

# The state, the nation, and war

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War, peace, and political violence

UC3M, Fall 2023

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  1. The rise of the modern state
    - role of violence in the process of state-building
    - and how wars changed when modern states emerged
  2. The rise of the nation-state (more during seminar)
    - nationalism changed how and which wars were waged
    - and role of political violence in shaping nations

# The state

- What is a state?
- Max Weber's definition: a state is a political entity that maintains a monopoly on the legitimate use of violence within its own boundaries
- “Compulsory political organization”

# The state as a criminal organization

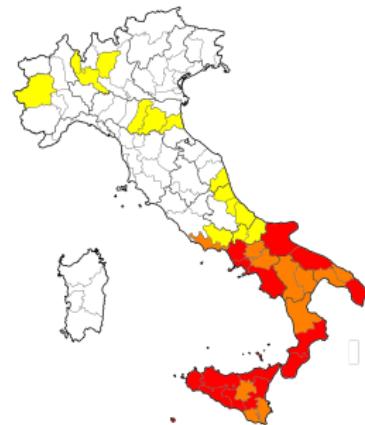


Cosa Nostra's 'The Commission'

- How does a state resembles a criminal organization?

# The state as a criminal organization

- *Pizzo* in Italy (Mafia in Sicily, 'Ndrangheta in Calabria, Camorra in Campania, etc)
- Protection money paid by local businesses to a criminal organization
- If you pay you get access to services: protection, speedy bureaucracy, resolution of conflicts...
- If you don't pay? Business destroyed
- Who do you pay? Local organization



Extortion in Italy, 2008

Source: Daygum (Wikipedia),  
data from Confesercenti Survey

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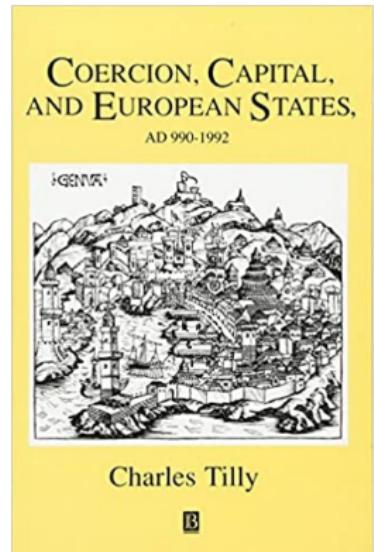
Hobbes' *Leviathan*

# The origins of states

- How did the modern state emerge?

# Charles Tilly and the origins of European states

- State-formation process in Europe
- The protection racket idea: kings and rulers were not different from the initial competitors (legitimacy happens afterwards)
- Dual process of establishing a monopoly of violence and building state institutions



Charles Tilly (1990)

# War-making and state-making in Europe



France around 1477



## Holy Roman Empire around 1200

# War-making

- Early states in Europe competed for territory and power
- Context of Feudalism:
  - Decentralized means of violence, fragmented rule
  - Pressures for war-making: conquer or be conquered
- Kings or powerful lords did not use *direct rule*, but relied on intermediaries
  - Direct vs indirect rule

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- Kings or powerful lords did not use *direct rule*, but relied on intermediaries
  - Direct vs indirect rule
- Innovations in the technology of war changed it all: war became more and more expensive

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- Later on: censuses, modern bureaucracy, police

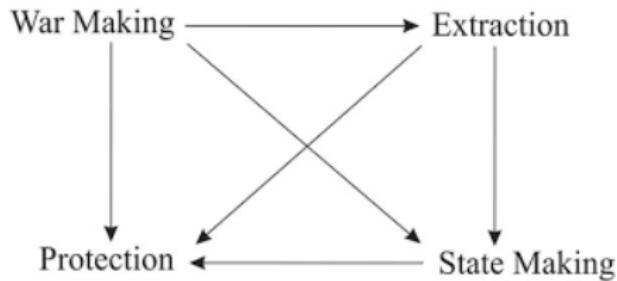
# War-making and state-making

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- “War made the state and the state made war”
- Different from other conceptions of the origins of the state
  - e.g. social contract
- Rooted in security concerns: remember that protection threats (esp. external) is usually the idea of a minimum state
  - “Love-hate relationship between state makers and pirates or bandits”
- The service side of the state was developed as a response to population resistance to coercive governance

