its favour. From this time may usually be dated the decline in the living power of the doctrine. We often hear the teachers of all creeds lamenting the difficulty of keeping up in the minds of believers a lively apprehension of the truth which they nominally recognise, so that it may penetrate the feelings, and acquire a real mastery over the conduct. No such difficulty is complained of while the creed is still fighting for its existence: even the weaker combatants then know and feel what they are fighting for, and the difference between it and other doctrines; and in that period of every creed's existence, not a few persons may be found, who have realised its fundamental principles in all the forms of thought, have weighed and considered them in all their important bearings, and have experienced the full effect on the character, which belief in that creed ought to produce in a mind thoroughly imbued with it. But when it has come to be a hereditary creed, and to be received passively, not actively—when the mind is no longer compelled, in the same degree as at first, to exercise its vital powers on the questions which its belief presents to it, there is a progressive tendency to forget all of the[Pg 75] belief except the formularies, or to give it a dull and torpid assent, as if accepting it on trust dispensed with the necessity of realising it in consciousness, or testing it by personal experience; until it almost ceases to connect itself at all with the inner life of the human being. Then are seen the cases, so frequent in this age of the world as almost to form the majority, in which the creed remains as it were outside the mind, encrusting and petrifying it against all other influences addressed to the higher parts of our nature; manifesting its power by not suffering any fresh and living conviction to get in, but itself doing nothing for the mind or heart, except standing sentinel over them to keep them vacant ...

But what! (it may be asked) Is the absence of unanimity an indispensable condition of true

knowledge? Is it necessary that some part of mankind should persist in error, to enable any to realise the truth? Does a belief cease to be real and vital as soon as it is generally received—and is a proposition never thoroughly understood and felt unless some doubt of it remains? As soon as mankind have unanimously accepted a truth, does the truth perish within them? The highest aim and best result of improved intelligence, it has hitherto been thought, is to unite mankind more and more in the acknowledgment of all important truths: and does the intelligence only last as long as it has not achieved its object? Do the fruits of conquest perish by the very completeness of the victory?

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I affirm no such thing. As mankind improve, the number of doctrines which are no longer disputed or doubted will be constantly on the increase: and the well-being of mankind may almost be measured by the number and gravity of the truths which have reached the point of being uncontested. The cessation, on one question after another, of serious controversy, is one of the necessary incidents of the consolidation of opinion; a consolidation as salutary in the case of true opinions, as it is dangerous and noxious when the opinions are erroneous. But though this gradual narrowing of the bounds of diversity of opinion is necessary in both senses of the term, being at once inevitable and indispensable, we are not therefore obliged to conclude that all its consequences must be beneficial. The loss of so important an aid to the intelligent and living apprehension of a truth, as is afforded by the necessity of explaining it to, or defending it against, opponents, though not sufficient to outweigh, is no trifling drawback from, the benefit of its universal recognition. Where this advantage can no longer be had, I confess I should like to see the teachers of mankind endeavouring to provide a substitute for it; some contrivance for making the difficulties of the question as present to the learner's consciousness,[Pg 82] as if they were pressed upon him by a dissentient champion, eager for his conversion.

But instead of seeking contrivances for this purpose, they have lost those they formerly had. The Socratic dialectics, so magnificently exemplified in the dialogues of Plato, were a contrivance of this description. They were essentially a negative discussion of the great questions of philosophy and life, directed with consummate skill to the purpose of convincing any one who had merely adopted the commonplaces of received opinion, that he did not understand the subject—that he as yet attached no definite meaning to the doctrines he professed; in order that, becoming aware of his ignorance, he might be put in the way to attain a stable belief, resting on a clear apprehension both of the meaning of doctrines and of their evidence. The school disputations of the middle ages had a somewhat similar object. They were intended to make sure that the pupil understood his own opinion, and (by necessary correlation) the opinion opposed to it, and could enforce the grounds of the one and confute those of the other. These last-mentioned contests had indeed the incurable defect, that the premises appealed to were taken from authority, not from reason; and, as a discipline to the mind, they were in every respect[Pg 83] inferior to the powerful dialectics which formed the intellects of the "Socratici viri": but the modern mind owes far more to both than it is generally willing to admit, and the present modes of education contain nothing which in the smallest degree supplies the place either of the one or of the other. A person who derives all his instruction from teachers or books, even if he escape the besetting temptation of contenting himself with cram, is under no compulsion to hear both sides; accordingly it is far from a frequent accomplishment, even among thinkers, to know both sides; and the weakest part of what everybody says in defence of his opinion, is what he intends as a

reply to antagonists. It is the fashion of the present time to disparage negative logic—that which points out weaknesses in theory or errors in practice, without establishing positive truths. Such negative criticism would indeed be poor enough as an ultimate result; but as a means to attaining any positive knowledge or conviction worthy the name, it cannot be valued too highly; and until people are again systematically trained to it, there will be few great thinkers, and a low general average of intellect, in any but the mathematical and physical departments of speculation. On any other subject no one's opinions deserve the name[Pg 84] of knowledge, except so far as he has either had forced upon him by others, or gone through of himself, the same mental process which would have been required of him in carrying on an active controversy with opponents. That, therefore, which when absent, it is so indispensable, but so difficult, to create, how worse than absurd is it to forego, when spontaneously offering itself! If there are any persons who contest a received opinion, or who will do so if law or opinion will let them, let us thank them for it, open our minds to listen to them, and rejoice that there is some one to do for us what we otherwise ought, if we have any regard for either the certainty or the vitality of our convictions, to do with much greater labour for ourselves.

It still remains to speak of one of the principal causes which make diversity of opinion advantageous, and will continue to do so until mankind shall have entered a stage of intellectual advancement which at present seems at an incalculable distance. We have hitherto considered only two possibilities: that the received opinion may be false, and some other opinion, consequently, true; or that, the received opinion being true, a conflict with the opposite error is essential to a clear apprehension[Pg 85] and deep feeling of its truth. But there is a commoner case than either of these; when the conflicting doctrines, instead of being one true and the other false, share the truth between them; and the nonconforming opinion is needed to supply the remainder of the truth, of which the received doctrine embodies only a part. Popular opinions, on subjects not palpable to sense, are often true, but seldom or never the whole truth. They are a part of the truth; sometimes a greater, sometimes a smaller part, but exaggerated, distorted, and disjoined from the truths by which they ought to be accompanied and limited. Heretical opinions, on the other hand, are generally some of these suppressed and neglected truths, bursting the bonds which kept them down, and either seeking reconciliation with the truth contained in the common opinion, or fronting it as enemies, and setting themselves up, with similar exclusiveness, as the whole truth. The latter case is hitherto the most frequent, as, in the human mind, one-sidedness has always been the rule, and many-sidedness the exception. Hence, even in revolutions of opinion, one part of the truth usually sets while another rises. Even progress, which ought to superadd, for the most part only substitutes one partial and incomplete truth for[Pg 86] another; improvement consisting chiefly in this, that the new fragment of truth is more wanted, more adapted to the needs of the time, than that which it displaces. Such being the partial character of prevailing opinions, even when resting on a true foundation; every opinion which embodies somewhat of the portion of truth which the common opinion omits, ought to be considered precious, with whatever amount of error and confusion that truth may be blended. No sober judge of human affairs will feel bound to be indignant because those who force on our notice truths which we should otherwise have overlooked, overlook some of those which we see. Rather, he will think that so long as popular truth is one-sided, it is more desirable than otherwise that unpopular truth should have one-sided asserters too; such being usually the most energetic, and the most

likely to compel reluctant attention to the fragment of wisdom which they proclaim as if it were the whole.

Thus, in the eighteenth century, when nearly all the instructed, and all those of the uninstructed who were led by them, were lost in admiration of what is called civilisation, and of the marvels of modern science, literature, and philosophy, and while greatly overrating the amount of unlikeness[Pg 87]between the men of modern and those of ancient times, indulged the belief that the whole of the difference was in their own favour; with what a salutary shock did the paradoxes of Rousseau explode like bombshells in the midst, dislocating the compact mass of one-sided opinion, and forcing its elements to recombine in a better form and with additional ingredients. Not that the current opinions were on the whole farther from the truth than Rousseau's were; on the contrary, they were nearer to it; they contained more of positive truth, and very much less of error. Nevertheless there lay in Rousseau's doctrine, and has floated down the stream of opinion along with it, a considerable amount of exactly those truths which the popular opinion wanted; and these are the deposit which was left behind when the flood subsided. The superior worth of simplicity of life, the enervating and demoralising effect of the trammels and hypocrisies of artificial society, are ideas which have never been entirely absent from cultivated minds since Rousseau wrote; and they will in time produce their due effect, though at present needing to be asserted as much as ever, and to be asserted by deeds, for words, on this subject, have nearly exhausted their power.

In politics, again, it is almost a commonplace,[Pg 88] that a party of order or stability, and a party of progress or reform, are both necessary elements of a healthy state of political life; until the one or the other shall have so enlarged its mental grasp as to be a party equally of order and of progress, knowing and distinguishing what is fit to be preserved from what ought to be swept away. Each of these modes of thinking derives its utility from the deficiencies of the other; but it is in a great measure the opposition of the other that keeps each within the limits of reason and sanity. Unless opinions favourable to democracy and to aristocracy, to property and to equality, to co-operation and to competition, to luxury and to abstinence, to sociality and individuality, to liberty and discipline, and all the other standing antagonisms of practical life, are expressed with equal freedom, and enforced and defended with equal talent and energy, there is no chance of both elements obtaining their due; one scale is sure to go up and the other down. Truth, in the great practical concerns of life, is so much a question of the reconciling and combining of opposites, that very few have minds sufficiently capacious and impartial to make the adjustment with an approach to correctness, and it has to be made by the rough process of a struggle between[Pg 89] combatants fighting under hostile banners. On any of the great open questions just enumerated, if either of the two opinions has a better claim than the other, not merely to be tolerated, but to be encouraged and countenanced, it is the one which happens at the particular time and place to be in a minority. That is the opinion which, for the time being, represents the neglected interests, the side of human well-being which is in danger of obtaining less than its share. I am aware that there is not, in this country, any intolerance of differences of opinion on most of these topics. They are adduced to show, by admitted and multiplied examples, the universality of the fact, that only through diversity of opinion is there, in the existing state of human intellect, a chance of fair-play to all sides of the truth. When there are persons to be found, who form an exception to the apparent unanimity of the world on any subject, even if the

world is in the right, it is always probable that dissentients have something worth hearing to say for themselves, and that truth would lose something by their silence ...

We have now recognised the necessity to the mental well-being of mankind (on which all their other well-being depends) of freedom of opinion, and freedom of the expression of opinion, on four distinct grounds; which we will now briefly recapitulate.

First, if any opinion is compelled to silence, that opinion may, for aught we can certainly know, be true. To deny this is to assume our own infallibility.

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Secondly, though the silenced opinion be an error, it may, and very commonly does, contain a portion of truth; and since the general or prevailing opinion on any subject is rarely or never the whole truth, it is only by the collision of adverse opinions, that the remainder of the truth has any chance of being supplied.

Thirdly, even if the received opinion be not only true, but the whole truth; unless it is suffered to be, and actually is, vigorously and earnestly contested, it will, by most of those who receive it, be held in the manner of a prejudice, with little comprehension or feeling of its rational grounds. And not only this, but, fourthly, the meaning of the doctrine itself will be in danger of being lost, or enfeebled, and deprived of its vital effect on the character and conduct: the dogma becoming a mere formal profession, inefficacious for good, but cumbering the ground, and preventing the growth of any real and heartfelt conviction, from reason or personal experience.

Before quitting the subject of freedom of opinion, it is fit to take some notice of those who say, that the free expression of all opinions should be permitted, on condition that the manner be temperate, and do not pass the bounds of fair discussion. Much might be said on the [Pg 99]impossibility of fixing where these supposed bounds are to be placed; for if the test be offence to those whose opinion is attacked, I think experience testifies that this offence is given whenever the attack is telling and powerful, and that every opponent who pushes them hard, and whom they find it difficult to answer, appears to them, if he shows any strong feeling on the subject, an intemperate opponent. But this, though an important consideration in a practical point of view, merges in a more fundamental objection. Undoubtedly the manner of asserting an opinion, even though it be a true one, may be very objectionable, and may justly incur severe censure. But the principal offences of the kind are such as it is mostly impossible, unless by accidental self-betrayal, to bring home to conviction. The gravest of them is, to argue sophistically, to suppress facts or arguments, to misstate the elements of the case, or misrepresent the opposite opinion. But all this, even to the most aggravated degree, is so continually done in perfect good faith, by persons who are not considered, and in many other respects may not deserve to be considered, ignorant or incompetent, that it is rarely possible on adequate grounds conscientiously to stamp the misrepresentation as morally culpable; and still [Pg 100] less could law presume to interfere with this kind of controversial misconduct. With regard to what is commonly meant by intemperate discussion, namely invective, sarcasm, personality, and the like, the denunciation of these weapons would deserve more sympathy if it were ever proposed to interdict them equally to both sides; but it is only desired to restrain the employment of them against the prevailing opinion: against the unprevailing they may not only be used without general disapproval, but will be likely to obtain for him who uses them the praise of honest zeal and righteous indignation. Yet whatever mischief arises from their use, is greatest when they are employed against the comparatively defenceless; and whatever unfair advantage can be derived by any opinion from this mode of asserting it,

accrues almost exclusively to received opinions. The worst offence of this kind which can be committed by a polemic, is to stigmatise those who hold the contrary opinion as bad and immoral men. To calumny of this sort, those who hold any unpopular opinion are peculiarly exposed, because they are in general few and uninfluential, and nobody but themselves feel much interest in seeing justice done them; but this weapon is, from the nature of the case, denied to those who attack[Pg 101] a prevailing opinion: they can neither use it with safety to themselves, nor, if they could, would it do anything but recoil on their own cause. In general, opinions contrary to those commonly received can only obtain a hearing by studied moderation of language, and the most cautious avoidance of unnecessary offence, from which they hardly ever deviate even in a slight degree without losing ground: while unmeasured vituperation employed on the side of the prevailing opinion, really does deter people from professing contrary opinions, and from listening to those who profess them. For the interest, therefore, of truth and justice, it is far more important to restrain this employment of vituperative language than the other; and, for example, if it were necessary to choose, there would be much more need to discourage offensive attacks on infidelity, than on religion. It is, however, obvious that law and authority have no business with restraining either, while opinion ought, in every instance, to determine its verdict by the circumstances of the individual case; condemning every one, on whichever side of the argument he places himself, in whose mode of advocacy either want of candour, or malignity, bigotry, or intolerance of feeling manifest themselves; but not inferring these vices from the side[Pg 102] which a person takes, though it be the contrary side of the question to our own: and giving merited honour to every one, whatever opinion he may hold, who has calmness to see and honesty to state what his opponents and their opinions really are, exaggerating nothing to their discredit, keeping nothing back which tells, or can be supposed to tell, in their favour. This is the real morality of public discussion; and if often violated, I am happy to think that there are many controversialists who to a great extent observe it, and a still greater number who conscientiously strive towards it ...

#### CHAPTER III. OF INDIVIDUALITY, AS ONE OF THE ELEMENTS OF WELL-BEING.

Such being the reasons which make it imperative that human beings should be free to form opinions, and to express their opinions without reserve; and such the baneful consequences to the intellectual, and through that to the moral nature of man, unless this liberty is either conceded, or asserted in spite of prohibition; let us next examine whether the same reasons do not require that men should be free to act upon their opinions—to carry these out in their lives, without hindrance, either physical or moral, from their fellow-men, so long as it is at their own risk and peril. This last proviso is of course indispensable. No one pretends that actions should be as free as opinions. On the contrary, even opinions lose their immunity, when the circumstances in which they are expressed are such as to constitute their[Pg 104] expression a positive instigation to some mischievous act. An opinion that corn-dealers are starvers of the poor, or that private property is robbery, ought to be unmolested when simply circulated through the press, but may justly incur punishment when delivered orally to an excited mob assembled before the house of a corn-dealer, or when handed about among the same mob in the form of a placard. Acts, of whatever kind, which, without justifiable cause, do harm to others, may be, and in the more important cases absolutely require to be, controlled by the unfavourable sentiments, and, when needful, by the

active interference of mankind. The liberty of the individual must be thus far limited; he must not make himself a nuisance to other people. But if he refrains from molesting others in what concerns them, and merely acts according to his own inclination and judgment in things which concern himself, the same reasons which show that opinion should be free, prove also that he should be allowed, without molestation, to carry his opinions into practice at his own cost. That mankind are not infallible; that their truths, for the most part, are only half-truths; that unity of opinion, unless resulting from the fullest and freest comparison of opposite opinions, is not[Pg 105] desirable, and diversity not an evil, but a good, until mankind are much more capable than at present of recognising all sides of the truth, are principles applicable to men's modes of action, not less than to their opinions. As it is useful that while mankind are imperfect there should be different opinions, so is it that there should be different experiments of living; that free scope should be given to varieties of character, short of injury to others; and that the worth of different modes of life should be proved practically, when any one thinks fit to try them. It is desirable, in short, that in things which do not primarily concern others, individuality should assert itself. Where, not the person's own character, but the traditions or customs of other people are the rule of conduct, there is wanting one of the principal ingredients of human happiness, and quite the chief ingredient of individual and social progress.

In maintaining this principle, the greatest difficulty to be encountered does not lie in the appreciation of means towards an acknowledged end, but in the indifference of persons in general to the end itself. If it were felt that the free development of individuality is one of the leading essentials of well-being; that it is not only a co-ordinate element with all that is designated[Pg 106] by the terms civilisation, instruction, education, culture, but is itself a necessary part and condition of all those things; there would be no danger that liberty should be under-valued, and the adjustment of the boundaries between it and social control would present no extraordinary difficulty. But the evil is, that individual spontaneity is hardly recognised by the common modes of thinking, as having any intrinsic worth, or deserving any regard on its own account. The majority, being satisfied with the ways of mankind as they now are (for it is they who make them what they are), cannot comprehend why those ways should not be good enough for everybody; and what is more, spontaneity forms no part of the ideal of the majority of moral and social reformers, but is rather looked on with jealousy, as a troublesome and perhaps rebellious obstruction to the general acceptance of what these reformers, in their own judgment, think would be best for mankind. Few persons, out of Germany, even comprehend the meaning of the doctrine which Wilhelm von Humboldt, so eminent both as a *savant* and as a politician, made the text of a treatise—that “the end of man, or that which is prescribed by the eternal or immutable dictates of reason, and not suggested by vague and transient[Pg 107] desires, is the highest and most harmonious development of his powers to a complete and consistent whole;” that, therefore, the object “towards which every human being must ceaselessly direct his efforts, and on which especially those who design to influence their fellow-men must ever keep their eyes, is the individuality of power and development;” that for this there are two requisites, “freedom, and a variety of situations;” and that from the union of these arise “individual vigour and manifold diversity,” which combine themselves in “originality.”[11]

Little, however, as people are accustomed to a doctrine like that of Von Humboldt, and surprising as it may be to them to find so high a value attached to individuality, the question, one must nevertheless think, can only be one of degree. No one's idea of excellence in conduct is



that people should do absolutely nothing but copy one another. No one would assert that people ought not to put into their mode of life, and into the conduct of their concerns, any impress whatever of their own judgment, or of their own individual character. On the other hand, it would be absurd to pretend that people ought to live as if nothing [Pg 108] whatever had been known in the world before they came into it; as if experience had as yet done nothing towards showing that one mode of existence, or of conduct, is preferable to another. Nobody denies that people should be so taught and trained in youth, as to know and benefit by the ascertained results of human experience. But it is the privilege and proper condition of a human being, arrived at the maturity of his faculties, to use and interpret experience in his own way. It is for him to find out what part of recorded experience is properly applicable to his own circumstances and character. The traditions and customs of other people are, to a certain extent, evidence of what their experience has taught *them*; presumptive evidence, and as such, have a claim to his deference: but, in the first place, their experience may be too narrow; or they may not have interpreted it rightly. Secondly, their interpretation of experience may be correct, but unsuitable to him. Customs are made for customary circumstances, and customary characters: and his circumstances or his character may be uncustomary. Thirdly, though the customs be both good as customs, and suitable to him, yet to conform to custom, merely as custom, does not educate or develop in him any of the qualities [Pg 109] which are the distinctive endowment of a human being. The human faculties of perception, judgment, discriminative feeling, mental activity, and even moral preference, are exercised only in making a choice. He who does anything because it is the custom, makes no choice. He gains no practice either in discerning or in desiring what is best. The mental and moral, like the muscular powers, are improved only by being used. The faculties are called into no exercise by doing a thing merely because others do it, no more than by believing a thing only because others believe it. If the grounds of an opinion are not conclusive to the person's own reason, his reason cannot be strengthened, but is likely to be weakened by his adopting it: and if the inducements to an act are not such as are consentaneous to his own feelings and character (where affection, or the rights of others, are not concerned), it is so much done towards rendering his feelings and character inert and torpid, instead of active and energetic.

He who lets the world, or his own portion of it, choose his plan of life for him, has no need of any other faculty than the ape-like one of imitation. He who chooses his plan for himself, employs all his faculties. He must use observation to see, reasoning and judgment to foresee, activity to [Pg 110] gather materials for decision, discrimination to decide, and when he has decided, firmness and self-control to hold to his deliberate decision. And these qualities he requires and exercises exactly in proportion as the part of his conduct which he determines according to his own judgment and feelings is a large one. It is possible that he might be guided in some good path, and kept out of harm's way, without any of these things. But what will be his comparative worth as a human being? It really is of importance, not only what men do, but also what manner of men they are that do it. Among the works of man, which human life is rightly employed in perfecting and beautifying, the first in importance surely is man himself. Supposing it were possible to get houses built, corn grown, battles fought, causes tried, and even churches erected and prayers said, by machinery—by automatons in human form—it would be a considerable loss to exchange for these automatons even the men and women who at present inhabit the more civilised parts of the world, and who assuredly are but starved specimens of what nature can and will produce. Human nature is not a machine to be built after a model, and set to do exactly the work prescribed for it, but a

tree, which requires to grow and[Pg 111] develop itself on all sides, according to the tendency of the inward forces which make it a living thing.

It will probably be conceded that it is desirable people should exercise their understandings, and that an intelligent following of custom, or even occasionally an intelligent deviation from custom, is better than a blind and simply mechanical adhesion to it. To a certain extent it is admitted, that our understanding should be our own: but there is not the same willingness to admit that our desires and impulses should be our own likewise; or that to possess impulses of our own, and of any strength, is anything but a peril and a snare. Yet desires and impulses are as much a part of a perfect human being, as beliefs and restraints: and strong impulses are only perilous when not properly balanced; when one set of aims and inclinations is developed into strength, while others, which ought to co-exist with them, remain weak and inactive. It is not because men's desires are strong that they act ill; it is because their consciences are weak. There is no natural connection between strong impulses and a weak conscience. The natural connection is the other way. To say that one person's desires and feelings are stronger and more various than those[Pg 112] of another, is merely to say that he has more of the raw material of human nature, and is therefore capable, perhaps of more evil, but certainly of more good. Strong impulses are but another name for energy. Energy may be turned to bad uses; but more good may always be made of an energetic nature, than of an indolent and impassive one. Those who have most natural feeling, are always those whose cultivated feelings may be made the strongest. The same strong susceptibilities which make the personal impulses vivid and powerful, are also the source from whence are generated the most passionate love of virtue, and the sternest self-control. It is through the cultivation of these, that society both does its duty and protects its interests: not by rejecting the stuff of which heroes are made, because it knows not how to make them. A person whose desires and impulses are his own—are the expression of his own nature, as it has been developed and modified by his own culture—is said to have a character. One whose desires and impulses are not his own, has no character, no more than a steam-engine has a character. If, in addition to being his own, his impulses are strong, and are under the government of a strong will, he has an energetic character. Whoever thinks that [Pg 113]individuality of desires and impulses should not be encouraged to unfold itself, must maintain that society has no need of strong natures—is not the better for containing many persons who have much character—and that a high general average of energy is not desirable.

In some early states of society, these forces might be, and were, too much ahead of the power which society then possessed of disciplining and controlling them. There has been a time when the element of spontaneity and individuality was in excess, and the social principle had a hard struggle with it. The difficulty then was, to induce men of strong bodies or minds to pay obedience to any rules which required them to control their impulses. To overcome this difficulty, law and discipline, like the Popes struggling against the Emperors, asserted a power over the whole man, claiming to control all his life in order to control his character—which society had not found any other sufficient means of binding. But society has now fairly got the better of individuality; and the danger which threatens human nature is not the excess, but the deficiency, of personal impulses and preferences. Things are vastly changed, since the passions of those who were strong by station or by personal endowment[Pg 114] were in a state of habitual rebellion against laws and ordinances, and required to be rigorously chained up to enable the persons within their reach to enjoy any particle of security. In our times, from the highest class of society down to

the lowest, every one lives as under the eye of a hostile and dreaded censorship. Not only in what concerns others, but in what concerns only themselves, the individual, or the family, do not ask themselves—what do I prefer? or, what would suit my character and disposition? or, what would allow the best and highest in me to have fair-play, and enable it to grow and thrive? They ask themselves, what is suitable to my position? what is usually done by persons of my station and pecuniary circumstances? or (worse still) what is usually done by persons of a station and circumstances superior to mine? I do not mean that they choose what is customary, in preference to what suits their own inclination. It does not occur to them to have any inclination, except for what is customary. Thus the mind itself is bowed to the yoke: even in what people do for pleasure, conformity is the first thing thought of; they like in crowds; they exercise choice only among things commonly done: peculiarity of taste, eccentricity of conduct, are shunned equally with [Pg 115] crimes: until by dint of not following their own nature, they have no nature to follow: their human capacities are withered and starved: they become incapable of any strong wishes or native pleasures, and are generally without either opinions or feelings of home growth, or properly their own. Now is this, or is it not, the desirable condition of human nature?

#### CHAPTER IV. OF THE LIMITS TO THE AUTHORITY OF SOCIETY OVER THE INDIVIDUAL.

What, then, is the rightful limit to the sovereignty of the individual over himself? Where does the authority of society begin? How much of human life should be assigned to individuality, and how much to society?

Each will receive its proper share, if each has that which more particularly concerns it. To individuality should belong the part of life in which it is chiefly the individual that is interested; to society, the part which chiefly interests society.

Though society is not founded on a contract, and though no good purpose is answered by inventing a contract in order to deduce social obligations from it, every one who receives the protection of society owes a return for the benefit, and the fact of living in society renders it indispensable that each should be bound to [Pg 141] observe a certain line of conduct towards the rest. This conduct consists, first, in not injuring the interests of one another; or rather certain interests which, either by express legal provision or by tacit understanding, ought to be considered as rights; and secondly, in each person's bearing his share (to be fixed on some equitable principle) of the labours and sacrifices incurred for defending the society or its members from injury and molestation. These conditions society is justified in enforcing, at all costs to those who endeavour to withhold fulfilment. Nor is this all that society may do. The acts of an individual may be hurtful to others, or wanting in due consideration for their welfare, without going the length of violating any of their constituted rights. The offender may then be justly punished by opinion though not by law. As soon as any part of a person's conduct affects prejudicially the interests of others, society has jurisdiction over it, and the question whether the general welfare will or will not be promoted by interfering with it, becomes open to discussion. But there is no room for entertaining any such question when a person's conduct affects the interests of no persons besides himself, or needs not affect them unless they like (all the persons concerned being of full age, and [Pg 142] the ordinary amount of understanding). In all such cases there should be perfect freedom, legal and social, to do the action and stand the consequences.

It would be a great misunderstanding of this doctrine, to suppose that it is one of selfish indifference, which pretends that human beings have no business with each other's conduct in life, and that they should not concern themselves about the well-doing or well-being of one another, unless their own interest is involved. Instead of any diminution, there is need of a great increase of disinterested exertion to promote the good of others. But disinterested benevolence can find other instruments to persuade people to their good, than whips and scourges, either of the literal or the metaphorical sort. I am the last person to undervalue the self-regarding virtues; they are only second in importance, if even second, to the social. It is equally the business of education to cultivate both. But even education works by conviction and persuasion as well as by compulsion, and it is by the former only that, when the period of education is past, the self-regarding virtues should be inculcated. Human beings owe to each other help to distinguish the better from the worse, and encouragement to choose the[Pg 143] former and avoid the latter. They should be for ever stimulating each other to increased exercise of their higher faculties, and increased direction of their feelings and aims towards wise instead of foolish, elevating instead of degrading, objects and contemplations. But neither one person, nor any number of persons, is warranted in saying to another human creature of ripe years, that he shall not do with his life for his own benefit what he chooses to do with it. He is the person most interested in his own well-being; the interest which any other person, except in cases of strong personal attachment, can have in it, is trifling, compared with that which he himself has; the interest which society has in him individually (except as to his conduct to others) is fractional, and altogether indirect: while, with respect to his own feelings and circumstances, the most ordinary man or woman has means of knowledge immeasurably surpassing those that can be possessed by any one else. The interference of society to overrule his judgment and purposes in what only regards himself, must be grounded on general presumptions; which may be altogether wrong, and even if right, are as likely as not to be misapplied to individual cases, by persons no better acquainted with the circumstances of such[Pg 144] cases than those are who look at them merely from without. In this department, therefore, of human affairs, Individuality has its proper field of action. In the conduct of human beings towards one another, it is necessary that general rules should for the most part be observed, in order that people may know what they have to expect; but in each person's own concerns, his individual spontaneity is entitled to free exercise. Considerations to aid his judgment, exhortations to strengthen his will, may be offered to him, even obtruded on him, by others; but he himself is the final judge. All errors which he is likely to commit against advice and warning, are far outweighed by the evil of allowing others to constrain him to what they deem his good.

I do not mean that the feelings with which a person is regarded by others, ought not to be in any way affected by his self-regarding qualities or deficiencies. This is neither possible nor desirable. If he is eminent in any of the qualities which conduce to his own good, he is, so far, a proper object of admiration. He is so much the nearer to the ideal perfection of human nature. If he is grossly deficient in those qualities, a sentiment the opposite of admiration will follow. There is a degree of folly, and a degree of what may be[Pg 145] called (though the phrase is not unobjectionable) lowness or depravation of taste, which, though it cannot justify doing harm to the person who manifests it, renders him necessarily and properly a subject of distaste, or, in extreme cases, even of contempt: a person could not have the opposite qualities in due strength without entertaining these feelings. Though doing no wrong to any one, a person may so act as to compel us to judge

him, and feel to him, as a fool, or as a being of an inferior order: and since this judgment and feeling are a fact which he would prefer to avoid, it is doing him a service to warn him of it beforehand, as of any other disagreeable consequence to which he exposes himself. It would be well, indeed, if this good office were much more freely rendered than the common notions of politeness at present permit, and if one person could honestly point out to another that he thinks him in fault, without being considered unmannerly or presuming. We have a right, also, in various ways, to act upon our unfavourable opinion of any one, not to the oppression of his individuality, but in the exercise of ours. We are not bound, for example, to seek his society; we have a right to avoid it (though not to parade the avoidance), for we have a right to choose the society most acceptable to us. We [Pg 146] have a right, and it may be our duty, to caution others against him, if we think his example or conversation likely to have a pernicious effect on those with whom he associates. We may give others a preference over him in optional good offices, except those which tend to his improvement. In these various modes a person may suffer very severe penalties at the hands of others, for faults which directly concern only himself; but he suffers these penalties only in so far as they are the natural, and, as it were, the spontaneous consequences of the faults themselves, not because they are purposely inflicted on him for the sake of punishment. A person who shows rashness, obstinacy, self-conceit—who cannot live within moderate means—who cannot restrain himself from hurtful indulgences—who pursues animal pleasures at the expense of those of feeling and intellect—must expect to be lowered in the opinion of others, and to have a less share of their favourable sentiments; but of this he has no right to complain, unless he has merited their favour by special excellence in his social relations, and has thus established a title to their good offices, which is not affected by his demerits towards himself.

What I contend for is, that the inconveniences which are strictly inseparable from the [Pg 147] unfavourable judgment of others, are the only ones to which a person should ever be subjected for that portion of his conduct and character which concerns his own good, but which does not affect the interests of others in their relations with him. Acts injurious to others require a totally different treatment. Encroachment on their rights; infliction on them of any loss or damage not justified by his own rights; falsehood or duplicity in dealing with them; unfair or ungenerous use of advantages over them; even selfish abstinence from defending them against injury—these are fit objects of moral reprobation, and, in grave cases, of moral retribution and punishment. And not only these acts, but the dispositions which lead to them, are properly immoral, and fit subjects of disapprobation which may rise to abhorrence. Cruelty of disposition; malice and ill-nature; that most anti-social and odious of all passions, envy; dissimulation and insincerity; irascibility on insufficient cause, and resentment disproportioned to the provocation; the love of domineering over others; the desire to engross more than one's share of advantages (the *πλεονεξία* [Greek: *pleonexia*] of the Greeks); the pride which derives gratification from the abasement of others; the egotism which thinks self and its concerns more important than [Pg 148] everything else, and decides all doubtful questions in its own favour;—these are moral vices, and constitute a bad and odious moral character: unlike the self-regarding faults previously mentioned, which are not properly immoralities, and to whatever pitch they may be carried, do not constitute wickedness. They may be proofs of any amount of folly, or want of personal dignity and self-respect; but they are only a subject of moral reprobation when they involve a breach of duty to others, for whose sake the individual is bound to have care for himself. What are called duties to ourselves are not socially obligatory, unless circumstances render them at the same time duties to others. The

term duty to oneself, when it means anything more than prudence, means self-respect or self-development; and for none of these is any one accountable to his fellow-creatures, because for none of them is it for the good of mankind that he be held accountable to them.

The distinction between the loss of consideration which a person may rightly incur by defect of prudence or of personal dignity, and the reprobation which is due to him for an offence against the rights of others, is not a merely nominal distinction. It makes a vast difference both in our feelings and in our conduct towards him,[Pg 149] whether he displeases us in things in which we think we have a right to control him, or in things in which we know that we have not. If he displeases us, we may express our distaste, and we may stand aloof from a person as well as from a thing that displeases us; but we shall not therefore feel called on to make his life uncomfortable. We shall reflect that he already bears, or will bear, the whole penalty of his error; if he spoils his life by mismanagement, we shall not, for that reason, desire to spoil it still further: instead of wishing to punish him, we shall rather endeavour to alleviate his punishment, by showing him how he may avoid or cure the evils his conduct tends to bring upon him. He may be to us an object of pity, perhaps of dislike, but not of anger or resentment; we shall not treat him like an enemy of society: the worst we shall think ourselves justified in doing is leaving him to himself, if we do not interfere benevolently by showing interest or concern for him. It is far otherwise if he has infringed the rules necessary for the protection of his fellow-creatures, individually or collectively. The evil consequences of his acts do not then fall on himself, but on others; and society, as the protector of all its members, must retaliate on him; must inflict pain on him for the express purpose[Pg 150] of punishment, and must take care that it be sufficiently severe. In the one case, he is an offender at our bar, and we are called on not only to sit in judgment on him, but, in one shape or another, to execute our own sentence: in the other case, it is not our part to inflict any suffering on him, except what may incidentally follow from our using the same liberty in the regulation of our own affairs, which we allow to him in his.

The distinction here pointed out between the part of a person's life which concerns only himself, and that which concerns others, many persons will refuse to admit. How (it may be asked) can any part of the conduct of a member of society be a matter of indifference to the other members? No person is an entirely isolated being; it is impossible for a person to do anything seriously or permanently hurtful to himself, without mischief reaching at least to his near connections, and often far beyond them. If he injures his property, he does harm to those who directly or indirectly derived support from it, and usually diminishes, by a greater or less amount, the general resources of the community. If he deteriorates his bodily or mental faculties, he not only brings evil upon all who depended on him for any portion of their happiness, but disqualifies himself for rendering[Pg 151] the services which he owes to his fellow-creatures generally; perhaps becomes a burthen on their affection or benevolence; and if such conduct were very frequent, hardly any offence that is committed would detract more from the general sum of good. Finally, if by his vices or follies a person does no direct harm to others, he is nevertheless (it may be said) injurious by his example; and ought to be compelled to control himself, for the sake of those whom the sight or knowledge of his conduct might corrupt or mislead.

And even (it will be added) if the consequences of misconduct could be confined to the vicious or thoughtless individual, ought society to abandon to their own guidance those who are manifestly unfit for it? If protection against themselves is confessedly due to children and persons under age, is not society equally bound to afford it to persons of mature years who are equally incapable of

self-government? If gambling, or drunkenness, or incontinence, or idleness, or uncleanness, are as injurious to happiness, and as great a hindrance to improvement, as many or most of the acts prohibited by law, why (it may be asked) should not law, so far as is consistent with practicability and social convenience, endeavour to repress these[Pg 152] also? And as a supplement to the unavoidable imperfections of law, ought not opinion at least to organise a powerful police against these vices, and visit rigidly with social penalties those who are known to practise them? There is no question here (it may be said) about restricting individuality, or impeding the trial of new and original experiments in living. The only things it is sought to prevent are things which have been tried and condemned from the beginning of the world until now; things which experience has shown not to be useful or suitable to any person's individuality. There must be some length of time and amount of experience, after which a moral or prudential truth may be regarded as established: and it is merely desired to prevent generation after generation from falling over the same precipice which has been fatal to their predecessors.

I fully admit that the mischief which a person does to himself, may seriously affect, both through their sympathies and their interests, those nearly connected with him, and in a minor degree, society at large. When, by conduct of this sort, a person is led to violate a distinct and assignable obligation to any other person or persons, the case is taken out of the self-regarding class, and becomes amenable to moral disapprobation in the proper[Pg 153] sense of the term. If, for example, a man, through intemperance or extravagance, becomes unable to pay his debts, or, having undertaken the moral responsibility of a family, becomes from the same cause incapable of supporting or educating them, he is deservedly reprobated, and might be justly punished; but it is for the breach of duty to his family or creditors, not for the extravagance. If the resources which ought to have been devoted to them, had been diverted from them for the most prudent investment, the moral culpability would have been the same. George Barnwell murdered his uncle to get money for his mistress, but if he had done it to set himself up in business, he would equally have been hanged. Again, in the frequent case of a man who causes grief to his family by addiction to bad habits, he deserves reproach for his unkindness or ingratitude; but so he may for cultivating habits not in themselves vicious, if they are painful to those with whom he passes his life, or who from personal ties are dependent on him for their comfort. Whoever fails in the consideration generally due to the interests and feelings of others, not being compelled by some more imperative duty, or justified by allowable self-preference, is a subject of moral disapprobation[Pg 154] for that failure, but not for the cause of it, nor for the errors, merely personal to himself, which may have remotely led to it. In like manner, when a person disables himself, by conduct purely self-regarding, from the performance of some definite duty incumbent on him to the public, he is guilty of a social offence. No person ought to be punished simply for being drunk; but a soldier or a policeman should be punished for being drunk on duty. Whenever, in short, there is a definite damage, or a definite risk of damage, either to an individual or to the public, the case is taken out of the province of liberty, and placed in that of morality or law.

But with regard to the merely contingent, or, as it may be called, constructive injury which a person causes to society, by conduct which neither violates any specific duty to the public, nor occasions perceptible hurt to any assignable individual except himself; the inconvenience is one which society can afford to bear, for the sake of the greater good of human freedom. If grown persons are to be punished for not taking proper care of themselves, I would rather it were for their own sake, than under pretence of preventing them from impairing their capacity of

rendering to society benefits which society does not pretend it[Pg 155] has a right to exact. But I cannot consent to argue the point as if society had no means of bringing its weaker members up to its ordinary standard of rational conduct, except waiting till they do something irrational, and then punishing them, legally or morally, for it. Society has had absolute power over them during all the early portion of their existence: it has had the whole period of childhood and nonage in which to try whether it could make them capable of rational conduct in life. The existing generation is master both of the training and the entire circumstances of the generation to come; it cannot indeed make them perfectly wise and good, because it is itself so lamentably deficient in goodness and wisdom; and its best efforts are not always, in individual cases, its most successful ones; but it is perfectly well able to make the rising generation, as a whole, as good as, and a little better than, itself. If society lets any considerable number of its members grow up mere children, incapable of being acted on by rational consideration of distant motives, society has itself to blame for the consequences. Armed not only with all the powers of education, but with the ascendancy which the authority of a received opinion always exercises over the minds who are least fitted to[Pg 156] judge for themselves; and aided by the *natural* penalties which cannot be prevented from falling on those who incur the distaste or the contempt of those who know them; let not society pretend that it needs, besides all this, the power to issue commands and enforce obedience in the personal concerns of individuals, in which, on all principles of justice and policy, the decision ought to rest with those who are to abide the consequences. Nor is there anything which tends more to discredit and frustrate the better means of influencing conduct, than a resort to the worse. If there be among those whom it is attempted to coerce into prudence or temperance, any of the material of which vigorous and independent characters are made, they will infallibly rebel against the yoke. No such person will ever feel that others have a right to control him in his concerns, such as they have to prevent him from injuring them in theirs; and it easily comes to be considered a mark of spirit and courage to fly in the face of such usurped authority, and do with ostentation the exact opposite of what it enjoins; as in the fashion of grossness which succeeded, in the time of Charles II., to the fanatical moral intolerance of the Puritans. With respect to what is said of the necessity of protecting society from[Pg 157] the bad example set to others by the vicious or the self-indulgent; it is true that bad example may have a pernicious effect, especially the example of doing wrong to others with impunity to the wrong-doer. But we are now speaking of conduct which, while it does no wrong to others, is supposed to do great harm to the agent himself: and I do not see how those who believe this, can think otherwise than that the example, on the whole, must be more salutary than hurtful, since, if it displays the misconduct, it displays also the painful or degrading consequences which, if the conduct is justly censured, must be supposed to be in all or most cases attendant on it.