# War and the state development process



Tilly's causal chain of European state-making

- It all starts with war-making: states are a by-product of rulers' efforts to increase the means of war
- And it's all about violence: coercive violence is used to develop the monopoly of legitimate violence

## War-making and state-making

*By the later eighteenth century, through most of Europe, monarchs controlled permanent, military forces that rivaled those of their neighbors and far exceeded any other organized armed force within their own territories. The state's monopoly of large-scale violence was turning from theory to practice. (Tilly 1985, p. 174)*

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- Westphalian international system “fully developed”
- Shift to (more costly) direct rule after French Revolution
- Only possible after kings won previous “civil wars”
  - The development of the police in the 19th century was the latest step, reaching out the most local challengers

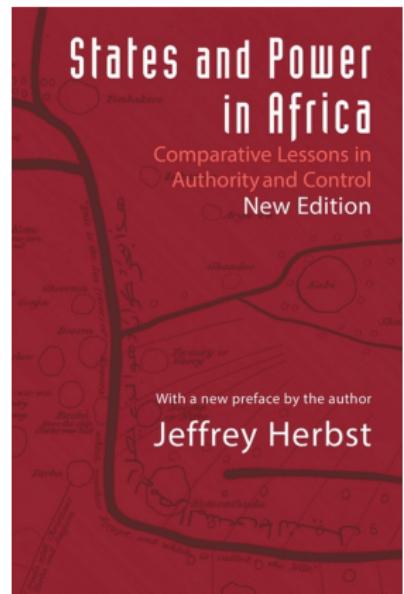
# Bringing the international system in

- Early on, no distinction between internal and external threats
- Later on, war as major moving force of the international system, with similar dynamics as in internal state making (violence)
- Peace of Westphalia in 1648: clear borders of sovereignty emerge and after each war, states are re-defined (usually decreasing in number)
  - if you think about this, how to make sense of 'pre-Westphalian' civil wars?

Can we generalize from European history?

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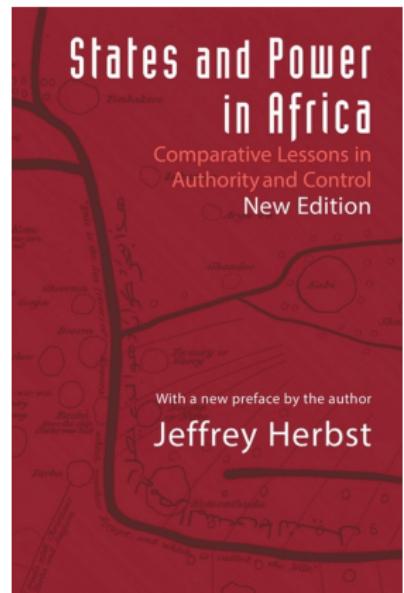
- Absence of international wars in Africa explains weak states
  - Historically low population density, rough terrain: no state emergence
  - “Addis rule” froze borders after decolonization



Jeffrey Herbst (2015)

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- Absence of international wars in Africa explains weak states
  - Historically low population density, rough terrain: no state emergence
  - “Addis rule” froze borders after decolonization
- Problem: there are some disputes and also these states face much more internal than external threats, shouldn't this be an incentive for state-building or work the same way?