But the strongest of all the arguments against the interference of the public with purely personal conduct, is that when it does interfere, the odds are that it interferes wrongly, and in the wrong place. On questions of social morality, of duty to others, the opinion of the public, that is, of an overruling majority, though often wrong, is likely to be still oftener right; because on such questions they are only required to judge of their own interests; of the manner in which some mode of conduct, if allowed to be practised, would affect themselves. But the opinion of a similar majority, imposed as a law on the minority, on questions of[Pg 158] self-regarding conduct, is quite as likely to be wrong as right; for in these cases public opinion means, at the best, some people's opinion of what is good or bad for other people; while very often it does not even mean that;



the public, with the most perfect indifference, passing over the pleasure or convenience of those whose conduct they censure, and considering only their own preference. There are many who consider as an injury to themselves any conduct which they have a distaste for, and resent it as an outrage to their feelings; as a religious bigot, when charged with disregarding the religious feelings of others, has been known to retort that they disregard his feelings, by persisting in their abominable worship or creed. But there is no parity between the feeling of a person for his own opinion, and the feeling of another who is offended at his holding it; no more than between the desire of a thief to take a purse, and the desire of the right owner to keep it. And a person's taste is as much his own peculiar concern as his opinion or his purse. It is easy for any one to imagine an ideal public, which leaves the freedom and choice of individuals in all uncertain matters undisturbed, and only requires them to abstain from modes of conduct which universal experience has condemned. But where[Pg 159] has there been seen a public which set any such limit to its censorship? or when does the public trouble itself about universal experience? In its interferences with personal conduct it is seldom thinking of anything but the enormity of acting or feeling differently from itself; and this standard of judgment, thinly disguised, is held up to mankind as the dictate of religion and philosophy, by nine-tenths of all moralists and speculative writers. These teach that things are right because they are right; because we feel them to be so. They tell us to search in our own minds and hearts for laws of conduct binding on ourselves and on all others. What can the poor public do but apply these instructions, and make their own personal feelings of good and evil, if they are tolerably unanimous in them, obligatory on all the world?

The evil here pointed out is not one which exists only in theory; and it may perhaps be expected that I should specify the instances in which the public of this age and country improperly invests its own preferences with the character of moral laws. I am not writing an essay on the aberrations of existing moral feeling. That is too weighty a subject to be discussed parenthetically, and by way of illustration. Yet examples are necessary, to show that the principle[Pg 160] I maintain is of serious and practical moment, and that I am not endeavouring to erect a barrier against imaginary evils. And it is not difficult to show, by abundant instances, that to extend the bounds of what may be called moral police, until it encroaches on the most unquestionably legitimate liberty of the individual, is one of the most universal of all human propensities.

As a first instance, consider the antipathies which men cherish on no better grounds than that persons whose religious opinions are different from theirs, do not practise their religious observances, especially their religious abstinences. To cite a rather trivial example, nothing in the creed or practice of Christians does more to envenom the hatred of Mahomedans against them, than the fact of their eating pork. There are few acts which Christians and Europeans regard with more unaffected disgust, than Mussulmans regard this particular mode of satisfying hunger. It is, in the first place, an offence against their religion; but this circumstance by no means explains either the degree or the kind of their repugnance; for wine also is forbidden by their religion, and to partake of it is by all Mussulmans accounted wrong, but not disgusting. Their aversion to the flesh of the "unclean beast" is,[Pg 161] on the contrary, of that peculiar character, resembling an instinctive antipathy, which the idea of uncleanness, when once it thoroughly sinks into the feelings, seems always to excite even in those whose personal habits are anything but scrupulously cleanly, and of which the sentiment of religious impurity, so intense in the Hindoos, is a remarkable example. Suppose now that in a people, of whom the majority were Mussulmans, that majority should insist upon not permitting pork to be eaten within the limits of the country. This would be

nothing new in Mahomedan countries.[14] Would it be a legitimate exercise of the moral authority of public opinion? and if not, why not? The practice is really revolting to such a public. They also sincerely[Pg 162] think that it is forbidden and abhorred by the Deity. Neither could the prohibition be censured as religious persecution. It might be religious in its origin, but it would not be persecution for religion, since nobody's religion makes it a duty to eat pork. The only tenable ground of condemnation would be, that with the personal tastes and self-regarding concerns of individuals the public has no business to interfere.

To come somewhat nearer home: the majority of Spaniards consider it a gross impiety, offensive in the highest degree to the Supreme Being, to worship him in any other manner than the Roman Catholic; and no other public worship is lawful on Spanish soil. The people of all Southern Europe look upon a married clergy as not only irreligious, but unchaste, indecent, gross, disgusting. What do Protestants think of these perfectly sincere feelings, and of the attempt to enforce them against non-Catholics? Yet, if mankind are justified in interfering with each other's liberty in things which do not concern the interests of others, on what principle is it possible consistently to exclude these cases? or who can blame people for desiring to suppress what they regard as a scandal in the sight of God and man? No stronger case can be shown for prohibiting[Pg 163] anything which is regarded as a personal immorality, than is made out for suppressing these practices in the eyes of those who regard them as impieties; and unless we are willing to adopt the logic of persecutors, and to say that we may persecute others because we are right, and that they must not persecute us because they are wrong, we must beware of admitting a principle of which we should resent as a gross injustice the application to ourselves.

The preceding instances may be objected to, although unreasonably, as drawn from contingencies impossible among us: opinion, in this country, not being likely to enforce abstinence from meats, or to interfere with people for worshipping, and for either marrying or not marrying, according to their creed or inclination. The next example, however, shall be taken from an interference with liberty which we have by no means passed all danger of. Wherever the Puritans have been sufficiently powerful, as in New England, and in Great Britain at the time of the Commonwealth, they have endeavoured, with considerable success, to put down all public, and nearly all private, amusements: especially music, dancing, public games, or other assemblages for purposes of diversion, and the theatre. There[Pg 164] are still in this country large bodies of persons by whose notions of morality and religion these recreations are condemned; and those persons belonging chiefly to the middle class, who are the ascendant power in the present social and political condition of the kingdom, it is by no means impossible that persons of these sentiments may at some time or other command a majority in Parliament. How will the remaining portion of the community like to have the amusements that shall be permitted to them regulated by the religious and moral sentiments of the stricter Calvinists and Methodists? Would they not, with considerable peremptoriness, desire these intrusively pious members of society to mind their own business? This is precisely what should be said to every government and every public, who have the pretension that no person shall enjoy any pleasure which they think wrong. But if the principle of the pretension be admitted, no one can reasonably object to its being acted on in the sense of the majority, or other preponderating power in the country; and all persons must be ready to conform to the idea of a Christian commonwealth, as understood by the early settlers in New England, if a religious profession similar to theirs should ever succeed in[Pg 165] regaining its lost ground, as religions supposed to be declining have so often been known to do.

To imagine another contingency, perhaps more likely to be realised than the one last mentioned. There is confessedly a strong tendency in the modern world towards a democratic constitution of society, accompanied or not by popular political institutions. It is affirmed that in the country where this tendency is most completely realised—where both society and the government are most democratic—the United States—the feeling of the majority, to whom any appearance of a more showy or costly style of living than they can hope to rival is disagreeable, operates as a tolerably effectual sumptuary law, and that in many parts of the Union it is really difficult for a person possessing a very large income, to find any mode of spending it, which will not incur popular disapprobation. Though such statements as these are doubtless much exaggerated as a representation of existing facts, the state of things they describe is not only a conceivable and possible, but a probable result of democratic feeling, combined with the notion that the public has a right to a veto on the manner in which individuals shall spend their incomes. We have only further to suppose a considerable diffusion of [Pg 166] Socialist opinions, and it may become infamous in the eyes of the majority to possess more property than some very small amount, or any income not earned by manual labour. Opinions similar in principle to these, already prevail widely among the artisan class, and weigh oppressively on those who are amenable to the opinion chiefly of that class, namely, its own members. It is known that the bad workmen who form the majority of the operatives in many branches of industry, are decidedly of opinion that bad workmen ought to receive the same wages as good, and that no one ought to be allowed, through piecework or otherwise, to earn by superior skill or industry more than others can without it. And they employ a moral police, which occasionally becomes a physical one, to deter skilful workmen from receiving, and employers from giving, a larger remuneration for a more useful service. If the public have any jurisdiction over private concerns, I cannot see that these people are in fault, or that any individual's particular public can be blamed for asserting the same authority over his individual conduct, which the general public asserts over people in general.

## 6.3 Marx on Freedom

### *About this Text*

Marx                      This week we have, for the first time during the course, some readings from Karl Marx. You'll be reading excerpts from his *Economic and Philosophic Manuscripts of 1844*. This reading is challenging. Marx discusses what he calls the "alienation" that he says people experience under conditions of capitalism and private property. There are four aspects of alienation (or "estrangement" as Marx sometimes puts it). See if you can get a basic sense of what those four aspects are.

EXCERPTS FROM KARL MARX, *ECONOMIC AND PHILOSOPHIC MANUSCRIPTS OF 1844* (SOURCE)

### ESTRANGED LABOR

We have proceeded from the premises of political economy. We have accepted its language and its laws. We presupposed private property, the separation of labour, capital and land, and of wages, profit of capital and rent of land—likewise division of labour, competition, the concept of exchange-value, etc. On the basis of political economy itself, in its own words, we have shown that the worker sinks to the level of a commodity and becomes indeed the most wretched of commodities; that the wretchedness of the worker is in inverse proportion to the power and magnitude of his production; that the necessary result of competition is the accumulation of capital in a few hands, and thus the restoration of monopoly in a more terrible form; that finally the distinction between capitalist and land-rentier, like that between the tiller of the soil and the factory-worker, disappears and that the whole of society must fall apart into the two classes—the property-owners and the propertyless workers.

Political economy proceeds from the fact of private property, but it does not explain it to us. It expresses in general, abstract formulae the material process through which private property actually passes, and these formulae it then takes for laws. It does not comprehend these laws— i.e., it does not demonstrate how they arise from the very nature of private property. Political economy does not disclose the source of the division between labour and capital, and between capital and land. When, for example, it defines the relationship of wages to profit, it takes the interest of the capitalists to be the ultimate cause; i.e., it takes for granted what it is supposed to evolve. Similarly, competition comes in everywhere. It is explained from external circumstances. As to how far these external and apparently fortuitous circumstances are but the expression of a necessary course of development, political economy teaches us nothing. We have seen how, to it, exchange itself appears to be a fortuitous fact. The only wheels which political economy sets in motion are avarice and the war amongst the avaricious— competition.

Precisely because political economy does not grasp the connections within the movement, it was possible to counterpose, for instance, the doctrine of competition to the doctrine of monopoly, the doctrine of craft-liberty to the doctrine of the corporation, the doctrine of the division of landed property to the doctrine of the big estate—for competition, craft-liberty and the division of landed property were explained and comprehended only as fortuitous,

premeditated and violent consequences of monopoly, the corporation, and feudal property, not as their necessary, inevitable and natural consequences .

Now., therefore, we have to grasp the essential connection between private property, avarice, and the separation of labour, capital and landed property; between exchange and competition, value and the devaluation of men, monopoly and competition, etc.; the connection between this whole estrangement and the money-system.

Do not let us go back to a fictitious primordial condition as the political economist does, when he tries to explain. Such a primordial condition explains nothing. He merely pushes the question away into a grey nebulous distance. He assumes in the form of fact, of an event, what he is supposed to deduce—namely, the necessary relationship between two things—between, for example, division of labour and exchange. Theology in the same way explains the origin of evil by the fall of man: that is, it assumes as a fact, in historical form, what has to be explained.

We proceed from an actual economic fact.

The worker becomes all the poorer the more wealth he produces, the more his production increases in power and range. The worker becomes an ever cheaper commodity the more commodities he creates. With the increasing value of the world of things proceeds in direct proportion the devaluation of the world of men. Labour produces not only commodities; it produces itself and the worker as a commodity—and does so in the proportion in which it produces commodities generally.

This fact expresses merely that the object which labour produces—labour's product—confronts it as something alien, as a power independent of the producer. The product of labour is labour which has been congealed in an object, which has become material: it is the objectification of labour. Labour's realization is its objectification. In the conditions dealt with by political economy this realization of labour appears as loss of reality for the workers; objectification as loss of the object and object-bondage; appropriation as estrangement, as alienation. [13]

So much does labour's realization appear as loss of reality that the worker loses reality to the point of starving to death. So much does objectification appear as loss of the object that the worker is robbed of the objects most necessary not only for his life but for his work. Indeed, labour itself becomes an object which he can get hold of only with the greatest effort and with the most irregular interruptions. So much does the appropriation of the object appear as estrangement that the more objects the worker produces the fewer can he possess and the more he falls under the dominion of his product, capital.

All these consequences are contained in the definition that the worker is related to the product of his labour as to an alien object. For on this premise it is clear that the more the worker spends himself, the more powerful the alien objective world becomes which he creates over-against himself, the poorer he himself—his inner world—becomes, the less belongs to him as his own. It is the same in religion. The more man puts into God, the less he retains in himself. The worker puts his life into the object; but now his life no longer belongs to him but to the object. Hence, the greater this activity the greater is the worker's lack of objects. Whatever the product of his labour is, he is not. Therefore the greater this product, the less is he himself. The alienation of the worker in his product means not only that his labour becomes an object, an external existence, but that it exists outside him, independently, as something alien to him, and that it becomes a power of its own confronting him; it means that the life which he has conferred on the object confronts him as something hostile and alien.

Let us now look more closely at the objectification, at the production of the worker; and therein at the estrangement, the loss of the object, his product.

The worker can create nothing without nature, without the sensuous external world. It is the material on which his labor is manifested, in which it is active, from which and by means of which it produces.

But just as nature provides labor with the means of life in the sense that labour cannot live without objects on

which to operate, on the other hand, it also provides the means of life in the more restricted sense—i.e., the means for the physical subsistence of the worker himself.

Thus the more the worker by his labour appropriates the external world, sensuous nature, the more he deprives himself of means of life in the double respect: first, that the sensuous external world more and more ceases to be an object belonging to his labour—to be his labour's means of life; and secondly, that it more and more ceases to be means of life in the immediate sense, means for the physical subsistence of the worker.

Thus in this double respect the worker becomes a slave of his object, first, in that he receives an object of labour, i.e., in that he receives work; and secondly, in that he receives means of subsistence. Therefore, it enables him to exist, first, as a worker; and, second, as a physical subject. The extremity of this bondage is that it is only as a worker that he continues to maintain himself as a physical subject, and that it is only as a physical subject that he is a worker.

(The laws of political economy express the estrangement of the worker in his object thus: the more the worker produces, the less he has to consume; the more values he creates, the more valueless, the more unworthy he becomes; the better formed his product, the more deformed becomes the worker; the more civilized his object, the more barbarous becomes the worker; the mightier labour becomes, the more powerless becomes the worker; the more ingenious labour becomes, the duller becomes the worker and the more he becomes nature's bondsman.)

Political economy conceals the estrangement inherent in the nature of labour by not considering the direct relationship between the worker (labour) and production. It is true that labour produces for the rich wonderful things—but for the worker it produces privation. It produces palaces—but for the worker, hovels. It produces beauty—but for the worker, deformity. It replaces labour by machines—but some of the workers it throws back to a barbarous type of labour, and the other workers it turns into machines. It produces intelligence—but for the worker idiocy, cretinism.

The direct relationship of labour to its produce is the relationship of the worker to the objects of his production. The relationship of the man of means to the objects of production and to production itself is only a consequence of this first relationship—and confirms it. We shall consider this other aspect later.

When we ask, then, what is the essential relationship of labour we are asking about the relationship of the worker to production.

Till now we have been considering the estrangement, the alienation of the worker only in one of its aspects, i.e., the worker's relationship to the products of his labour. But the estrangement is manifested not only in the result but in the act of production—within the producing activity itself. How would the worker come to face the product of his activity as a stranger, were it not that in the very act of production he was estranging himself from himself? The product is after all but the summary of the activity of production. If then the product of labour is alienation, production itself must be active alienation, the alienation of activity, the activity of alienation. In the estrangement of the object of labour is merely summarized the estrangement, the alienation, in the activity of labour itself.

What, then, constitutes the alienation of labour?

First, the fact that labour is external to the worker, i.e., it does not belong to his essential being; that in his work, therefore, he does not affirm himself but denies himself, does not feel content but unhappy, does not develop freely his physical and mental energy but mortifies his body and ruins his mind. The worker therefore only feels himself outside his work, and in his work feels outside himself. He is at home when he is not working, and when he is working he is not at home. His labour is therefore not voluntary, but coerced; it is forced labour. It is therefore not the satisfaction of a need; it is merely a means to satisfy needs external to it. Its alien character emerges clearly in the fact that as soon as no physical or other compulsion exists, labour is shunned like the plague. External labour, labour in which man alienates himself, is a labour of self-sacrifice, of mortification. Lastly, the external character

of labour for the worker appears in the fact that it is not his own, but someone else's, that it does not belong to him, that in it he belongs, not to himself, but to another. Just as in religion the spontaneous activity of the human imagination, of the human brain and the human heart, operates independently of the individual—that is, operates on him as an alien, divine or diabolical activity—in the same way the worker's activity is not his spontaneous activity. It belongs to another; it is the loss of his self.

As a result, therefore, man (the worker) no longer feels himself to be freely active in any but his animal functions—eating, drinking, procreating, or at most in his dwelling and in dressing-up, etc.; and in his human functions he no longer feels himself to be anything but an animal. What is animal becomes human and what is human becomes animal.

Certainly eating, drinking, procreating, etc., are also genuinely human functions. But in the abstraction which separates them from the sphere of all other human activity and turns them into sole and ultimate ends, they are animal.

We have considered the act of estranging practical human activity, labour, in two of its aspects. (1) The relation of the worker to the product of labour as an alien object exercising power over him. This relation is at the same time the relation to the sensuous external world, to the objects of nature as an alien world antagonistically opposed to him. (2) The relation of labour to the act of production within the labour process. This relation is the relation of the worker to his own activity as an alien activity not belonging to him; it is activity as suffering, strength as weakness, begetting as emasculating, the worker's own physical and mental energy, his personal life or what is life other than activity—as an activity which is turned against him, neither depends on nor belongs to him. Here we have self-estrangement, as we had previously the estrangement of the thing.

We have yet a third aspect of estranged labour to deduce from the two already considered.

Man is a species being, not only because in practice and in theory he adopts the species as his object (his own as well as those of other things), but—and this is only another way of expressing it—but also because he treats himself as the actual, living species; because he treats himself as a universal and therefore a free being.

The life of the species, both in man and in animals, consists physically in the fact that man (like the animal) lives on inorganic nature; and the more universal man is compared with an animal, the more universal is the sphere of inorganic nature on which he lives. Just as plants, animals, stones, the air, light, etc., constitute a part of human consciousness in the realm of theory, partly as objects of natural science, partly as objects of art—his spiritual inorganic nature, spiritual nourishment which he must first prepare to make it palatable and digestible—so too in the realm of practice they constitute a part of human life and human activity. Physically man lives only on these products of nature, whether they appear in the form of food, heating, clothes, a dwelling, or whatever it may be. The universality of man is in practice manifested precisely in the universality which makes all nature his inorganic body—both inasmuch as nature is (1) his direct means of life, and (2) the material, the object, and the instrument of his life-activity. Nature is man's inorganic body—nature, that is, in so far as it is not itself the human body. Man lives on nature—means that nature is his body, with which he must remain in continuous intercourse if he is not to die. That man's physical and spiritual life is linked to nature means simply that nature is linked to itself, for man is a part of nature.

In estranging from man (1) nature, and (2) himself, his own active functions, his life-activity, estranged labour estranges the species from man. It turns for him the life of the species into a means of individual life. First it estranges the life of the species and individual life, and secondly it makes individual life in its abstract form the purpose of the life of the species, likewise in its abstract and estranged form.

For in the first place labour, life-activity, productive life itself, appears to man merely as a means of satisfying a need—the need to maintain the physical existence. Yet the productive life is the life of the species. It is life-

engendering life. The whole character of a species—its species character—is contained in the character of its life-activity; and free, conscious activity is man's species character. Life itself appears only as a means to life.

The animal is immediately identical with its life-activity. It does not distinguish itself from it. It is its life-activity. Man makes his life-activity itself the object of his will and of his consciousness. He has conscious life-activity. It is not a determination with which he directly merges. Conscious life-activity directly distinguishes man from animal life-activity. It is just because of this that he is a species being. Or it is only because he is a species being that he is a Conscious Being, i.e., that his own life is an object for him. Only because of that is his activity free activity. Estranged labour reverses this relationship, so that it is just because man is a conscious being that he makes his life-activity, his essential being, a mere means to his existence.

In creating an objective world by his practical activity, in working-up inorganic nature, man proves himself a conscious species being, i.e., as a being that treats the species as its own essential being, or that treats itself as a species being. Admittedly animals also produce. They build themselves nests, dwellings, like the bees, beavers, ants, etc. But an animal only produces what it immediately needs for itself or its young. It produces one-sidedly, whilst man produces universally. It produces only under the dominion of immediate physical need, whilst man produces even when he is free from physical need and only truly produces in freedom therefrom. An animal produces only itself, whilst man reproduces the whole of nature. An animal's product belongs immediately to its physical body, whilst man freely confronts his product. An animal forms things in accordance with the standard and the need of the species to which it belongs, whilst man knows how to produce in accordance with the standard of every species, and knows how to apply everywhere the inherent standard to the object. Man therefore also forms things in accordance with the laws of beauty.

It is just in the working-up of the objective world, therefore, that man first really proves himself to be a species being. This production is his active species life. Through and because of this production, nature appears as his work and his reality. The object of labour is, therefore, the objectification of man's species life: for he duplicates himself not only, as in consciousness, intellectually but also actively, in reality, and therefore he contemplates himself in a world that he has created. In tearing away from man the object of his production, therefore, estranged labour tears from him his species life, his real species objectivity, and transforms his advantage over animals into the disadvantage that his inorganic body, nature, is taken from him.

Similarly, in degrading spontaneous activity, free activity, to a means, estranged labour makes man's species life a means to his physical existence.

The consciousness which man has of his species is thus transformed by estrangement in such a way that the species life becomes for him a means.

Estranged labour turns thus:

(3) Man's species being, both nature and his spiritual species property, into a being alien to him, into a means to his individual existence. It estranges man's own body from him, as it does external nature and his spiritual essence, his human being.

(4) An immediate consequence of the fact that man is estranged from the product of his labour, from his life-activity, from his species being is the estrangement of man from man. If a man is confronted by himself, he is confronted by the other man. What applies to a man's relation to his work, to the product of his labour and to himself, also holds of a man's relation to the other man, and to the other man's labour and object of labour.

In fact, the proposition that man's species nature is estranged from him means that one man is estranged from the other, as each of them is from man's essential nature. [14]



The estrangement of man, and in fact every relationship in which man stands to himself, is first realized and expressed in the relationship in which a man stands to other men.

Hence within the relationship of estranged labour each man views the other in accordance with the standard and the position in which he finds himself as a worker.

We took our departure from a fact of political economy—the estrangement of the worker and his production. We have formulated the concept of this fact—estranged, alienated labour. We have analysed this concept—hence analysing merely a fact of political economy.

Let us now see, further, how in real life the concept of estranged, alienated labour must express and present itself.

If the product of labour is alien to me, if it confronts me as an alien power, to whom, then, does it belong?

If my own activity does not belong to me, if it is an alien, a coerced activity, to whom, then, does it belong?

To a being other than me.

Who is this being?

The gods? To be sure, in the earliest times the principal production (for example, the building of temples, etc., in Egypt, India and Mexico) appears to be in the service of the gods, and the product belongs to the gods. However, the gods on their own were never the lords of labour. No more was nature. And what a contradiction it would be if, the more man subjugated nature by his labour and the more the miracles of the gods were rendered superfluous by the miracles of industry, the more man were to renounce the joy of production and the enjoyment of the produce in favour of these powers.

The alien being, to whom labour and the produce of labour belongs, in whose service labour is done and for whose benefit the produce of labour is provided, can only be man himself.

If the product of labour does not belong to the worker, if it confronts him as an alien power, this can only be because it belongs to some other man than the worker. If the worker's activity is a torment to him, to another it must be delight and his life's joy. Not the gods, not nature, but only man himself can be this alien power over man.

We must bear in mind the above-stated proposition that man's relation to himself only becomes objective and real for him through his relation to the other man. Thus, if the product of his labour, his labour objectified, is for him an alien, hostile, powerful object independent of him, then his position towards it is such that someone else is master of this object, someone who is alien, hostile, powerful, and independent of him. If his own activity is to him an unfree activity, then he is treating it as activity performed in the service, under the dominion, the coercion and the yoke of another man.

Every self-estrangement of man from himself and from nature appears in the relation in which he places himself and nature to men other than and differentiated from himself. For this reason religious self-estrangement necessarily appears in the relationship of the layman to the priest, or again to a mediator, etc., since we are here dealing with the intellectual world. In the real practical world self-estrangement can only become manifest through the real practical relationship to other men. The medium through which estrangement takes place is itself practical. Thus through estranged labour man not only engenders his relationship to the object and to the act of production as to powers that are alien and hostile to him; he also engenders the relationship in which other men stand to his production and to his product, and the relationship in which he stands to these other men. Just as he begets his own production as the loss of his reality, as his punishment; just as he begets his own product as a loss, as a product not belonging to him; so he begets the dominion of the one who does not produce over production and over the product. Just as he estranges from himself his own activity, so he confers to the stranger activity which is not his own.

Till now we have only considered this relationship from the standpoint of the worker and later we shall be considering it also from the standpoint of the non-worker.

Through estranged, alienated labour, then, the worker produces the relationship to this labour of a man alien to labour and standing outside it. The relationship of the worker to labour engenders the relation to it of the capitalist, or whatever one chooses to call the master of labour. Private property is thus the product, the result, the necessary consequence, of alienated labour, of the external relation of the worker to nature and to himself.

Private property thus results by analysis from the concept of alienated labour—i.e., of alienated man, of estranged labour, of estranged life, of estranged man.

## 6.4 Berlin on Freedom

### *About this Text*

This week we have two 20th century philosophers, each of whom offers a different way of analyzing different views of liberty. In “Two Concepts of Liberty,” Isaiah Berlin describes two basic types of arguments about freedom or liberty: positive liberty and negative liberty. In the pdf linked below, read “The Notion of Negative Freedom” (pp. 15-22) and “The One and the Many” (pp. 29-34). See if you can figure out where the views of Rousseau, Mill and Marx fall in these categories. One thing to keep in mind: Berlin is arguing that “positive” liberty is the more dangerous view and that we should stick with “negative” liberty.

EXCERPTS FROM ISAIAH BERLIN, “TWO CONCEPTS OF LIBERTY”

[click here to open pdf in new tab](#)

## 6.5 McCallum on Freedom

### *About this Text*

Writing in response to Berlin in “Negative and Positive Freedom” (click below for the pdf), Gerald McCallum argues that all arguments about freedom—whether Berlin would categorize them as positive or negative—can be summarized using a simple formula: X is free from Y to do/be Z. This is a formal philosophical paper, so don’t worry about understanding every bit of it—the Critical Reader will help you out in understanding McCallum

GERALD MCCALLUM, “NEGATIVE AND POSITIVE FREEDOM”

[click here to open link in new tab](#)

# MODULE 7: DEMOCRACY

## 7.1 Plato on Democracy

### *About this Text*

We'll head back to the *Republic* one last time. This week we have excerpts from Book 8. Having laid out his vision of the ideal city, where philosophers rule and everyone else is born into their place in society, Plato turns near the end of the dialogue to consider the "corrupt" forms of city. Democracy is one of these corrupt forms. In fact, Socrates ranks only tyranny as more corrupt than democracy. Pay attention to just how democracy differs from the ideal city and see if you can figure out why this makes it "corrupt."

EXCERPTS FROM PLATO, *REPUBLIC* (SOURCE)

Translated by Benjamin Jowett

### BOOK 8

And so, Glaucon, we have arrived at the conclusion that in the perfect State wives and children are to be in common; and that all education and the pursuits of war and peace are also to be common, and the best philosophers and the bravest warriors are to be their kings?

That, replied Glaucon, has been acknowledged.

Yes, I said; and we have further acknowledged that the governors, when appointed themselves, will take their soldiers and place them in houses such as we were describing, which are common to all, and contain nothing private, or individual; and about their property, you remember what we agreed?

Yes, I remember that no one was to have any of the ordinary possessions of mankind; they were to be warrior athletes and guardians, receiving from the other citizens, in lieu of annual payment, only their maintenance, and they were to take care of themselves and of the whole State.

True, I said; and now that this division of our task is concluded, let us find the point at which we digressed, that we may return into the old path.

There is no difficulty in returning; you implied, then as now, that you had finished the description of the State: you said that such a State was good, and that the man was good who answered to it, although, as now appears, you had more excellent things to relate both of State and man. And you said further, that if this was the true form, then the others were false; and of the false forms, you said, as I remember, that there were four principal ones, and that their defects, and the defects of the individuals corresponding to them, were worth examining. When we had seen all the individuals, and finally agreed as to who was the best and who was the worst of them, we were to consider whether the best was not also the happiest, and the worst the most miserable.

I asked you what were the four forms of government of which you spoke, and then Polemarchus and Adeimantus put in their word; and you began again, and have found your way to the point at which we have now arrived.

Your recollection, I said, is most exact.

Then, like a wrestler, he replied, you must put yourself again in the same position; and let me ask the same questions, and do you give me the same answer which you were about to give me then.

Yes, if I can, I will, I said.

I shall particularly wish to hear what were the four constitutions of which you were speaking.

That question, I said, is easily answered: the four governments of which I spoke, so far as they have distinct names, are, first, those of Crete and Sparta, which are generally applauded; what is termed oligarchy comes next; this is not equally approved, and is a form of government which teems with evils: thirdly, democracy, which naturally follows oligarchy, although very different: and lastly comes tyranny, great and famous, which differs from them all, and is the fourth and worst disorder of a State. I do not know, do you? of any other constitution which can be said to have a distinct character. There are lordships and principalities which are bought and sold, and some other intermediate forms of government. But these are nondescripts and may be found equally among Hellenes and among barbarians.

Yes, he replied, we certainly hear of many curious forms of government which exist among them.

Do you know, I said, that governments vary as the dispositions of men vary, and that there must be as many of the one as there are of the other? For we cannot suppose that States are made of 'oak and rock,' and not out of the human natures which are in them, and which in a figure turn the scale and draw other things after them?

Yes, he said, the States are as the men are; they grow out of human characters.

Then if the constitutions of States are five, the dispositions of individual minds will also be five? Certainly.

Him who answers to aristocracy, and whom we rightly call just and good, we have already described.

We have.

Then let us now proceed to describe the inferior sort of natures, being the contentious and ambitious, who answer to the Spartan polity; also the oligarchical, democratical, and tyrannical. Let us place the most just by the side of the most unjust, and when we see them we shall be able to compare the relative happiness or unhappiness of him who leads a life of pure justice or pure injustice. The enquiry will then be completed. And we shall know whether we ought to pursue injustice, as Thrasymachus advises, or in accordance with the conclusions of the argument to prefer justice.

Certainly, he replied, we must do as you say.

Shall we follow our old plan, which we adopted with a view to clearness, of taking the State first and then proceeding to the individual, and begin with the government of honour?—I know of no name for such a government other than timocracy, or perhaps timarchy. We will compare with this the like character in the individual; and, after that, consider oligarchy and the oligarchical man; and then again we will turn our attention to democracy and the democratical man; and lastly, we will go and view the city of tyranny, and once more take a look into the tyrant's soul, and try to arrive at a satisfactory decision.

That way of viewing and judging of the matter will be very suitable.

First, then, I said, let us enquire how timocracy (the government of honour) arises out of aristocracy (the government of the best). Clearly, all political changes originate in divisions of the actual governing power; a government which is united, however small, cannot be moved.

Very true, he said.

In what way, then, will our city be moved, and in what manner will the two classes of auxiliaries and rulers disagree among themselves or with one another? Shall we, after the manner of Homer, pray the Muses to tell us 'how discord first arose'? Shall we imagine them in solemn mockery, to play and jest with us as if we were children, and to address us in a lofty tragic vein, making believe to be in earnest?

How would they address us?

After this manner:—A city which is thus constituted can hardly be shaken; but, seeing that everything which has a beginning has also an end, even a constitution such as yours will not last for ever, but will in time be dissolved. And this is the dissolution:—In plants that grow in the earth, as well as in animals that move on the earth's surface, fertility and sterility of soul and body occur when the circumferences of the circles of each are completed, which in short-lived existences pass over a short space, and in long-lived ones over a long space. But to the knowledge of human fecundity and sterility all the wisdom and education of your rulers will not attain; the laws which regulate them will not be discovered by an intelligence which is alloyed with sense, but will escape them, and they will bring children into the world when they ought not. Now that which is of divine birth has a period which is contained in a perfect number (i.e. a cyclical number, such as 6, which is equal to the sum of its divisors 1, 2, 3, so that when the circle or time represented by 6 is completed, the lesser times or rotations represented by 1, 2, 3 are also completed.), but the period of human birth is comprehended in a number in which first increments by involution and evolution (or squared and cubed) obtaining three intervals and four terms of like and unlike, waxing and waning numbers, make all the terms commensurable and agreeable to one another. (Probably the numbers 3, 4, 5, 6 of which the three first = the sides of the Pythagorean triangle. The terms will then be 3 cubed, 4 cubed, 5 cubed, which together = 6 cubed = 216.) The base of these (3) with a third added (4) when combined with five (20) and raised to the third power furnishes two harmonies; the first a square which is a hundred times as great ( $400 = 4 \times 100$ ) (Or the first a square which is  $100 \times 100 = 10,000$ . The whole number will then be  $17,500 =$  a square of 100, and an oblong of 100 by 75.), and the other a figure having one side equal to the former, but oblong, consisting of a hundred numbers squared upon rational diameters of a square (i.e. omitting fractions), the side of which is five ( $7 \times 7 = 49 \times 100 = 4900$ ), each of them being less by one (than the perfect square which includes the fractions, sc. 50) or less by (Or, 'consisting of two numbers squared upon irrational diameters,' etc. = 100. For other explanations of the passage see Introduction.) two perfect squares of irrational diameters (of a square the side of which is five =  $50 + 50 = 100$ ); and a hundred cubes of three ( $27 \times 100 = 2700 + 4900 + 400 = 8000$ ). Now this number represents a geometrical figure which has control over the good and evil of births. For when your guardians are ignorant of the law of births, and unite bride and bridegroom out of season, the children will not be goodly or fortunate. And though only the best of them will be appointed by their predecessors, still they will be unworthy to hold their fathers' places, and when they come into power as guardians, they will soon be found to fail in taking care of us, the Muses, first by under-valuing music; which neglect will soon extend to gymnastic; and hence the young men of your State will be less cultivated. In



the succeeding generation rulers will be appointed who have lost the guardian power of testing the metal of your different races, which, like Hesiod's, are of gold and silver and brass and iron. And so iron will be mingled with silver, and brass with gold, and hence there will arise dissimilarity and inequality and irregularity, which always and in all places are causes of hatred and war. This the Muses affirm to be the stock from which discord has sprung, wherever arising; and this is their answer to us.

Yes, and we may assume that they answer truly.

Why, yes, I said, of course they answer truly; how can the Muses speak falsely?

And what do the Muses say next?

When discord arose, then the two races were drawn different ways: the iron and brass fell to acquiring money and land and houses and gold and silver; but the gold and silver races, not wanting money but having the true riches in their own nature, inclined towards virtue and the ancient order of things. There was a battle between them, and at last they agreed to distribute their land and houses among individual owners; and they enslaved their friends and maintainers, whom they had formerly protected in the condition of freemen, and made of them subjects and servants; and they themselves were engaged in war and in keeping a watch against them.

I believe that you have rightly conceived the origin of the change.

And the new government which thus arises will be of a form intermediate between oligarchy and aristocracy?

Very true.

Such will be the change, and after the change has been made, how will they proceed? Clearly, the new State, being in a mean between oligarchy and the perfect State, will partly follow one and partly the other, and will also have some peculiarities.

True, he said.

In the honour given to rulers, in the abstinence of the warrior class from agriculture, handicrafts, and trade in general, in the institution of common meals, and in the attention paid to gymnastics and military training—in all these respects this State will resemble the former.

True.

But in the fear of admitting philosophers to power, because they are no longer to be had simple and earnest, but are made up of mixed elements; and in turning from them to passionate and less complex characters, who are by nature fitted for war rather than peace; and in the value set by them upon military stratagems and contrivances, and in the waging of everlasting wars—this State will be for the most part peculiar.

Yes.

Yes, I said; and men of this stamp will be covetous of money, like those who live in oligarchies; they will have, a fierce secret longing after gold and silver, which they will hoard in dark places, having magazines and treasuries of their own for the deposit and concealment of them; also castles which are just nests for their eggs, and in which they will spend large sums on their wives, or on any others whom they please.

That is most true, he said.

And they are miserly because they have no means of openly acquiring the money which they prize; they will spend that which is another man's on the gratification of their desires, stealing their pleasures and running away like children from the law, their father: they have been schooled

not by gentle influences but by force, for they have neglected her who is the true Muse, the companion of reason and philosophy, and have honoured gymnastic more than music.

Undoubtedly, he said, the form of government which you describe is a mixture of good and evil.

Why, there is a mixture, I said; but one thing, and one thing only, is predominantly seen,—the spirit of contention and ambition; and these are due to the prevalence of the passionate or spirited element.

Assuredly, he said.

Such is the origin and such the character of this State, which has been described in outline only; the more perfect execution was not required, for a sketch is enough to show the type of the most perfectly just and most perfectly unjust; and to go through all the States and all the characters of men, omitting none of them, would be an interminable labour.

Very true, he replied.

Now what man answers to this form of government—how did he come into being, and what is he like?

I think, said Adeimantus, that in the spirit of contention which characterises him, he is not unlike our friend Glaucon.

Perhaps, I said, he may be like him in that one point; but there are other respects in which he is very different.

In what respects?

He should have more of self-assertion and be less cultivated, and yet a friend of culture; and he should be a good listener, but no speaker. Such a person is apt to be rough with slaves, unlike the educated man, who is too proud for that; and he will also be courteous to freemen, and remarkably obedient to authority; he is a lover of power and a lover of honour; claiming to be a ruler, not because he is eloquent, or on any ground of that sort, but because he is a soldier and has performed feats of arms; he is also a lover of gymnastic exercises and of the chase.

Yes, that is the type of character which answers to timocracy.

Such an one will despise riches only when he is young; but as he gets older he will be more and more attracted to them, because he has a piece of the avaricious nature in him, and is not single-minded towards virtue, having lost his best guardian.

Who was that? said Adeimantus.

Philosophy, I said, tempered with music, who comes and takes up her abode in a man, and is the only saviour of his virtue throughout life.

Good, he said.

Such, I said, is the timocratical youth, and he is like the timocratical State.

Exactly.

His origin is as follows:—He is often the young son of a brave father, who dwells in an ill-governed city, of which he declines the honours and offices, and will not go to law, or exert himself in any way, but is ready to waive his rights in order that he may escape trouble.

And how does the son come into being?

The character of the son begins to develop when he hears his mother complaining that her husband has no place in the government, of which the consequence is that she has no precedence among other women. Further, when she sees her husband not very eager about money, and instead of battling and railing in the law courts or assembly, taking whatever happens to him quietly; and when she observes that his thoughts always centre in himself, while he treats her with

very considerable indifference, she is annoyed, and says to her son that his father is only half a man and far too easy-going: adding all the other complaints about her own ill-treatment which women are so fond of rehearsing.

Yes, said Adeimantus, they give us plenty of them, and their complaints are so like themselves.

And you know, I said, that the old servants also, who are supposed to be attached to the family, from time to time talk privately in the same strain to the son; and if they see any one who owes money to his father, or is wronging him in any way, and he fails to prosecute them, they tell the youth that when he grows up he must retaliate upon people of this sort, and be more of a man than his father. He has only to walk abroad and he hears and sees the same sort of thing: those who do their own business in the city are called simpletons, and held in no esteem, while the busy-bodies are honoured and applauded. The result is that the young man, hearing and seeing all these things—hearing, too, the words of his father, and having a nearer view of his way of life, and making comparisons of him and others—is drawn opposite ways: while his father is watering and nourishing the rational principle in his soul, the others are encouraging the passionate and appetitive; and he being not originally of a bad nature, but having kept bad company, is at last brought by their joint influence to a middle point, and gives up the kingdom which is within him to the middle principle of contentiousness and passion, and becomes arrogant and ambitious.