Jeffrey Herbst (2015)

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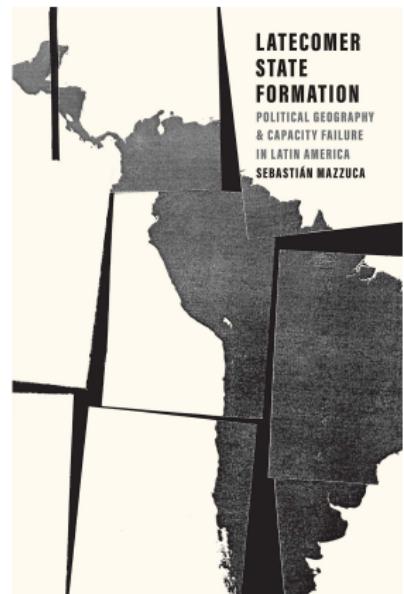
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- Existence of capital in **Latin America** (Miguel A Centeno, *Blood and debt: War and the nation-state in Latin America*)
- One pressing question today is: **How should we see internal conflicts? Do they strengthen or weaken state-formation?**

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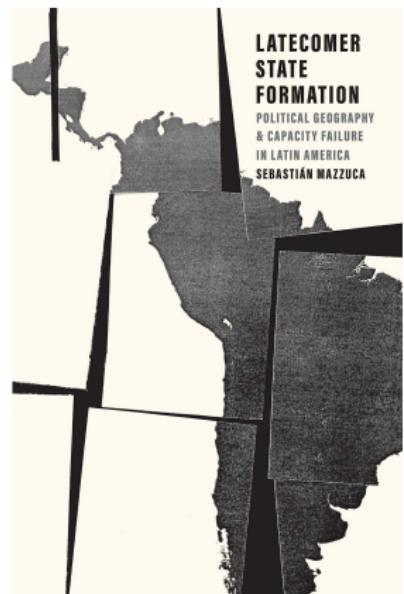
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Mazzuca (2021)

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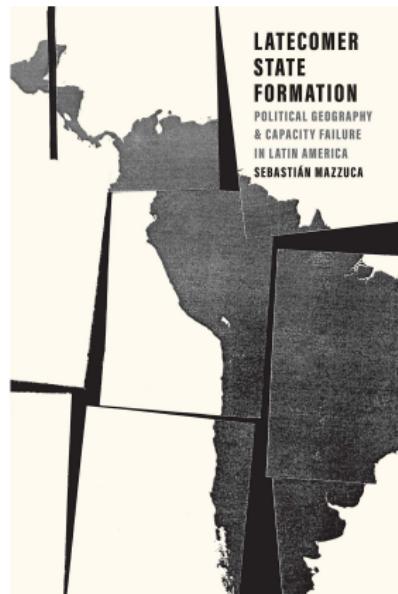
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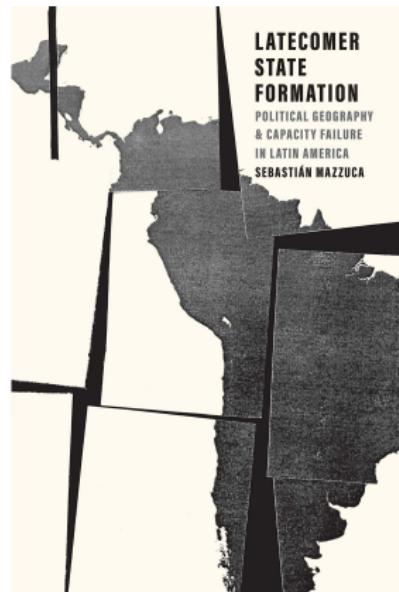
- State formation (monopoly of violence within delimited borders) vs state building (switch from patrimonial to bureaucratic administration)
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  - They can happen at the same time (Europe), or not
- State formation in LatAm took place when capitalism, rather than war, ruled internationally
- Because of pursuing benefits of trade, LA countries created weak states, with patrimonial structures, etc



Mazzuca (2021)

# Generalizing from European history

Table 1.1. Geopolitical and International Economic Environments  
of State Formation

		<i>International economy</i>	
		<i>Feudalism/</i> <i>mercantilism</i>	<i>Capitalism/free trade</i>
<i>Geopolitical</i> <i>context</i>	<i>Anarchy</i>	Pioneer state formation War-led (with military innovation) <i>Western Europe</i>	Competing state formation Trade + war-led <i>United States</i>
	<i>Hierarchy</i>	Reactive state formation War-led (with military imitation) <i>Eastern Europe, China, Japan</i>	Latecomer state formation Trade-led <i>Latin America, Africa</i>