You seem to me to have described his origin perfectly.

Then we have now, I said, the second form of government and the second type of character?

We have.

Next, let us look at another man who, as Aeschylus says,

‘Is set over against another State;’

or rather, as our plan requires, begin with the State.

By all means.

I believe that oligarchy follows next in order.

And what manner of government do you term oligarchy?

A government resting on a valuation of property, in which the rich have power and the poor man is deprived of it.

I understand, he replied.

Ought I not to begin by describing how the change from timocracy to oligarchy arises?

Yes.

Well, I said, no eyes are required in order to see how the one passes into the other.

How?

The accumulation of gold in the treasury of private individuals is the ruin of timocracy; they invent illegal modes of expenditure; for what do they or their wives care about the law?

Yes, indeed.

And then one, seeing another grow rich, seeks to rival him, and thus the great mass of the citizens become lovers of money.

Likely enough.

And so they grow richer and richer, and the more they think of making a fortune the less they think of virtue; for when riches and virtue are placed together in the scales of the balance, the one always rises as the other falls.

True.

And in proportion as riches and rich men are honoured in the State, virtue and the virtuous are dishonoured.

Clearly.

And what is honoured is cultivated, and that which has no honour is neglected.

That is obvious.

And so at last, instead of loving contention and glory, men become lovers of trade and money; they honour and look up to the rich man, and make a ruler of him, and dishonour the poor man.

They do so.

They next proceed to make a law which fixes a sum of money as the qualification of citizenship; the sum is higher in one place and lower in another, as the oligarchy is more or less exclusive; and they allow no one whose property falls below the amount fixed to have any share in the government. These changes in the constitution they effect by force of arms, if intimidation has not already done their work.

Very true.

And this, speaking generally, is the way in which oligarchy is established.

Yes, he said; but what are the characteristics of this form of government, and what are the defects of which we were speaking?

First of all, I said, consider the nature of the qualification. Just think what would happen if pilots were to be chosen according to their property, and a poor man were refused permission to steer, even though he were a better pilot?

You mean that they would shipwreck?

Yes; and is not this true of the government of anything?

I should imagine so.

Except a city?—or would you include a city?

Nay, he said, the case of a city is the strongest of all, inasmuch as the rule of a city is the greatest and most difficult of all.

This, then, will be the first great defect of oligarchy?

Clearly.

And here is another defect which is quite as bad.

What defect?

The inevitable division: such a State is not one, but two States, the one of poor, the other of rich men; and they are living on the same spot and always conspiring against one another.

That, surely, is at least as bad.

Another discreditable feature is, that, for a like reason, they are incapable of carrying on any war. Either they arm the multitude, and then they are more afraid of them than of the enemy; or, if they do not call them out in the hour of battle, they are oligarchs indeed, few to fight as they are few to rule. And at the same time their fondness for money makes them unwilling to pay taxes.

How discreditable!

And, as we said before, under such a constitution the same persons have too many callings—they are husbandmen, tradesmen, warriors, all in one. Does that look well?

Anything but well.

There is another evil which is, perhaps, the greatest of all, and to which this State first begins to be liable.

What evil?

A man may sell all that he has, and another may acquire his property; yet after the sale he may dwell in the city of which he is no longer a part, being neither trader, nor artisan, nor horseman, nor hoplite, but only a poor, helpless creature.

Yes, that is an evil which also first begins in this State.

The evil is certainly not prevented there; for oligarchies have both the extremes of great wealth and utter poverty.

True.

But think again: In his wealthy days, while he was spending his money, was a man of this sort a whit more good to the State for the purposes of citizenship? Or did he only seem to be a member of the ruling body, although in truth he was neither ruler nor subject, but just a spendthrift?

As you say, he seemed to be a ruler, but was only a spendthrift.

May we not say that this is the drone in the house who is like the drone in the honeycomb, and that the one is the plague of the city as the other is of the hive?

Just so, Socrates.

And God has made the flying drones, Adeimantus, all without stings, whereas of the walking drones he has made some without stings but others have dreadful stings; of the stingless class are those who in their old age end as paupers; of the stingers come all the criminal class, as they are termed.

Most true, he said.

Clearly then, whenever you see paupers in a State, somewhere in that neighborhood there are hidden away thieves, and cut-purses and robbers of temples, and all sorts of malefactors.

Clearly.

Well, I said, and in oligarchical States do you not find paupers?

Yes, he said; nearly everybody is a pauper who is not a ruler.

And may we be so bold as to affirm that there are also many criminals to be found in them, rogues who have stings, and whom the authorities are careful to restrain by force?

Certainly, we may be so bold.

The existence of such persons is to be attributed to want of education, ill-training, and an evil constitution of the State?

True.

Such, then, is the form and such are the evils of oligarchy; and there may be many other evils.

Very likely.

Then oligarchy, or the form of government in which the rulers are elected for their wealth, may now be dismissed. Let us next proceed to consider the nature and origin of the individual who answers to this State.

By all means.

Does not the timocratical man change into the oligarchical on this wise?

How?

A time arrives when the representative of timocracy has a son: at first he begins by emulating his father and walking in his footsteps, but presently he sees him of a sudden foundering against the State as upon a sunken reef, and he and all that he has is lost; he may have been a general or some other high officer who is brought to trial under a prejudice raised by informers, and either put to death, or exiled, or deprived of the privileges of a citizen, and all his property taken from him.

Nothing more likely.

And the son has seen and known all this—he is a ruined man, and his fear has taught him to knock ambition and passion headforemost from his bosom's throne; humbled by poverty he takes to money-making and by mean and miserly savings and hard work gets a fortune together. Is not such an one likely to seat the concupiscent and covetous element on the vacant throne and to suffer it to play the great king within him, girt with tiara and chain and scimitar?

Most true, he replied.

And when he has made reason and spirit sit down on the ground obediently on either side of their sovereign, and taught them to know their place, he compels the one to think only of how lesser sums may be turned into larger ones, and will not allow the other to worship and admire anything but riches and rich men, or to be ambitious of anything so much as the acquisition of wealth and the means of acquiring it.

Of all changes, he said, there is none so speedy or so sure as the conversion of the ambitious youth into the avaricious one.

And the avaricious, I said, is the oligarchical youth?

Yes, he said; at any rate the individual out of whom he came is like the State out of which oligarchy came.

Let us then consider whether there is any likeness between them.

Very good.

First, then, they resemble one another in the value which they set upon wealth?

Certainly.

Also in their penurious, laborious character; the individual only satisfies his necessary appetites, and confines his expenditure to them; his other desires he subdues, under the idea that they are unprofitable.

True.

He is a shabby fellow, who saves something out of everything and makes a purse for himself; and this is the sort of man whom the vulgar applaud. Is he not a true image of the State which he represents?

He appears to me to be so; at any rate money is highly valued by him as well as by the State.

You see that he is not a man of cultivation, I said.

I imagine not, he said; had he been educated he would never have made a blind god director of his chorus, or given him chief honour.

Excellent! I said. Yet consider: Must we not further admit that owing to this want of cultivation there will be found in him dronelike desires as of pauper and rogue, which are forcibly kept down by his general habit of life?

True.

Do you know where you will have to look if you want to discover his rogueries?

Where must I look?

You should see him where he has some great opportunity of acting dishonestly, as in the guardianship of an orphan.

Aye.

It will be clear enough then that in his ordinary dealings which give him a reputation for honesty he coerces his bad passions by an enforced virtue; not making them see that they are wrong, or

taming them by reason, but by necessity and fear constraining them, and because he trembles for his possessions.

To be sure.

Yes, indeed, my dear friend, but you will find that the natural desires of the drone commonly exist in him all the same whenever he has to spend what is not his own.

Yes, and they will be strong in him too.

The man, then, will be at war with himself; he will be two men, and not one; but, in general, his better desires will be found to prevail over his inferior ones.

True.

For these reasons such an one will be more respectable than most people; yet the true virtue of a unanimous and harmonious soul will flee far away and never come near him.

I should expect so.

And surely, the miser individually will be an ignoble competitor in a State for any prize of victory, or other object of honourable ambition; he will not spend his money in the contest for glory; so afraid is he of awakening his expensive appetites and inviting them to help and join in the struggle; in true oligarchical fashion he fights with a small part only of his resources, and the result commonly is that he loses the prize and saves his money.

Very true.

Can we any longer doubt, then, that the miser and money-maker answers to the oligarchical State?

There can be no doubt.

Next comes democracy; of this the origin and nature have still to be considered by us; and then we will enquire into the ways of the democratic man, and bring him up for judgment.

That, he said, is our method.

Well, I said, and how does the change from oligarchy into democracy arise? Is it not on this wise?—The good at which such a State aims is to become as rich as possible, a desire which is insatiable?

What then?

The rulers, being aware that their power rests upon their wealth, refuse to curtail by law the extravagance of the spendthrift youth because they gain by their ruin; they take interest from them and buy up their estates and thus increase their own wealth and importance?

To be sure.

There can be no doubt that the love of wealth and the spirit of moderation cannot exist together in citizens of the same state to any considerable extent; one or the other will be disregarded.

That is tolerably clear.

And in oligarchical States, from the general spread of carelessness and extravagance, men of good family have often been reduced to beggary?

Yes, often.

And still they remain in the city; there they are, ready to sting and fully armed, and some of them owe money, some have forfeited their citizenship; a third class are in both predicaments; and they hate and conspire against those who have got their property, and against everybody else, and are eager for revolution.

That is true.

On the other hand, the men of business, stooping as they walk, and pretending not even to see

those whom they have already ruined, insert their sting—that is, their money—into some one else who is not on his guard against them, and recover the parent sum many times over multiplied into a family of children: and so they make drone and pauper to abound in the State.

Yes, he said, there are plenty of them—that is certain.

The evil blazes up like a fire; and they will not extinguish it, either by restricting a man's use of his own property, or by another remedy:

What other?

One which is the next best, and has the advantage of compelling the citizens to look to their characters:—Let there be a general rule that every one shall enter into voluntary contracts at his own risk, and there will be less of this scandalous money-making, and the evils of which we were speaking will be greatly lessened in the State.

Yes, they will be greatly lessened.

At present the governors, induced by the motives which I have named, treat their subjects badly; while they and their adherents, especially the young men of the governing class, are habituated to lead a life of luxury and idleness both of body and mind; they do nothing, and are incapable of resisting either pleasure or pain.

Very true.

They themselves care only for making money, and are as indifferent as the pauper to the cultivation of virtue.

Yes, quite as indifferent.

Such is the state of affairs which prevails among them. And often rulers and their subjects may come in one another's way, whether on a journey or on some other occasion of meeting, on a pilgrimage or a march, as fellow-soldiers or fellow-sailors; aye and they may observe the behaviour of each other in the very moment of danger—for where danger is, there is no fear that the poor will be despised by the rich—and very likely the wiry sunburnt poor man may be placed in battle at the side of a wealthy one who has never spoilt his complexion and has plenty of superfluous flesh—when he sees such an one puffing and at his wits'-end, how can he avoid drawing the conclusion that men like him are only rich because no one has the courage to despoil them? And when they meet in private will not people be saying to one another 'Our warriors are not good for much'?

Yes, he said, I am quite aware that this is their way of talking.

And, as in a body which is diseased the addition of a touch from without may bring on illness, and sometimes even when there is no external provocation a commotion may arise within—in the same way wherever there is weakness in the State there is also likely to be illness, of which the occasion may be very slight, the one party introducing from without their oligarchical, the other their democratical allies, and then the State falls sick, and is at war with herself; and may be at times distracted, even when there is no external cause.

Yes, surely.

And then democracy comes into being after the poor have conquered their opponents, slaughtering some and banishing some, while to the remainder they give an equal share of freedom and power; and this is the form of government in which the magistrates are commonly elected by lot.

Yes, he said, that is the nature of democracy, whether the revolution has been effected by arms, or whether fear has caused the opposite party to withdraw.



And now what is their manner of life, and what sort of a government have they? for as the government is, such will be the man.

Clearly, he said.

In the first place, are they not free; and is not the city full of freedom and frankness—a man may say and do what he likes?

‘Tis said so, he replied.

And where freedom is, the individual is clearly able to order for himself his own life as he pleases?

Clearly.

Then in this kind of State there will be the greatest variety of human natures?

There will.

This, then, seems likely to be the fairest of States, being like an embroidered robe which is spangled with every sort of flower. And just as women and children think a variety of colours to be of all things most charming, so there are many men to whom this State, which is spangled with the manners and characters of mankind, will appear to be the fairest of States.

Yes.

Yes, my good Sir, and there will be no better in which to look for a government.

Why?

Because of the liberty which reigns there—they have a complete assortment of constitutions; and he who has a mind to establish a State, as we have been doing, must go to a democracy as he would to a bazaar at which they sell them, and pick out the one that suits him; then, when he has made his choice, he may found his State.

He will be sure to have patterns enough.

And there being no necessity, I said, for you to govern in this State, even if you have the capacity, or to be governed, unless you like, or go to war when the rest go to war, or to be at peace when others are at peace, unless you are so disposed—there being no necessity also, because some law forbids you to hold office or be a dicast, that you should not hold office or be a dicast, if you have a fancy—is not this a way of life which for the moment is supremely delightful?

For the moment, yes.

And is not their humanity to the condemned in some cases quite charming? Have you not observed how, in a democracy, many persons, although they have been sentenced to death or exile, just stay where they are and walk about the world—the gentleman parades like a hero, and nobody sees or cares?

Yes, he replied, many and many a one.

See too, I said, the forgiving spirit of democracy, and the ‘don’t care’ about trifles, and the disregard which she shows of all the fine principles which we solemnly laid down at the foundation of the city—as when we said that, except in the case of some rarely gifted nature, there never will be a good man who has not from his childhood been used to play amid things of beauty and make of them a joy and a study—how grandly does she trample all these fine notions of ours under her feet, never giving a thought to the pursuits which make a statesman, and promoting to honour any one who professes to be the people’s friend.

Yes, she is of a noble spirit.

These and other kindred characteristics are proper to democracy, which is a charming form of

government, full of variety and disorder, and dispensing a sort of equality to equals and unequals alike.

We know her well.

Consider now, I said, what manner of man the individual is, or rather consider, as in the case of the State, how he comes into being.

Very good, he said.

Is not this the way—he is the son of the miserly and oligarchical father who has trained him in his own habits?

Exactly.

And, like his father, he keeps under by force the pleasures which are of the spending and not of the getting sort, being those which are called unnecessary?

Obviously.

Would you like, for the sake of clearness, to distinguish which are the necessary and which are the unnecessary pleasures?

I should.

Are not necessary pleasures those of which we cannot get rid, and of which the satisfaction is a benefit to us? And they are rightly called so, because we are framed by nature to desire both what is beneficial and what is necessary, and cannot help it.

True.

We are not wrong therefore in calling them necessary?

We are not.

And the desires of which a man may get rid, if he takes pains from his youth upwards—of which the presence, moreover, does no good, and in some cases the reverse of good—shall we not be right in saying that all these are unnecessary?

Yes, certainly.

Suppose we select an example of either kind, in order that we may have a general notion of them?

Very good.

Will not the desire of eating, that is, of simple food and condiments, in so far as they are required for health and strength, be of the necessary class?

That is what I should suppose.

The pleasure of eating is necessary in two ways; it does us good and it is essential to the continuance of life?

Yes.

But the condiments are only necessary in so far as they are good for health?

Certainly.

And the desire which goes beyond this, of more delicate food, or other luxuries, which might generally be got rid of, if controlled and trained in youth, and is hurtful to the body, and hurtful to the soul in the pursuit of wisdom and virtue, may be rightly called unnecessary?

Very true.

May we not say that these desires spend, and that the others make money because they conduce to production?

Certainly.

And of the pleasures of love, and all other pleasures, the same holds good?

True.

And the drone of whom we spoke was he who was surfeited in pleasures and desires of this sort, and was the slave of the unnecessary desires, whereas he who was subject to the necessary only was miserly and oligarchical?

Very true.

Again, let us see how the democratical man grows out of the oligarchical: the following, as I suspect, is commonly the process.

What is the process?

When a young man who has been brought up as we were just now describing, in a vulgar and miserly way, has tasted drones' honey and has come to associate with fierce and crafty natures who are able to provide for him all sorts of refinements and varieties of pleasure—then, as you may imagine, the change will begin of the oligarchical principle within him into the democratical?

Inevitably.

And as in the city like was helping like, and the change was effected by an alliance from without assisting one division of the citizens, so too the young man is changed by a class of desires coming from without to assist the desires within him, that which is akin and alike again helping that which is akin and alike?

Certainly.

And if there be any ally which aids the oligarchical principle within him, whether the influence of a father or of kindred, advising or rebuking him, then there arises in his soul a faction and an opposite faction, and he goes to war with himself.

It must be so.

And there are times when the democratical principle gives way to the oligarchical, and some of his desires die, and others are banished; a spirit of reverence enters into the young man's soul and order is restored.

Yes, he said, that sometimes happens.

And then, again, after the old desires have been driven out, fresh ones spring up, which are akin to them, and because he their father does not know how to educate them, wax fierce and numerous.

Yes, he said, that is apt to be the way.

They draw him to his old associates, and holding secret intercourse with them, breed and multiply in him.

Very true.

At length they seize upon the citadel of the young man's soul, which they perceive to be void of all accomplishments and fair pursuits and true words, which make their abode in the minds of men who are dear to the gods, and are their best guardians and sentinels.

None better.

False and boastful conceits and phrases mount upwards and take their place.

They are certain to do so.

And so the young man returns into the country of the lotus-eaters, and takes up his dwelling there in the face of all men; and if any help be sent by his friends to the oligarchical part of him, the aforesaid vain conceits shut the gate of the king's fastness; and they will neither allow the embassy itself to enter, nor if private advisers offer the fatherly counsel of the aged will they listen to them or receive them. There is a battle and they gain the day, and then modesty, which they call silliness,

is ignominiously thrust into exile by them, and temperance, which they nickname unmanliness, is trampled in the mire and cast forth; they persuade men that moderation and orderly expenditure are vulgarity and meanness, and so, by the help of a rabble of evil appetites, they drive them beyond the border.

Yes, with a will.

And when they have emptied and swept clean the soul of him who is now in their power and who is being initiated by them in great mysteries, the next thing is to bring back to their house insolence and anarchy and waste and impudence in bright array having garlands on their heads, and a great company with them, hymning their praises and calling them by sweet names; insolence they term breeding, and anarchy liberty, and waste magnificence, and impudence courage. And so the young man passes out of his original nature, which was trained in the school of necessity, into the freedom and libertinism of useless and unnecessary pleasures.

Yes, he said, the change in him is visible enough.

After this he lives on, spending his money and labour and time on unnecessary pleasures quite as much as on necessary ones; but if he be fortunate, and is not too much disordered in his wits, when years have elapsed, and the heyday of passion is over—supposing that he then re-admits into the city some part of the exiled virtues, and does not wholly give himself up to their successors—in that case he balances his pleasures and lives in a sort of equilibrium, putting the government of himself into the hands of the one which comes first and wins the turn; and when he has had enough of that, then into the hands of another; he despises none of them but encourages them all equally.

Very true, he said.

Neither does he receive or let pass into the fortress any true word of advice; if any one says to him that some pleasures are the satisfactions of good and noble desires, and others of evil desires, and that he ought to use and honour some and chastise and master the others—whenever this is repeated to him he shakes his head and says that they are all alike, and that one is as good as another.

Yes, he said; that is the way with him.

Yes, I said, he lives from day to day indulging the appetite of the hour; and sometimes he is lapped in drink and strains of the flute; then he becomes a water-drinker, and tries to get thin; then he takes a turn at gymnastics; sometimes idling and neglecting everything, then once more living the life of a philosopher; often he is busy with politics, and starts to his feet and says and does whatever comes into his head; and, if he is emulous of any one who is a warrior, off he is in that direction, or of men of business, once more in that. His life has neither law nor order; and this distracted existence he terms joy and bliss and freedom; and so he goes on.

Yes, he replied, he is all liberty and equality.

Yes, I said; his life is motley and manifold and an epitome of the lives of many;—he answers to the State which we described as fair and spangled. And many a man and many a woman will take him for their pattern, and many a constitution and many an example of manners is contained in him.

Just so.

Let him then be set over against democracy; he may truly be called the democratic man.

Let that be his place, he said.

Last of all comes the most beautiful of all, man and State alike, tyranny and the tyrant; these we have now to consider.

Quite true, he said.

Say then, my friend, In what manner does tyranny arise?—that it has a democratic origin is evident.

Clearly.

And does not tyranny spring from democracy in the same manner as democracy from oligarchy—I mean, after a sort?

How?

The good which oligarchy proposed to itself and the means by which it was maintained was excess of wealth—am I not right?

Yes.

And the insatiable desire of wealth and the neglect of all other things for the sake of money-getting was also the ruin of oligarchy?

True.

And democracy has her own good, of which the insatiable desire brings her to dissolution?

What good?

Freedom, I replied; which, as they tell you in a democracy, is the glory of the State—and that therefore in a democracy alone will the freeman of nature deign to dwell.

Yes; the saying is in every body's mouth.

I was going to observe, that the insatiable desire of this and the neglect of other things introduces the change in democracy, which occasions a demand for tyranny.

How so?

When a democracy which is thirsting for freedom has evil cup-bearers presiding over the feast, and has drunk too deeply of the strong wine of freedom, then, unless her rulers are very amenable and give a plentiful draught, she calls them to account and punishes them, and says that they are cursed oligarchs.

Yes, he replied, a very common occurrence.

Yes, I said; and loyal citizens are insultingly termed by her slaves who hug their chains and men of naught; she would have subjects who are like rulers, and rulers who are like subjects: these are men after her own heart, whom she praises and honours both in private and public. Now, in such a State, can liberty have any limit?

Certainly not.

By degrees the anarchy finds a way into private houses, and ends by getting among the animals and infecting them.

How do you mean?

I mean that the father grows accustomed to descend to the level of his sons and to fear them, and the son is on a level with his father, he having no respect or reverence for either of his parents; and this is his freedom, and the metic is equal with the citizen and the citizen with the metic, and the stranger is quite as good as either.

Yes, he said, that is the way.

And these are not the only evils, I said—there are several lesser ones: In such a state of society the master fears and flatters his scholars, and the scholars despise their masters and tutors; young and old are all alike; and the young man is on a level with the old, and is ready to compete with

him in word or deed; and old men condescend to the young and are full of pleasantry and gaiety; they are loth to be thought morose and authoritative, and therefore they adopt the manners of the young.

Quite true, he said.

The last extreme of popular liberty is when the slave bought with money, whether male or female, is just as free as his or her purchaser; nor must I forget to tell of the liberty and equality of the two sexes in relation to each other.

Why not, as Aeschylus says, utter the word which rises to our lips?

That is what I am doing, I replied; and I must add that no one who does not know would believe, how much greater is the liberty which the animals who are under the dominion of man have in a democracy than in any other State: for truly, the she-dogs, as the proverb says, are as good as their she-mistresses, and the horses and asses have a way of marching along with all the rights and dignities of freemen; and they will run at any body who comes in their way if he does not leave the road clear for them: and all things are just ready to burst with liberty.

When I take a country walk, he said, I often experience what you describe. You and I have dreamed the same thing.

And above all, I said, and as the result of all, see how sensitive the citizens become; they chafe impatiently at the least touch of authority, and at length, as you know, they cease to care even for the laws, written or unwritten; they will have no one over them.

Yes, he said, I know it too well.

Such, my friend, I said, is the fair and glorious beginning out of which springs tyranny.

Glorious indeed, he said. But what is the next step?

The ruin of oligarchy is the ruin of democracy; the same disease magnified and intensified by liberty overmasters democracy—the truth being that the excessive increase of anything often causes a reaction in the opposite direction; and this is the case not only in the seasons and in vegetable and animal life, but above all in forms of government.

True.

The excess of liberty, whether in States or individuals, seems only to pass into excess of slavery.

Yes, the natural order.

And so tyranny naturally arises out of democracy, and the most aggravated form of tyranny and slavery out of the most extreme form of liberty?

As we might expect.

That, however, was not, as I believe, your question—you rather desired to know what is that disorder which is generated alike in oligarchy and democracy, and is the ruin of both?

Just so, he replied.

Well, I said, I meant to refer to the class of idle spendthrifts, of whom the more courageous are the leaders and the more timid the followers, the same whom we were comparing to drones, some stingless, and others having stings.

A very just comparison.

These two classes are the plagues of every city in which they are generated, being what phlegm and bile are to the body. And the good physician and lawgiver of the State ought, like the wise bee-master, to keep them at a distance and prevent, if possible, their ever coming in; and if they have anyhow found a way in, then he should have them and their cells cut out as speedily as possible.

Yes, by all means, he said.

Then, in order that we may see clearly what we are doing, let us imagine democracy to be divided, as indeed it is, into three classes; for in the first place freedom creates rather more drones in the democratic than there were in the oligarchical State.

That is true.

And in the democracy they are certainly more intensified.

How so?

Because in the oligarchical State they are disqualified and driven from office, and therefore they cannot train or gather strength; whereas in a democracy they are almost the entire ruling power, and while the keener sort speak and act, the rest keep buzzing about the bema and do not suffer a word to be said on the other side; hence in democracies almost everything is managed by the drones.

Very true, he said.

Then there is another class which is always being severed from the mass.

What is that?

They are the orderly class, which in a nation of traders is sure to be the richest.

Naturally so.

They are the most squeezable persons and yield the largest amount of honey to the drones.

Why, he said, there is little to be squeezed out of people who have little.

And this is called the wealthy class, and the drones feed upon them.

That is pretty much the case, he said.

The people are a third class, consisting of those who work with their own hands; they are not politicians, and have not much to live upon. This, when assembled, is the largest and most powerful class in a democracy.

True, he said; but then the multitude is seldom willing to congregate unless they get a little honey.

And do they not share? I said. Do not their leaders deprive the rich of their estates and distribute them among the people; at the same time taking care to reserve the larger part for themselves?

Why, yes, he said, to that extent the people do share.

And the persons whose property is taken from them are compelled to defend themselves before the people as they best can?

What else can they do?

And then, although they may have no desire of change, the others charge them with plotting against the people and being friends of oligarchy?

True.

And the end is that when they see the people, not of their own accord, but through ignorance, and because they are deceived by informers, seeking to do them wrong, then at last they are forced to become oligarchs in reality; they do not wish to be, but the sting of the drones torments them and breeds revolution in them.

That is exactly the truth.

Then come impeachments and judgments and trials of one another.

True.

The people have always some champion whom they set over them and nurse into greatness.

Yes, that is their way.

This and no other is the root from which a tyrant springs; when he first appears above ground he is a protector.

Yes, that is quite clear.

How then does a protector begin to change into a tyrant? Clearly when he does what the man is said to do in the tale of the Arcadian temple of Lycaean Zeus.

What tale?

The tale is that he who has tasted the entrails of a single human victim minced up with the entrails of other victims is destined to become a wolf. Did you never hear it?

Oh, yes.

And the protector of the people is like him; having a mob entirely at his disposal, he is not restrained from shedding the blood of kinsmen; by the favourite method of false accusation he brings them into court and murders them, making the life of man to disappear, and with unholy tongue and lips tasting the blood of his fellow citizens; some he kills and others he banishes, at the same time hinting at the abolition of debts and partition of lands: and after this, what will be his destiny? Must he not either perish at the hands of his enemies, or from being a man become a wolf—that is, a tyrant?

Inevitably.

This, I said, is he who begins to make a party against the rich?

The same.

After a while he is driven out, but comes back, in spite of his enemies, a tyrant full grown.

That is clear.

And if they are unable to expel him, or to get him condemned to death by a public accusation, they conspire to assassinate him.

Yes, he said, that is their usual way.

Then comes the famous request for a body-guard, which is the device of all those who have got thus far in their tyrannical career—'Let not the people's friend,' as they say, 'be lost to them.'

Exactly.

The people readily assent; all their fears are for him—they have none for themselves.

Very true.

And when a man who is wealthy and is also accused of being an enemy of the people sees this, then, my friend, as the oracle said to Croesus,

'By pebbly Hermus' shore he flees and rests not, and is not ashamed to be a coward.'

And quite right too, said he, for if he were, he would never be ashamed again.

But if he is caught he dies.

Of course.

And he, the protector of whom we spoke, is to be seen, not 'larding the plain' with his bulk, but himself the overthrower of many, standing up in the chariot of State with the reins in his hand, no longer protector, but tyrant absolute.

No doubt, he said.

And now let us consider the happiness of the man, and also of the State in which a creature like him is generated.

Yes, he said, let us consider that.

At first, in the early days of his power, he is full of smiles, and he salutes every one whom he meets;—he to be called a tyrant, who is making promises in public and also in private! liberating



debtors, and distributing land to the people and his followers, and wanting to be so kind and good to every one!

Of course, he said.

But when he has disposed of foreign enemies by conquest or treaty, and there is nothing to fear from them, then he is always stirring up some war or other, in order that the people may require a leader.

To be sure.

Has he not also another object, which is that they may be impoverished by payment of taxes, and thus compelled to devote themselves to their daily wants and therefore less likely to conspire against him?

Clearly.

And if any of them are suspected by him of having notions of freedom, and of resistance to his authority, he will have a good pretext for destroying them by placing them at the mercy of the enemy; and for all these reasons the tyrant must be always getting up a war.

He must.

Now he begins to grow unpopular.

A necessary result.

Then some of those who joined in setting him up, and who are in power, speak their minds to him and to one another, and the more courageous of them cast in his teeth what is being done.

Yes, that may be expected.

And the tyrant, if he means to rule, must get rid of them; he cannot stop while he has a friend or an enemy who is good for anything.

He cannot.

And therefore he must look about him and see who is valiant, who is high-minded, who is wise, who is wealthy; happy man, he is the enemy of them all, and must seek occasion against them whether he will or no, until he has made a purgation of the State.

Yes, he said, and a rare purgation.

Yes, I said, not the sort of purgation which the physicians make of the body; for they take away the worse and leave the better part, but he does the reverse.

If he is to rule, I suppose that he cannot help himself.

What a blessed alternative, I said:—to be compelled to dwell only with the many bad, and to be by them hated, or not to live at all!

Yes, that is the alternative.

And the more detestable his actions are to the citizens the more satellites and the greater devotion in them will he require?

Certainly.

And who are the devoted band, and where will he procure them?

They will flock to him, he said, of their own accord, if he pays them.

By the dog! I said, here are more drones, of every sort and from every land.

Yes, he said, there are.

But will he not desire to get them on the spot?

How do you mean?

He will rob the citizens of their slaves; he will then set them free and enrol them in his body-guard.

To be sure, he said; and he will be able to trust them best of all.

What a blessed creature, I said, must this tyrant be; he has put to death the others and has these for his trusted friends.

Yes, he said; they are quite of his sort.

Yes, I said, and these are the new citizens whom he has called into existence, who admire him and are his companions, while the good hate and avoid him.

Of course.

Verily, then, tragedy is a wise thing and Euripides a great tragedian.

Why so?

Why, because he is the author of the pregnant saying,

‘Tyrants are wise by living with the wise;’

and he clearly meant to say that they are the wise whom the tyrant makes his companions.

Yes, he said, and he also praises tyranny as godlike; and many other things of the same kind are said by him and by the other poets.

And therefore, I said, the tragic poets being wise men will forgive us and any others who live after our manner if we do not receive them into our State, because they are the eulogists of tyranny.

Yes, he said, those who have the wit will doubtless forgive us.

But they will continue to go to other cities and attract mobs, and hire voices fair and loud and persuasive, and draw the cities over to tyrannies and democracies.

Very true.

Moreover, they are paid for this and receive honour—the greatest honour, as might be expected, from tyrants, and the next greatest from democracies; but the higher they ascend our constitution hill, the more their reputation fails, and seems unable from shortness of breath to proceed further.

True.

But we are wandering from the subject: Let us therefore return and enquire how the tyrant will maintain that fair and numerous and various and ever-changing army of his.

If, he said, there are sacred treasures in the city, he will confiscate and spend them; and in so far as the fortunes of attainted persons may suffice, he will be able to diminish the taxes which he would otherwise have to impose upon the people.

And when these fail?

Why, clearly, he said, then he and his boon companions, whether male or female, will be maintained out of his father’s estate.

You mean to say that the people, from whom he has derived his being, will maintain him and his companions?

Yes, he said; they cannot help themselves.

But what if the people fly into a passion, and aver that a grown-up son ought not to be supported by his father, but that the father should be supported by the son? The father did not bring him into being, or settle him in life, in order that when his son became a man he should himself be the servant of his own servants and should support him and his rabble of slaves and companions; but that his son should protect him, and that by his help he might be emancipated from the government of the rich and aristocratic, as they are termed. And so he bids him and his companions depart, just as any other father might drive out of the house a riotous son and his undesirable associates.

By heaven, he said, then the parent will discover what a monster he has been fostering in his bosom; and, when he wants to drive him out, he will find that he is weak and his son strong.

Why, you do not mean to say that the tyrant will use violence? What! beat his father if he opposes him?

Yes, he will, having first disarmed him.

Then he is a parricide, and a cruel guardian of an aged parent; and this is real tyranny, about which there can be no longer a mistake: as the saying is, the people who would escape the smoke which is the slavery of freemen, has fallen into the fire which is the tyranny of slaves. Thus liberty, getting out of all order and reason, passes into the harshest and bitterest form of slavery.

True, he said.

Very well; and may we not rightly say that we have sufficiently discussed the nature of tyranny, and the manner of the transition from democracy to tyranny?

## 7.2 Madison on Democracy

### *About this Text*

Next we turn to two *Federalist Papers* written by James Madison. Notice Madison's rejection of democracy in *Federalist* 10. He argues that a republic, not a democracy, offers a better remedy for the vice of "faction."

In *Federalist* 51, Madison explains the complex system of separation of powers and checks and balances created by the constitution. Pay particular attention to his argument that "ambition must be made to counteract ambition."

JAMES MADISON, FEDERALIST 10 AND 51 (SOURCE)

### The Federalist Papers : No. 10

*The Same Subject Continued*

*The Union as a Safeguard Against Domestic Faction and Insurrection*

*From the New York Packet. Friday, November 23, 1787.*

To the People of the State of New York:

AMONG the numerous advantages promised by a wellconstructed Union, none deserves to be more accurately developed than its tendency to break and control the violence of faction. The friend of popular governments never finds himself so much alarmed for their character and fate, as when he contemplates their propensity to this dangerous vice. He will not fail, therefore, to set a due value on any plan which, without violating the principles to which he is attached, provides a proper cure for it. The instability, injustice, and confusion introduced into the public councils, have, in truth, been the mortal diseases under which popular governments have everywhere perished; as they continue to be the favorite and fruitful topics from which the adversaries to liberty derive their most specious declamations. The valuable improvements made by the American constitutions on the popular models, both ancient and modern, cannot certainly be too much admired; but it would be an unwarrantable partiality, to contend that they have as effectually obviated the danger on this side, as was wished and expected. Complaints are everywhere heard from our most considerate and virtuous citizens, equally the friends of public and private faith, and of public and personal liberty, that our governments are too unstable, that the public good is disregarded in the conflicts of rival parties, and that measures are too often decided, not according to the rules of justice and the rights of the minor party, but by the superior force of an

interested and overbearing majority. However anxiously we may wish that these complaints had no foundation, the evidence, of known facts will not permit us to deny that they are in some degree true. It will be found, indeed, on a candid review of our situation, that some of the distresses under which we labor have been erroneously charged on the operation of our governments; but it will be found, at the same time, that other causes will not alone account for many of our heaviest misfortunes; and, particularly, for that prevailing and increasing distrust of public engagements, and alarm for private rights, which are echoed from one end of the continent to the other. These must be chiefly, if not wholly, effects of the unsteadiness and injustice with which a factious spirit has tainted our public administrations.

By a faction, I understand a number of citizens, whether amounting to a majority or a minority of the whole, who are united and actuated by some common impulse of passion, or of interest, adverse to the rights of other citizens, or to the permanent and aggregate interests of the community.

There are two methods of curing the mischiefs of faction: the one, by removing its causes; the other, by controlling its effects.

There are again two methods of removing the causes of faction: the one, by destroying the liberty which is essential to its existence; the other, by giving to every citizen the same opinions, the same passions, and the same interests.

It could never be more truly said than of the first remedy, that it was worse than the disease. Liberty is to faction what air is to fire, an aliment without which it instantly expires. But it could not be less folly to abolish liberty, which is essential to political life, because it nourishes faction, than it would be to wish the annihilation of air, which is essential to animal life, because it imparts to fire its destructive agency.

The second expedient is as impracticable as the first would be unwise. As long as the reason of man continues fallible, and he is at liberty to exercise it, different opinions will be formed. As long as the connection subsists between his reason and his self-love, his opinions and his passions will have a reciprocal influence on each other; and the former will be objects to which the latter will attach themselves. The diversity in the faculties of men, from which the rights of property originate, is not less an insuperable obstacle to a uniformity of interests. The protection of these faculties is the first object of government. From the protection of different and unequal faculties of acquiring property, the possession of different degrees and kinds of property immediately results; and from the influence of these on the sentiments and views of the respective proprietors, ensues a division of the society into different interests and parties.

The latent causes of faction are thus sown in the nature of man; and we see them everywhere brought into different degrees of activity, according to the different circumstances of civil society. A zeal for different opinions concerning religion, concerning government, and many other points, as well of speculation as of practice; an attachment to different leaders ambitiously contending for pre-eminence and power; or to persons of other descriptions whose fortunes have been interesting to the human passions, have, in turn, divided mankind into parties, inflamed them with mutual animosity, and rendered them much more disposed to vex and oppress each other than to co-operate for their common good. So strong is this propensity of mankind to fall into mutual animosities, that where no substantial occasion presents itself, the most frivolous and fanciful distinctions have been sufficient to kindle their unfriendly passions and excite their most violent conflicts. But the most common and durable source of factions has been the various and unequal

distribution of property. Those who hold and those who are without property have ever formed distinct interests in society. Those who are creditors, and those who are debtors, fall under a like discrimination. A landed interest, a manufacturing interest, a mercantile interest, a moneyed interest, with many lesser interests, grow up of necessity in civilized nations, and divide them into different classes, actuated by different sentiments and views. The regulation of these various and interfering interests forms the principal task of modern legislation, and involves the spirit of party and faction in the necessary and ordinary operations of the government.

No man is allowed to be a judge in his own cause, because his interest would certainly bias his judgment, and, not improbably, corrupt his integrity. With equal, nay with greater reason, a body of men are unfit to be both judges and parties at the same time; yet what are many of the most important acts of legislation, but so many judicial determinations, not indeed concerning the rights of single persons, but concerning the rights of large bodies of citizens? And what are the different classes of legislators but advocates and parties to the causes which they determine? Is a law proposed concerning private debts? It is a question to which the creditors are parties on one side and the debtors on the other. Justice ought to hold the balance between them. Yet the parties are, and must be, themselves the judges; and the most numerous party, or, in other words, the most powerful faction must be expected to prevail. Shall domestic manufactures be encouraged, and in what degree, by restrictions on foreign manufactures? are questions which would be differently decided by the landed and the manufacturing classes, and probably by neither with a sole regard to justice and the public good. The apportionment of taxes on the various descriptions of property is an act which seems to require the most exact impartiality; yet there is, perhaps, no legislative act in which greater opportunity and temptation are given to a predominant party to trample on the rules of justice. Every shilling with which they overburden the inferior number, is a shilling saved to their own pockets.

It is in vain to say that enlightened statesmen will be able to adjust these clashing interests, and render them all subservient to the public good. Enlightened statesmen will not always be at the helm. Nor, in many cases, can such an adjustment be made at all without taking into view indirect and remote considerations, which will rarely prevail over the immediate interest which one party may find in disregarding the rights of another or the good of the whole.

The inference to which we are brought is, that the **CAUSES** of faction cannot be removed, and that relief is only to be sought in the means of controlling its **EFFECTS**.

If a faction consists of less than a majority, relief is supplied by the republican principle, which enables the majority to defeat its sinister views by regular vote. It may clog the administration, it may convulse the society; but it will be unable to execute and mask its violence under the forms of the Constitution. When a majority is included in a faction, the form of popular government, on the other hand, enables it to sacrifice to its ruling passion or interest both the public good and the rights of other citizens. To secure the public good and private rights against the danger of such a faction, and at the same time to preserve the spirit and the form of popular government, is then the great object to which our inquiries are directed. Let me add that it is the great desideratum by which this form of government can be rescued from the opprobrium under which it has so long labored, and be recommended to the esteem and adoption of mankind.

By what means is this object attainable? Evidently by one of two only. Either the existence of the same passion or interest in a majority at the same time must be prevented, or the majority, having such coexistent passion or interest, must be rendered, by their number and local situation,

unable to concert and carry into effect schemes of oppression. If the impulse and the opportunity be suffered to coincide, we well know that neither moral nor religious motives can be relied on as an adequate control. They are not found to be such on the injustice and violence of individuals, and lose their efficacy in proportion to the number combined together, that is, in proportion as their efficacy becomes needful.