## Two critiques to the bellicist theory

### 1. European system environment is **not exogenous**

- Why were so many independent states in Europe fighting each other?
- Not random, it needs to be explained, maybe it has to do with the failure of other systems

See: Hendrik Spruyt in *Does War Make States?* (CUP, 2017)

## Two critiques to the bellicist theory

### 2. Which **micro-level mechanisms** explain that war-making increases state capacity?

- States can increase internal capacity, but can also look for allies, bandwagon on stronger powers, etc
- In other words, it does *not* always happen this way, fighting could also lead to chaos and state collapse, and external threats do not necessarily lead to stronger states

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# The role of legitimacy

- So are states really like criminal protection rackets? Bellicist theory assumes that at the beginning there were many competing authorities offering protection and kings were just the better providers
- But legitimacy could have played a role: maybe people did care about who ended up ruling over all
- Kings were not exactly the same as minor lords: they could claim legitimacy and loyalty, and emerge as the ultimate defenders
- Think of situations of fragmented rule without cultural unity: e.g. warlords in Somalia
  - (though we cannot talk about nationalism in Early Modern Europe)

## What is this all about

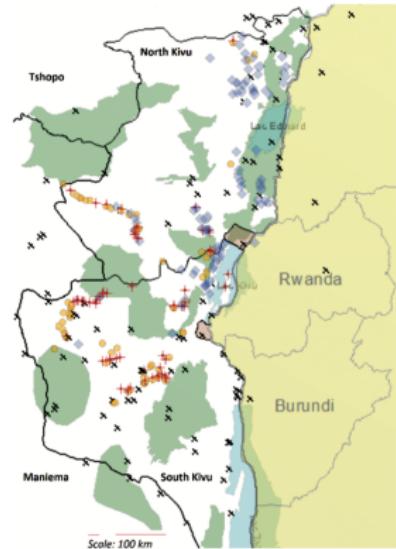
- War and violence and the state are deeply related from the start
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- War and violence and the state are deeply related from the start
- Coercion and the monopoly of violence still define many if not all problems of political order today
- Very relevant questions for contexts of civil wars or state collapse
  - Somalia, DRC, etc
- Do preferences for centralized or decentralized force matter?
  - War and state formation in multi-ethnic countries?
  - Why Mafia flourished in southern Italy? And why do we see higher mobilization against it today? (*Addiopizzo* movement)

# Empirical evidence

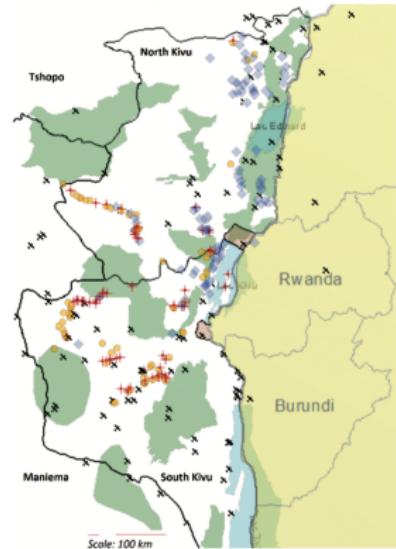
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Sánchez de la Sierra (2020)  
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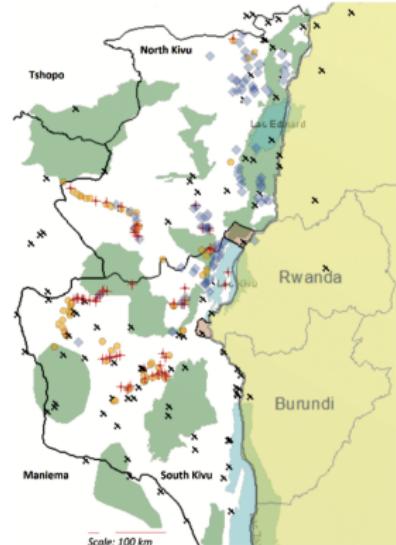
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  - coltan is bulky, but not gold