From this view of the subject it may be concluded that a pure democracy, by which I mean a society consisting of a small number of citizens, who assemble and administer the government in person, can admit of no cure for the mischiefs of faction. A common passion or interest will, in almost every case, be felt by a majority of the whole; a communication and concert result from the form of government itself; and there is nothing to check the inducements to sacrifice the weaker party or an obnoxious individual. Hence it is that such democracies have ever been spectacles of turbulence and contention; have ever been found incompatible with personal security or the rights of property; and have in general been as short in their lives as they have been violent in their deaths. Theoretic politicians, who have patronized this species of government, have erroneously supposed that by reducing mankind to a perfect equality in their political rights, they would, at the same time, be perfectly equalized and assimilated in their possessions, their opinions, and their passions.

A republic, by which I mean a government in which the scheme of representation takes place, opens a different prospect, and promises the cure for which we are seeking. Let us examine the points in which it varies from pure democracy, and we shall comprehend both the nature of the cure and the efficacy which it must derive from the Union.

The two great points of difference between a democracy and a republic are: first, the delegation of the government, in the latter, to a small number of citizens elected by the rest; secondly, the greater number of citizens, and greater sphere of country, over which the latter may be extended.

The effect of the first difference is, on the one hand, to refine and enlarge the public views, by passing them through the medium of a chosen body of citizens, whose wisdom may best discern the true interest of their country, and whose patriotism and love of justice will be least likely to sacrifice it to temporary or partial considerations. Under such a regulation, it may well happen that the public voice, pronounced by the representatives of the people, will be more consonant to the public good than if pronounced by the people themselves, convened for the purpose. On the other hand, the effect may be inverted. Men of factious tempers, of local prejudices, or of sinister designs, may, by intrigue, by corruption, or by other means, first obtain the suffrages, and then betray the interests, of the people. The question resulting is, whether small or extensive republics are more favorable to the election of proper guardians of the public weal; and it is clearly decided in favor of the latter by two obvious considerations:

In the first place, it is to be remarked that, however small the republic may be, the representatives must be raised to a certain number, in order to guard against the cabals of a few; and that, however large it may be, they must be limited to a certain number, in order to guard against the confusion of a multitude. Hence, the number of representatives in the two cases not being in proportion to that of the two constituents, and being proportionally greater in the small republic, it follows that, if the proportion of fit characters be not less in the large than in the small republic, the former will present a greater option, and consequently a greater probability of a fit choice.

In the next place, as each representative will be chosen by a greater number of citizens in the

large than in the small republic, it will be more difficult for unworthy candidates to practice with success the vicious arts by which elections are too often carried; and the suffrages of the people being more free, will be more likely to centre in men who possess the most attractive merit and the most diffusive and established characters.

It must be confessed that in this, as in most other cases, there is a mean, on both sides of which inconveniences will be found to lie. By enlarging too much the number of electors, you render the representatives too little acquainted with all their local circumstances and lesser interests; as by reducing it too much, you render him unduly attached to these, and too little fit to comprehend and pursue great and national objects. The federal Constitution forms a happy combination in this respect; the great and aggregate interests being referred to the national, the local and particular to the State legislatures.

The other point of difference is, the greater number of citizens and extent of territory which may be brought within the compass of republican than of democratic government; and it is this circumstance principally which renders factious combinations less to be dreaded in the former than in the latter. The smaller the society, the fewer probably will be the distinct parties and interests composing it; the fewer the distinct parties and interests, the more frequently will a majority be found of the same party; and the smaller the number of individuals composing a majority, and the smaller the compass within which they are placed, the more easily will they concert and execute their plans of oppression. Extend the sphere, and you take in a greater variety of parties and interests; you make it less probable that a majority of the whole will have a common motive to invade the rights of other citizens; or if such a common motive exists, it will be more difficult for all who feel it to discover their own strength, and to act in unison with each other. Besides other impediments, it may be remarked that, where there is a consciousness of unjust or dishonorable purposes, communication is always checked by distrust in proportion to the number whose concurrence is necessary.

Hence, it clearly appears, that the same advantage which a republic has over a democracy, in controlling the effects of faction, is enjoyed by a large over a small republic,—is enjoyed by the Union over the States composing it. Does the advantage consist in the substitution of representatives whose enlightened views and virtuous sentiments render them superior to local prejudices and schemes of injustice? It will not be denied that the representation of the Union will be most likely to possess these requisite endowments. Does it consist in the greater security afforded by a greater variety of parties, against the event of any one party being able to outnumber and oppress the rest? In an equal degree does the increased variety of parties comprised within the Union, increase this security. Does it, in fine, consist in the greater obstacles opposed to the concert and accomplishment of the secret wishes of an unjust and interested majority? Here, again, the extent of the Union gives it the most palpable advantage.

The influence of factious leaders may kindle a flame within their particular States, but will be unable to spread a general conflagration through the other States. A religious sect may degenerate into a political faction in a part of the Confederacy; but the variety of sects dispersed over the entire face of it must secure the national councils against any danger from that source. A rage for paper money, for an abolition of debts, for an equal division of property, or for any other improper or wicked project, will be less apt to pervade the whole body of the Union than a particular member of it; in the same proportion as such a malady is more likely to taint a particular county or district, than an entire State.



In the extent and proper structure of the Union, therefore, we behold a republican remedy for the diseases most incident to republican government. And according to the degree of pleasure and pride we feel in being republicans, ought to be our zeal in cherishing the spirit and supporting the character of Federalists.

PUBLIUS.

The Federalist Papers : No. 51

*The Structure of the Government Must Furnish the Proper Checks and Balances Between the Different Departments*

*From the New York Packet. Friday, February 8, 1788.*

To the People of the State of New York:

TO WHAT expedient, then, shall we finally resort, for maintaining in practice the necessary partition of power among the several departments, as laid down in the Constitution? The only answer that can be given is, that as all these exterior provisions are found to be inadequate, the defect must be supplied, by so contriving the interior structure of the government as that its several constituent parts may, by their mutual relations, be the means of keeping each other in their proper places. Without presuming to undertake a full development of this important idea, I will hazard a few general observations, which may perhaps place it in a clearer light, and enable us to form a more correct judgment of the principles and structure of the government planned by the convention.

In order to lay a due foundation for that separate and distinct exercise of the different powers of government, which to a certain extent is admitted on all hands to be essential to the preservation of liberty, it is evident that each department should have a will of its own; and consequently should be so constituted that the members of each should have as little agency as possible in the appointment of the members of the others. Were this principle rigorously adhered to, it would require that all the appointments for the supreme executive, legislative, and judiciary magistracies should be drawn from the same fountain of authority, the people, through channels having no communication whatever with one another. Perhaps such a plan of constructing the several departments would be less difficult in practice than it may in contemplation appear. Some difficulties, however, and some additional expense would attend the execution of it. Some deviations, therefore, from the principle must be admitted. In the constitution of the judiciary department in particular, it might be inexpedient to insist rigorously on the principle: first, because peculiar qualifications being essential in the members, the primary consideration ought to be to select that mode of choice which best secures these qualifications; secondly, because the permanent tenure by which the appointments are held in that department, must soon destroy all sense of dependence on the authority conferring them.

It is equally evident, that the members of each department should be as little dependent as possible on those of the others, for the emoluments annexed to their offices. Were the executive magistrate, or the judges, not independent of the legislature in this particular, their independence

in every other would be merely nominal. But the great security against a gradual concentration of the several powers in the same department, consists in giving to those who administer each department the necessary constitutional means and personal motives to resist encroachments of the others. The provision for defense must in this, as in all other cases, be made commensurate to the danger of attack. Ambition must be made to counteract ambition. The interest of the man must be connected with the constitutional rights of the place. It may be a reflection on human nature, that such devices should be necessary to control the abuses of government. But what is government itself, but the greatest of all reflections on human nature? If men were angels, no government would be necessary. If angels were to govern men, neither external nor internal controls on government would be necessary. In framing a government which is to be administered by men over men, the great difficulty lies in this: you must first enable the government to control the governed; and in the next place oblige it to control itself.

A dependence on the people is, no doubt, the primary control on the government; but experience has taught mankind the necessity of auxiliary precautions. This policy of supplying, by opposite and rival interests, the defect of better motives, might be traced through the whole system of human affairs, private as well as public. We see it particularly displayed in all the subordinate distributions of power, where the constant aim is to divide and arrange the several offices in such a manner as that each may be a check on the other that the private interest of every individual may be a sentinel over the public rights. These inventions of prudence cannot be less requisite in the distribution of the supreme powers of the State. But it is not possible to give to each department an equal power of self-defense. In republican government, the legislative authority necessarily predominates. The remedy for this inconveniency is to divide the legislature into different branches; and to render them, by different modes of election and different principles of action, as little connected with each other as the nature of their common functions and their common dependence on the society will admit. It may even be necessary to guard against dangerous encroachments by still further precautions. As the weight of the legislative authority requires that it should be thus divided, the weakness of the executive may require, on the other hand, that it should be fortified.

An absolute negative on the legislature appears, at first view, to be the natural defense with which the executive magistrate should be armed. But perhaps it would be neither altogether safe nor alone sufficient. On ordinary occasions it might not be exerted with the requisite firmness, and on extraordinary occasions it might be perfidiously abused. May not this defect of an absolute negative be supplied by some qualified connection between this weaker department and the weaker branch of the stronger department, by which the latter may be led to support the constitutional rights of the former, without being too much detached from the rights of its own department? If the principles on which these observations are founded be just, as I persuade myself they are, and they be applied as a criterion to the several State constitutions, and to the federal Constitution it will be found that if the latter does not perfectly correspond with them, the former are infinitely less able to bear such a test.

There are, moreover, two considerations particularly applicable to the federal system of America, which place that system in a very interesting point of view. First. In a single republic, all the power surrendered by the people is submitted to the administration of a single government; and the usurpations are guarded against by a division of the government into distinct and separate departments. In the compound republic of America, the power surrendered by the people is

first divided between two distinct governments, and then the portion allotted to each subdivided among distinct and separate departments. Hence a double security arises to the rights of the people. The different governments will control each other, at the same time that each will be controlled by itself. Second. It is of great importance in a republic not only to guard the society against the oppression of its rulers, but to guard one part of the society against the injustice of the other part. Different interests necessarily exist in different classes of citizens. If a majority be united by a common interest, the rights of the minority will be insecure.

There are but two methods of providing against this evil: the one by creating a will in the community independent of the majority that is, of the society itself; the other, by comprehending in the society so many separate descriptions of citizens as will render an unjust combination of a majority of the whole very improbable, if not impracticable. The first method prevails in all governments possessing an hereditary or self-appointed authority. This, at best, is but a precarious security; because a power independent of the society may as well espouse the unjust views of the major, as the rightful interests of the minor party, and may possibly be turned against both parties. The second method will be exemplified in the federal republic of the United States. Whilst all authority in it will be derived from and dependent on the society, the society itself will be broken into so many parts, interests, and classes of citizens, that the rights of individuals, or of the minority, will be in little danger from interested combinations of the majority.

In a free government the security for civil rights must be the same as that for religious rights. It consists in the one case in the multiplicity of interests, and in the other in the multiplicity of sects. The degree of security in both cases will depend on the number of interests and sects; and this may be presumed to depend on the extent of country and number of people comprehended under the same government. This view of the subject must particularly recommend a proper federal system to all the sincere and considerate friends of republican government, since it shows that in exact proportion as the territory of the Union may be formed into more circumscribed Confederacies, or States oppressive combinations of a majority will be facilitated: the best security, under the republican forms, for the rights of every class of citizens, will be diminished: and consequently the stability and independence of some member of the government, the only other security, must be proportionately increased. Justice is the end of government. It is the end of civil society. It ever has been and ever will be pursued until it be obtained, or until liberty be lost in the pursuit. In a society under the forms of which the stronger faction can readily unite and oppress the weaker, anarchy may as truly be said to reign as in a state of nature, where the weaker individual is not secured against the violence of the stronger; and as, in the latter state, even the stronger individuals are prompted, by the uncertainty of their condition, to submit to a government which may protect the weak as well as themselves; so, in the former state, will the more powerful factions or parties be gradually induced, by a like motive, to wish for a government which will protect all parties, the weaker as well as the more powerful.

It can be little doubted that if the State of Rhode Island was separated from the Confederacy and left to itself, the insecurity of rights under the popular form of government within such narrow limits would be displayed by such reiterated oppressions of factious majorities that some power altogether independent of the people would soon be called for by the voice of the very factions whose misrule had proved the necessity of it. In the extended republic of the United States, and among the great variety of interests, parties, and sects which it embraces, a coalition of a majority of the whole society could seldom take place on any other principles than those of justice and

the general good; whilst there being thus less danger to a minor from the will of a major party, there must be less pretext, also, to provide for the security of the former, by introducing into the government a will not dependent on the latter, or, in other words, a will independent of the society itself. It is no less certain than it is important, notwithstanding the contrary opinions which have been entertained, that the larger the society, provided it lie within a practical sphere, the more duly capable it will be of self-government. And happily for the REPUBLICAN CAUSE, the practicable sphere may be carried to a very great extent, by a judicious modification and mixture of the FEDERAL PRINCIPLE.

PUBLIUS.

## 7.3 Tocqueville on Democracy

### *About this Text*

A French aristocrat, Alexis de Tocqueville traveled throughout the United States in the early 1800s, then went back to France and wrote a detailed and incisive analysis of American democracy. We have excerpts from his major work: *Democracy in America*. Tocqueville isn't as sharply critical of democracy as Plato or Madison. He thinks democracy—which he describes not only as a political order, but as a social condition—has great potential, but warns of important dangers as well.

EXCERPTS FROM ALEXIS DE TOCQUEVILLE, *DEMOCRACY IN AMERICA* (SOURCE)

translated by James T. Schleife

FROM BOOK 2, SECTION 2

CHAPTER 5: OF THE USE THAT AMERICANS MAKE OF ASSOCIATION IN CIVIL LIFE

I do not want to talk about those political associations by the aid of which men seek to defend themselves against the despotic action of a majority or against the encroachments of royal power. I have already treated this subject elsewhere. It is clear that, if each citizen, as he becomes individually weaker and therefore more incapable of preserving his liberty by himself alone, did not learn the art of uniting with his fellows to defend his liberty, tyranny [896] would necessarily grow with equality.<sup>c</sup> Here it is a matter only of the associations that are formed in civil life and whose aim has nothing political about it.

The political associations that exist in the United States form only a detail amid the immense tableau that associations as a whole present there.

Americans of all ages, of all conditions, of all minds, constantly unite. Not only do they have commercial and industrial associations in which they all take part, but also they have a thousand other kinds: religious, moral, [intellectual,] serious ones, useless ones, very general and very particular ones, immense and very small ones;<sup>d</sup> Americans associate to celebrate holidays, establish seminaries, build inns, erect churches, distribute books, send missionaries to the Antipodes; in this way they create hospitals, prisons, schools. If, finally, it is a matter of bringing a truth to light or of developing a sentiment with the support of a good example, they associate. Wherever, at the head of a new undertaking, you see in France the government, and in England, a great lord, count on seeing in the United States, an association.

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I found in America some kinds of associationse of which, I confess, I had not even the idea, and I often admired the infinite art with which the inhabitants of the United States succeeded in setting a common goal for the efforts of a great number of men, and in making them march freely toward it.

I have since traveled across England, from where the Americans took some of their laws and many of their customs, and it seemed to me that there one was very far from making such constant and skillful use of association.

It often happens that the English individually carry out very great things, while there is scarcely so small an enterprise for which the Americans do not unite. It is clear that the first consider association as a powerful means of action; but the second seem to see it as the only means they have to act.

Thus the most democratic country on earth is, out of all, the one where men today have most perfected the art of pursuing in common the object of their common desires and have applied this new science to the greatest number of things.f Does this result from an accident, or could it be that in fact a necessary connection exists between associations and equality?

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Aristocratic societies always contain within them, amid a multitude of individuals who can do nothing by themselves, a small number of very powerful and very rich citizens; each of the latter can by himself carry out great enterprises.

In aristocratic societies, men do not need to unite in order to act, because they are held tightly together.

There, each citizen, rich and powerful, is like the head of a permanent and compulsory association that is composed of all those who are dependent on him and who are made to cooperate in the execution of his plans.

Among democratic peoples, on the contrary, all citizens are independent and weak; they can hardly do anything by themselves, and no one among them can compel his fellows to lend him their help. So they all fall into impotence if they do not learn to help each other freely.g

If men who live in democratic countries had neither the right nor the taste to unite for political ends, their independence would run great risks, but they could for a long time retain their wealth and their enlightenment; while, if they did not acquire the custom of associating in ordinary life, civilization itself would be in danger.h A people among whom individuals [899] lost the power to do great things separately without acquiring the ability to achieve them together would soon return to barbarism.

Unfortunately, the same social state that makes associations so necessary to democratic peoples makes them more difficult for them than for all other peoples.

When several members of an aristocracy want to associate, they easily succeed in doing so. As each one of them has great strength in society, the number of members of the association can be very small, and, when the numbers are few, it is very easy for them to know and understand each other and to establish fixed rules.

The same facility is not found among democratic nations, where those in the association must always be very numerous so that the association has some power.

[The liberty to associate is, therefore, more precious and the science of association more necessary among those peoples than among all others and <it becomes more precious and more necessary as equality is greater.>]

I know that there are many of my contemporaries who are not hindered by this. They claim that as citizens become weaker and more incapable, the government must be made more skillful and more active, in order for society to carry out what individuals are no longer able to do. They believe they have answered everything by saying that. But I think they are mistaken.

A government could take the place of a few of the largest American associations, and within the Union several particular states have already [900] tried to do so. But what political power would ever be able to be sufficient for the innumerable multitude of small enterprises that the American citizens carry out every day with the aid of the association?j

It is easy to foresee that the time is coming when man will be less and less able to produce by himself alone the things most common and most necessary to his life.k So the task of the social power will grow constantly, and its very efforts will make it greater every day. The more it puts itself in the place of associations, the more individuals, losing the idea of associating, will need it to come to their aid. These are causes and effects that engender each other without stopping. Will the public administration end up directing all the industries for which an isolated citizen cannot suffice?m And if a moment finally arrives when, as a consequence of the extreme division of landed property, the land is infinitely divided, so that it can no longer be cultivated except by associations of farm workers, will the head of government have to leave the tiller of the State in order to come to hold the plow?

The morals and intelligence of a democratic people would run no lesser dangers than their trade and industry, if the government came to take the place of associations everywhere.n

Sentiments and ideas are renewed, the heart grows larger and the human mind develops only by the reciprocal action of men on each other.

I have demonstrated that this action is almost nil in democratic countries. So it must be created there artificially. And this is what associations alone are able to do.

When the members of an aristocracy adopt a new idea or conceive of a [901] new sentiment, they place them, in a way, next to them on the great stage where they are themselves, and, in this way exposing those new ideas or sentiments to the sight of the crowd, they introduce them easily into the mind or heart of those who surround them.

In democratic countries only the social power is naturally able to act in this way, but it is easy to see that its action is always insufficient and often dangerous.o

A government can no more suffice for maintaining alone and for renewing the circulation of sentiments and ideas among a great people than for conducting all of the industrial enterprises. From the moment it tries to emerge from the political sphere in order to throw itself into the new path, it will exercise an unbearable tyranny, even without wanting to do so; for government only knows how to dictate precise rules; it imposes the sentiments and ideas that it favors, and it is always difficult to distinguish its counsels from its orders.p

It will be still worse if a government believes itself really interested in having nothing move. It will then keep itself immobile and allow itself to become heavy with a voluntary sleep.

So it is necessary that it does not act alone.

Associations, among democratic peoples, must take the place of the powerful individuals that equality of conditions has made disappear.

As soon as some inhabitants of the United States have conceived of a sentiment or an idea that they want to bring about in the world, they seek each other out, and when they have found each

other, they unite. From that moment, they are no longer isolated men, but a power that is seen from afar, and whose actions serve as an example; a power that speaks and to which you listen.

The first time I heard in the United States that one hundred thousand men[\*] had publicly pledged not to use strong liquor, the thing seemed to [902] me more amusing than serious, and I did not at first see clearly why these citizens, who were so temperate, would not be content to drink water within their families.

I ended by understanding that these hundred thousand Americans, frightened by the progress that drunkenness was making around them, had wanted to give their patronage to temperance. They had acted precisely like a great lord who dressed very plainly in order to inspire disdain for luxury among simple citizens. It may be believed that if these hundred thousand men lived in France, each one of them would have individually addressed the government in order to beg it to oversee the taverns throughout the entire kingdom.

There is nothing, in my opinion, that merits our attention more than the intellectual and moral associations of America. The political and industrial associations of the Americans easily fall within our grasp, but the others escape us; and, if we discover them, we understand them badly, because we have hardly ever seen anything analogous. You must recognize, however, that the intellectual and moral associations are as necessary as the political and industrial ones to the American people, and perhaps more.