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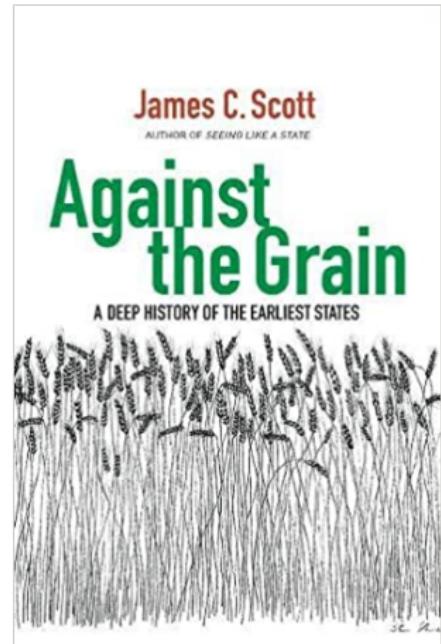
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- Q: When do 'stationary bandits' emerge?
- Studying 'roving bands' in DRC, and analyzing price of coltan and gold
  - coltan is bulky, but not gold
- When coltan price goes up, rebels establish monopoly of violence in mines
- When gold price goes up, rebels tax villages and provide services
  - i.e. expropriation → state



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# James C. Scott on the origin of state

- Against the usual idea that people freely chose to settle and form states
- The origin of the state matched with violent coercion, diseases, and slavery
- States 'domesticated' humans as much as they domesticated animals



James C. Scott (2017)

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- Nationalism: political ideology, congruence between units of political sovereignty and nations

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- Other theories: Meyer's world polity theory, ...

# The French Revolution and warfare



*"in 1793 a force appeared that beggared all imagination. Suddenly war again became the business of the people—a people of thirty millions, all of whom considered themselves to be citizens. (...) the full weight of the nation was thrown into the balance."*

(Clausewitz, *On War*)

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- Explaining impact on inter-state warfare at a global level: *historical* patterns of war

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- New warfare: Standing armies, better weapons, larger wars, ...

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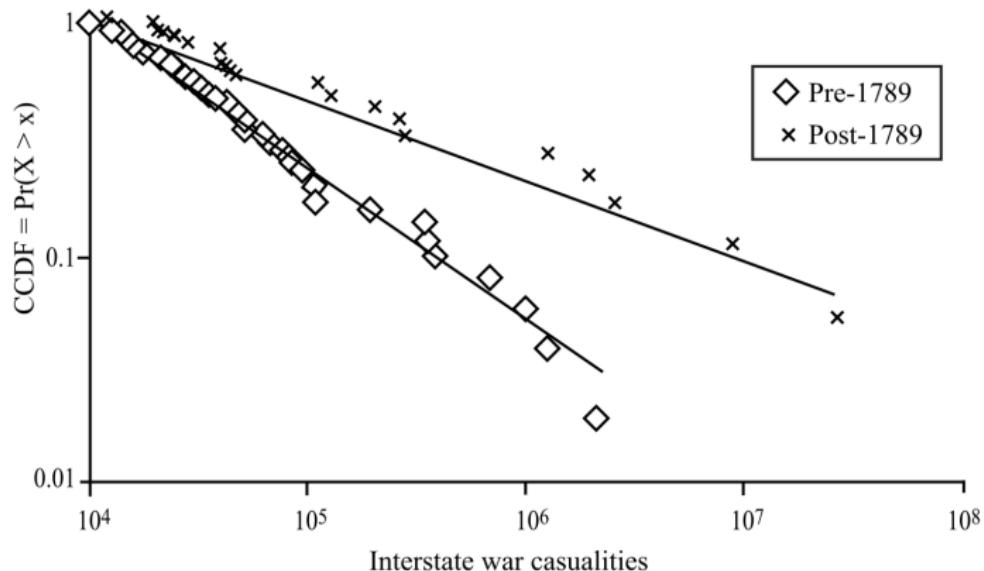
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- Loyalty replaces coercion, mass popular armies replace professional armies
  - That's why Clausewitz spoke of a new "force ... that beggared all imagination", and added that "nothing now impeded the vigor with which war could be waged"

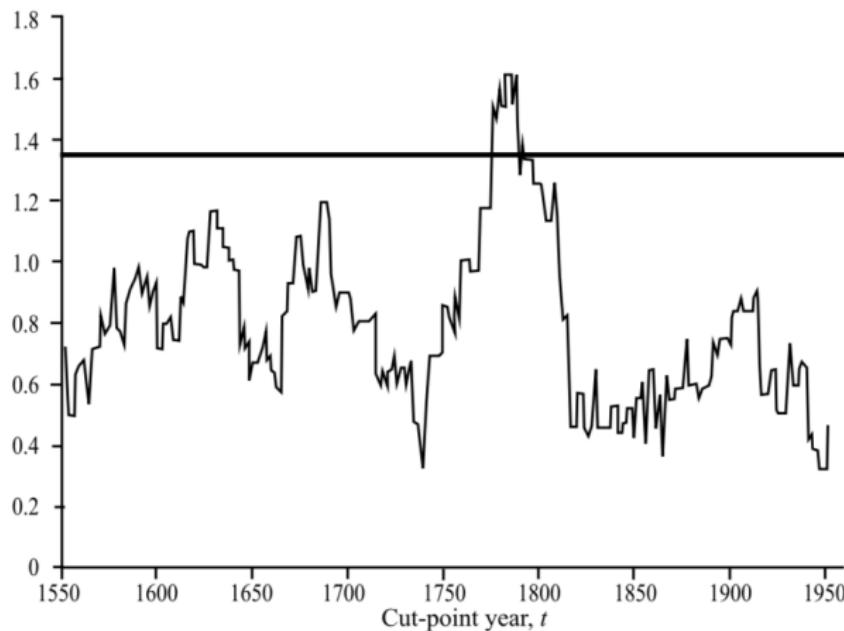
# Did the French Revolution change warfare?



*Note:* Figure shows complementary cumulative distribution functions for the severity (that is, battle deaths) of all major power interstate wars, with minimum threshold  $x_0 = 10,000$ . Diamonds represent wars beginning in the period 1495–1789 and crosses represent wars beginning in the period 1790–1997. Solid lines show maximum likelihood estimation (MLE) for the shape parameters ( $\alpha_1 = 0.65$  and  $\alpha_2 = 0.35$ , respectively) of the two subsamples.

**FIGURE 1.** *Interstate war casualties*

# Did the French Revolution change warfare?



*Note:* Plot shows Kolmogorov-Smirnov distance metric for two subsamples of major power wars, defined by the temporal bounds of  $(t - 75; t)$  and  $(t; t + 75)$ . Horizontal line represents the 95 percent confidence threshold for rejecting the null hypothesis that the two samples are drawn from the same distribution.

**FIGURE 2.** *Kolmogorov-Smirnov distance*

Source: Cederman, Camber Warren, & Sornette (2011)

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- Can we think of a global explanations for historical patterns of warfare over the long run?
- Looking at global institutional patterns: how polities are organized and how they changed
- Claim: likelihood of wars (both interstate and civil wars) is higher in periods of institutional change, in particular, the main two processes taking place in the last 200 years: incorporation into empires and formation of nation-states