In democratic countries, the science of association is the mother science; the progress of all the others depends on the progress of the former.s

Among the laws that govern human societies, there is one that seems more definitive and clearer than all the others. For men to remain civilized or to become so, the art of associating must become developed among them and be perfected in the same proportion as equality of conditions grows.

## CHAPTER 6: OF THE RELATION BETWEEN ASSOCIATIONS AND NEWSPAPERS

[906]

When men are no longer bound together in a solid and permanent way, you cannot get a large number to act in common, unless by persuading each one whose help is needed that his particular interest obliges him to unite his efforts voluntarily with the efforts of all the others.

That can usually and conveniently be done only with the aid of a newspaper;c only a newspaper can succeed in putting the same thought in a thousand minds at the same instant.

A newspaper is an advisor that you do not need to go to find, but which appears by itself and speaks to you daily and briefly about common affairs, without disturbing you in your private affairs.

So newspapers become more necessary as men are more equal and individualism more to be feared. It would diminish their importance to believe that they serve only to guarantee liberty; they maintain civilization.

I will not deny that, in democratic countries, newspapers often lead citizens [907] to do in common very ill-considered undertakings; but if there were no newspapers, there would be hardly any common action. So the evil that they produce is much less than the one they cure.

A newspaper not only has the effect of suggesting the same plan to a large number of men; it



provides them with the means to carry out in common the plans that they would have conceived by themselves.

The principal citizens who inhabit an aristocratic country see each other from far away; and, if they want to combine their strength, they march toward each other, dragging along a multitude in their wake.

It often happens, on the contrary, in democratic countries, that a large number of men who have the desire or the need to associate cannot do so; since all are very small and lost in the crowd, they do not see each other and do not know where to find each other. Along comes a newspaper that exposes to view the sentiment or the idea that came simultaneously, but separately, to each of them. All head immediately for this light, and these wandering spirits, who have been looking for each other for a long time in the shadows, finally meet and unite.

[<In aristocratic countries you group readily around one man, and in democratic countries around a newspaper, and it is in this sense that you can say that newspapers there take the place of great lords.>]

The newspaper has drawn them closer together, and they continue to need it to hold them together.

For an association among a democratic people to have some power it must be numerous. Those who compose it are thus spread over a large area, and each of them is kept in the place that he inhabits by the mediocrity of his fortune and by the multitude of small cares that it requires. They must find a means to talk together every day without seeing each other, and to march in accord without getting together. Thus there is hardly any democratic association that can do without a newspaper.<sup>d</sup>

[908]

So a necessary relation exists between associations and newspapers; newspapers make associations, and associations make newspapers; and if it was true to say that associations must multiply as conditions become equal, it is no less certain that the number of newspapers grows as associations multiply.<sup>e</sup>

Consequently America is the only country in the world where at the same time you find the most associations and the most newspapers.

This relationship between the number of newspapers and that of associations leads us to discover another one between the condition of the periodical press and the administrative form of the country, and we learn that the number of newspapers must decrease or increase among a democratic people in proportion as administrative centralization is more or less great. For among democratic peoples, you cannot entrust the exercise of local powers to the principal citizens as in aristocracies. These powers must be abolished, or their use handed over to a very great number of men. These men form a true association established in a permanent manner by the law for the administration of one portion of the territory, and they need a newspaper to come to find them each day amid their small affairs, and to teach them the state of public affairs. The more numerous the local powers are, the greater is the number of those called by the law to exercise them; and the more this necessity makes itself felt at every moment, the more newspapers proliferate.

It is the extraordinary splitting up of administrative power, much more than great political liberty and the absolute independence of the press, that so singularly multiplies the number of newspapers in America. If all the inhabitants of the Union were voters under the rule of a system that limited their electoral right to the choice of the legislators of the State, they would need only

a small number of newspapers, because they could have only a few very important, but very rare occasions to act together; but within the great national association, the law established in each province and in each city, and so to speak in each village, small associations [909] with the purpose of local administration. The law-maker in this way forced each American to cooperate daily with some of his fellow citizens in a common work, and each of them needs a newspaper to teach him what the others are doing.

I think that a democratic people,<sup>1</sup> who would not have national representation, but a great number of small local powers, would end by having more newspapers than another people among whom a centralized administration would exist alongside an elected legislature. What best explains to me the prodigious development that the daily press has undergone in the United States, is that I see among the Americans the greatest national liberty combined with local liberties of all types.

It is generally believed in France and in England that it is enough to abolish the duties that burden the press in order to increase newspapers indefinitely. That greatly exaggerates the effects of such a reform. Newspapers multiply not only following low cost, but also following the more or less repeated need that a large number of men have to communicate together and to act in common.

I would equally attribute the growing power of newspapers to more general reasons than those that are often used to explain it.

A newspaper can continue to exist only on the condition of reproducing a common doctrine or common sentiment for a large number of men. So a newspaper always represents an association whose members are its habitual readers.

This association can be more or less defined, more or less limited, more or less numerous; but it exists in minds, at least in germ; for that reason alone the newspaper does not die.

This leads us to a final reflection that will end this chapter.

The more conditions become equal, the weaker men are individually, [910] the more they allow themselves to go along easily with the current of the crowd and the more difficulty they have holding on alone to an opinion that the crowd abandons.

The newspaper represents the association; you can say that it speaks to each one of its readers in the name of all the others, and the weaker they are individually, the more easily it carries them along.<sup>f</sup>

So the dominion of newspapers must grow as men become more equal.

[911]

## CHAPTER 7A: RELATIONS BETWEEN CIVIL ASSOCIATIONS AND POLITICAL ASSOCIATIONS<sup>B←</sup>

[912]

There is only one nation on earth where the unlimited liberty of associating for political ends is used daily. This same nation is the only one in the world where the citizens have imagined making continual use of the right of association in civil life and have succeeded in gaining in this way all the good things civilization can offer.

Among all peoples where political association is forbidden, civil association is rare.

It is hardly probable that this is a result of an accident; but you must instead conclude from it that there exists a natural and perhaps necessary relationship between the two types of associations.

[≠Men can associate in a thousand ways, but the spirit of association is a whole, and you cannot stop one of its principal developments without weakening it everywhere else. ≠]

Some men have by chance a common interest in a certain affair. It concerns a commercial enterprise to direct, an industrial operation to conclude; they meet together and unite; in this way they become familiar little by little with association [and when it becomes necessary to associate for a political end, they feel more inclined to attempt it and more capable of succeeding in doing so.]

The more the number of these small common affairs increases, the more men acquire, even without their knowing, the ability to pursue great affairs together.

Civil associations therefore facilitate political associations; but, on the other hand, political association develops and singularly perfects civil association.

In civil life, each man can, if need be, believe that he is able to be self-sufficient. In politics, he can never imagine it. So when a people has a public life, the idea of association and the desire to associate present themselves each day to the mind of all citizens; whatever natural reluctance men have to act in common, they will always be ready to do so in the interest of a party.

Thus politics generalizes the taste and habit of association; it brings [913] about the desire to unite and teaches the art of associating to a host of men who would have always lived alone.

Politics not only gives birth to many associations, it creates very vast associations.

In civil life it is rare for the same interest to attract naturally a large number of men toward a common action. Only with a great deal of art can you succeed in creating something like it.

In politics, the occasion presents itself at every moment. Now, it is only in great associations that the general value of association appears. Citizens individually weak do not form in advance a clear idea of the strength that they can gain by uniting; you must show it to them in order for them to understand it. The result is that it is often easier to gather a multitude for a common purpose than a few men; a thousand citizens do not see the interest that they have in uniting; ten thousand see it. In politics, men unite for great enterprises, and the advantage that they gain from association in important affairs teaches them, in a practical way, the interest that they have in helping each other in the least affairs.

A political association draws a multitude of individuals out of themselves at the same time; however separated they are naturally by age, mind, fortune, it brings them closer together and puts them in contact. They meet once and learn how to find each other always.

You can become engaged in most civil associations only by risking a portion of your patrimony; it is so for all industrial and commercial companies. When men are still little versed in the art of associating and are ignorant of its principal rules, they fear, while associating for the first time in this way, paying dearly for their experience. So they prefer doing without a powerful means of success, to running the dangers that accompany it. But they hesitate less to take part in political associations, which seem without danger to them, because in them they are not risking their own money. Now, they cannot take part for long in those associations without discovering how you maintain order among a great number of men, and by what process you succeed in making them march, in agreement and methodically, toward the same goal. They learn to submit their [914] will

to that of all the others, and to subordinate their particular efforts to common action, all things that are no less necessary to know in civil associations than in political associations.

So political associations can be considered as great free schools, where all citizens come to learn the general theory of associations.

So even if political association would not directly serve the progress of civil association, it would still be harmful to the latter to destroy the first.

When citizens can associate only in certain cases, they regard association as a rare and singular process, and they hardly think of it.

When you allow them to associate freely in everything, they end up seeing in association the universal and, so to speak, unique means that men can use to attain the various ends that they propose. Each new need immediately awakens the idea of association. The art of association then becomes, as I said above, the mother science; everyone studies it and applies it.

When certain associations are forbidden and others allowed, it is difficult in advance to distinguish the first from the second. In case of doubt, you refrain from all, and a sort of public opinion becomes established that tends to make you consider any association like a daring and almost illicit enterprise.<sup>1</sup>

[915]

So it is a chimera to believe that the spirit of association, repressed at one point, will allow itself to develop with the same vigor at all the others, and that it will be enough to permit men to carry out certain enterprises together, for them to hurry to try it. When citizens have the ability and the habit of associating for all things, they will associate as readily for small ones as for great ones. But if they can associate only for small ones, they will not even find the desire and the capacity to do so. In vain will you allow them complete liberty to take charge of their business together; they will only nonchalantly use the rights that you grant them; and after you have exhausted yourself with efforts to turn them away from the forbidden associations, you will be surprised at your inability to persuade them to form the permitted ones.

I am not saying that there can be no civil associations in a country where political association is forbidden; for men can never live in society without giving themselves to some common enterprise. But I maintain that in such a country civil associations will always be very few in number, weakly conceived, ineptly led, and that they will never embrace vast designs, or will fail while wanting to carry them out.

This leads me naturally to think that liberty of association in political matters is not as dangerous for public tranquillity as is supposed, and that it could happen that after disturbing the State for a time, liberty of association strengthens it.<sup>d</sup>

In democratic countries, political associations form, so to speak, the only powerful individuals who aspire to rule the State. Consequently the governments [v. princes] of today consider these types of associations in the same way that the kings of the Middle Ages saw the great vassals of the crown: they feel a kind of instinctive horror for them and combat them at every occasion.

They have, on the contrary, a natural favor for civil associations, because they have easily discovered that the latter, instead of leading the mind of citizens toward public affairs, serve to distract it from these affairs, and by [916] engaging citizens more and more in projects that cannot be accomplished without public peace, civil associations turn them away from revolutions. But the governments of today do not notice that political associations multiply and prodigiously facilitate civil associations, and that by avoiding a dangerous evil, they are depriving themselves

of an effective remedy. When you see the Americans associate freely each day, with the purpose of making a political opinion prevail, of bringing a statesman to the government, or of wresting power from another man, you have difficulty understanding that men so independent do not at every moment fall into license.

If, on the other hand, you come to consider the infinite number of industrial enterprises that are being pursued in common in the United States, and you see on all sides Americans working without letup on the execution of some important and difficult plan, which would be confounded by the slightest revolution, you easily conceive why these men, so very busy, are not tempted to disturb the State or to destroy a public peace from which they profit.

Is it enough to see these things separately? Isn't it necessary to find the hidden bond that joins them? It is within political associations that the Americans of all the states, all minds and all ages, daily acquire the general taste for association and become familiar with its use. There they see each other in great number, talk together, understand each other and become active together in all sorts of enterprises. They then carry into civil life the notions that they have acquired in this way and make them serve a thousand uses.

So it is by enjoying a dangerous liberty that the Americans learn the art of making the dangers of liberty smaller.

If you choose a certain moment in the existence of a nation, it is easy to prove that political associations disturb the State and paralyze industry; but when you take the entire life of a people, it will perhaps be easy to demonstrate that liberty of association in political matters is favorable to the well-being and even to the tranquillity of citizens.

I said in the first part of this work: "The unlimited freedom of association cannot be confused with the freedom to write: the first is both less necessary and more dangerous than the second. A nation can set limits on the first without losing control over itself; sometimes it must set limits in [917] order to continue to be in control." And later I added: "You cannot conceal the fact that, of all liberties, the unlimited freedom of association, in political matters, is the last one that a people can bear. If unlimited freedom of association does not make a people fall into anarchy, it puts a people on the brink, so to speak, at every moment."

Thus, I do not believe that a nation is free at all times to allow its citizens the absolute right to associate in political matters; and I even doubt that there is any country in any period in which it would be wise to set no limits to the liberty of association.

A certain people, it is said, cannot maintain peace internally, inspire respect for the laws or establish enduring government, if it does not enclose the right of association within narrow limits. Such benefits are undoubtedly precious, and I conceive that, to acquire or to retain them, a nation agrees temporarily to impose great burdens on itself; but still it is good that the nation knows precisely what these benefits cost it.

That, to save the life of a man, you cut off his arm, I understand; but I do not want you to assure me that he is going to appear as dexterous as if he were not a one-armed man.

[918]

[I showed in a preceding chapter how equality of conditions developed among all men the taste for well-being, and directed their minds toward the search for what is useful.

Elsewhere, while talking about individualism, I have just shown how this same equality of conditions broke the artificial bonds that united citizens in aristocratic societies, and led each man to search for what is useful to himself alone.

These various changes in the social constitution and in the tastes of humanity cannot fail to influence singularly the theoretical idea that men form of their duties and their rights.]c

When the world was led by a small number of powerful and rich individuals, the latter loved to form a sublime idea of the duties of man; they took pleasure in professing that it is glorious to forget self and that it is right [919] to do good without interest, just like God. That was the official doctrine of this time in the matter of morality [{moral philosophy}].

I doubt that men were more virtuous in aristocratic centuries than in others, but it is certain that they then talked constantly about the beauties of virtue; they only studied in secret how it was useful. But as imagination soars less and as each person concentrates on himself, moralists become afraid of this idea of sacrifice, and they no longer dare to offer it to the human mind; so they are reduced to trying to find out if the individual advantage of citizens would not be to work toward the happiness of all, and, when they have discovered one of these points where particular interest meets with general interest and merges with it, they hasten to bring it to light; little by little similar observations multiply. What was only an isolated remark becomes a general doctrine, and you believe finally that you see that man, by serving his fellows, serves himself, and that his particular interest is to do good.d

[<But this doctrine is not accepted all at once or by all. Many receive a few parts of it and reject the rest. Some adopt it at the bottom of their hearts and reject it with disdain before the eyes of the world.>]e

I have already shown, in several places in this work, how the inhabitants of the United States almost always knew how to combine their own well-being with that of their fellow citizens. What I want to note here is the general theory by the aid of which they succeed in doing so.f

[920]

In the United States, you almost never say that virtue is beautiful. You maintain that it is useful, and you prove it every day. American moralists do not claim that you must sacrifice yourself for your fellows because it is great to do so; but they say boldly that such sacrifices are as necessary to the person who imposes them on himself as to the person who profits from them.g

They have noticed that, in their country and time, man was led back toward himself by an irresistible force and, losing hope of stopping him, they have thought only about guiding him.

So they do not deny that each man may follow his interest, but they strive to prove that the interest of each man is to be honest.

Here I do not want to get into the details of their reasons, which would take me away from my subject; it is enough for me to say that they have persuaded their fellow citizens.

A long time ago, Montaigne said: "When I would not follow the right road because of rectitude, I would follow it because I found by experience that in the end it is usually the happiest and most useful path."h

So the doctrine of interest well understood is not new; but, among the Americans of today, it has been universally admitted; it has become popular; you find it at the bottom of all actions; it pokes through all discussions. You find it no less in the mouths of the poor than in those of the rich.

In Europe the doctrine of interest is much cruder than in America, but at the same time, it is less widespread and above all less evident, and great devotions that are felt no more are still feigned among us every day.

The Americans, in contrast, take pleasure in explaining almost all the [921] actions of their life with the aid of interest well understood; they show with satisfaction how enlightened love of themselves leads them constantly to help each other and disposes them willingly to sacrifice for the good of the State a portion of their time and their wealth. I think that in this they often do not do themselves justice; for you sometimes see in the United States, as elsewhere, citizens give themselves to the disinterested and unconsidered impulses that are natural to man; but the Americans hardly ever admit that they yield to movements of this type; they prefer to honor their philosophy rather than themselves.j

I could stop here and not try to judge what I have just described. The extreme difficulty of the subject would be my excuse. But I do not want to take advantage of it, and I prefer that my readers, clearly seeing my purpose, refuse to follow me rather than remain in suspense.

Interest well understood is a doctrine not very lofty, but clear and sure. It does not try to attain great objectives, but without too much effort it attains all those it targets. Since the doctrine is within reach of all minds, each man grasps it easily and retains it without difficulty. Accommodating itself marvelously to the weaknesses of men, it easily gains great dominion and it is not difficult for it to preserve that dominion, because the doctrine turns personal interest back against itself and, to direct passions, uses the incentive that excites them.

The doctrine of interest well understood does not produce great devotions; but it suggests small sacrifices every day; by itself, it cannot make a [922] man virtuous, but it forms a multitude of steady, temperate, moderate, farsighted citizens who have self-control; and, if it does not lead directly to virtue by will, it imperceptibly draws closer to virtue by habits.k

If the doctrine of interest well understood came to dominate the moral world entirely, extraordinary virtues would undoubtedly be rarer. But I also think that then the coarsest depravities would be less common. The doctrine of interest well understood perhaps prevents some men from rising very far above the ordinary level of humanity; but a great number of others who fall below encounter the doctrine and cling to it. Consider a few individuals, it lowers them. Envisage the species, it elevates it.

I will not be afraid to say that the doctrine of interest well understood seems to me, of all philosophical theories, the most appropriate to the needs of the men of our time, and that I see in it the most powerful guarantee remaining to them against themselves. So it is principally toward this doctrine that the mind of the moralists of today should turn. Even if they were to judge it as imperfect, it would still have to be adopted as necessary.

I do not believe, everything considered, that there is more egoism among us than in America; the only difference is that there it is enlightened and here it is not. Each American knows how to sacrifice a portion of his particular interests in order to save the rest. We want to keep everything, and often everything escapes us.

I see around me only men who seem to want to teach their contemporaries, every day by their word and their example, that what is useful is never dishonorable. Will I never finally find some

men who undertake to make their contemporaries understand how what is honorable can be useful?

There is no power on earth that can prevent the growing equality of [923] conditions from leading the human mind toward the search for what is useful, and from disposing each citizen to become enclosed within himself.

So you must expect individual interest to become more than ever the principal, if not the sole motivating force of the actions of men; but how each man will understand his individual interest remains to be known.

If citizens, while becoming equal, remained ignorant and coarse, it is difficult to predict to what stupid excess their egoism could be led, and you cannot say in advance into what shameful miseries they would plunge themselves, out of fear of sacrificing something of their well-being to the prosperity of their fellows.m

I do not believe that the doctrine of interest, as it is preached in America, is evident in all its parts; but it contains a great number of truths so evident that it is enough to enlighten men in order for them to see them. So enlighten them at all cost, for the century of blind devotions and instinctive virtues is already fleeing far from us, and I see the time drawing near when liberty, the public peace and the social order itself will not be able to do without enlightenment.n



# MODULE 8: POLITICAL THEORY TODAY

## 8.1 Okin

### *About this Text*

Our first reading comes from Susan Moller Okin, a political theorist from the late 20th century. The pdf below contains excerpts from Okin's *Justice, Gender and the Family*. In these excerpts, Okin writes about Rawls's theory of justice, which we studied earlier in the course. On the one hand, Okin argues that Rawls ignores gender and so fails to question the possibility that gender and gender relations are implicated in injustice in political life and in the family. On the other hand, Okin claims that Rawls's original position and principles of justice can be useful for feminist theory. Click on the title below to access the pdf.

EXCERPTS FROM SUSAN MOLLER OKIN,  
*Justice, Gender and the Family*

## 8.2 Charles Mills

### *About this Text*

Charles Mills is a philosophy professor at Northwestern University. We have excerpts from his book *The Racial Contract* (available below as a pdf document; you only need to read pages 9-48). Mills both critiques the social contract tradition as ignoring race and argues that, reinterpreted, the idea of the social contract can be used to understand what Mills calls “the racial contract.” Mills’s claim is that modern society rests upon a more or less explicit agreement to distinguish between whites and non-whites, including the former as full citizens in the political order, while systematically excluding and oppressing the latter.

EXCERPTS FROM CHARLES MILLS,

*THE RACIAL CONTRACT*