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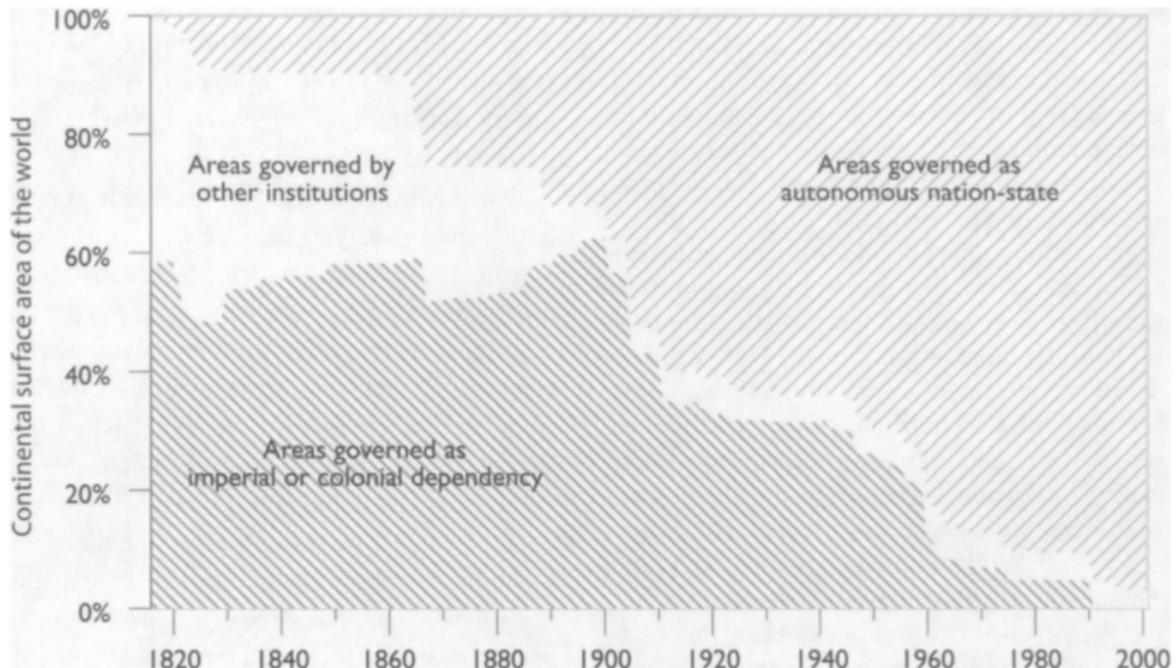
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- Nation-states
  - Also centralized bureaucracy, but uniform rule over a territory and claims to popular sovereignty
- Displacing previous institutional set-ups: absolutist kingdoms, city states, feudalism...

# Empires & nation-states



**Figure 1.** Percentage of Land Surface Governed by Empires, Nation-States, or other Institutions, 1816–2001

Note: States smaller than 25,000 km<sup>2</sup> are excluded.

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# Why war?

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- Creating an empire will cause resistance to incorporation, particularly in the peripheries
- Formation of nation-states leads to the violently reordering of states (inter-state wars) or, once they are formed, wars over internal power distribution

# Institutional changes and wars

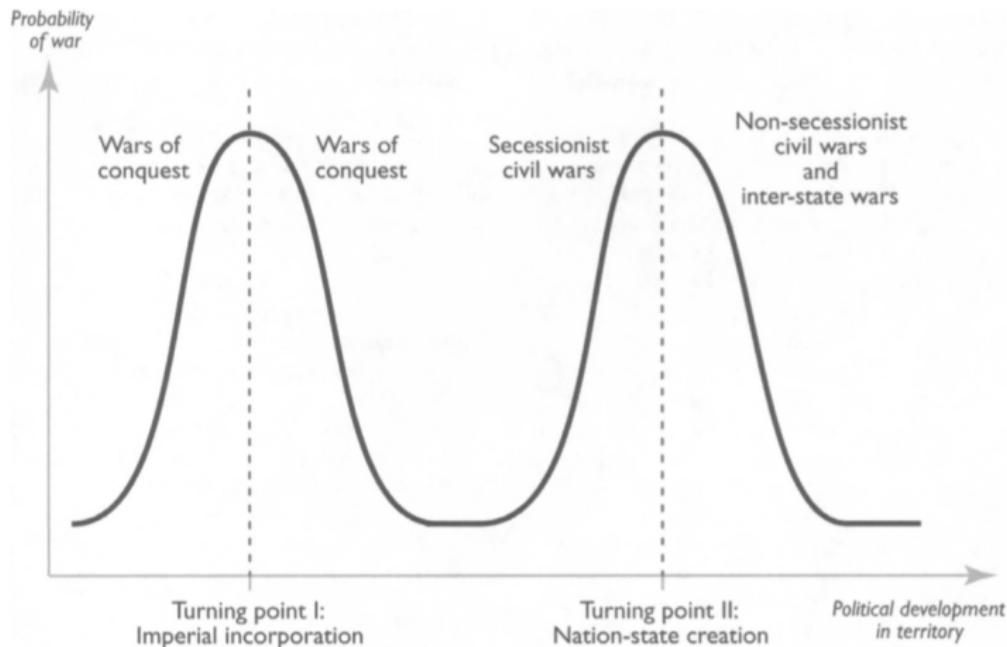


Figure 3. A Stylized Historical Model of Institutional Change and War

Source: Wimmen & Min (2006)

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- Once nation-states are formed, conflicts over the distribution of power, ethno-political discrimination (civil wars)

# Nation-states and wars

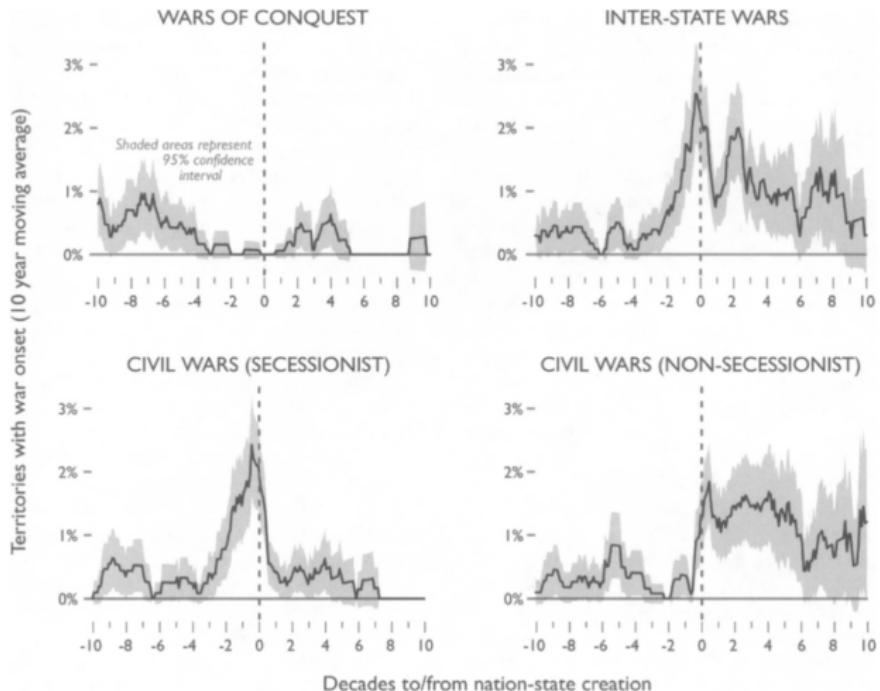


Figure 5. Nation-State Creation and Types of War (10-Year Moving Averages with 95% Confidence Intervals)

Source: Wimmen & Min (2006)

# Looking at the big picture

- Different type of questions:
  - How did warfare evolve? How do changes to the international system impact overall levels of war?
- ≠ explanations of political conflicts in particular
  - explain the outbreak of individual conflicts, assess likelihood of a conflict in a given country
- But these are macro-historical explanations: focus is on the evolution of warfare throughout history and what macro-level changes explain it
- Related to previous lecture on warfare and state formation

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  - Ancient hatred idea, security dilemma, etc

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- Difference with previous macro-historical approach: looking at specific cases

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- Zygmunt Bauman's *Modernity and Holocaust*