

# Hypotheses on Nationalism and War

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Scholars have written widely on the causes of nationalism<sup>1</sup> but said little about its effects, especially its effects on international politics. Most strikingly, the impact of nationalism on the risk of war has barely been explored. Most authors take the war-causing character of nationalism for granted, assuming it without proof or explanation.<sup>2</sup> Factors that govern the size of the dangers posed by nationalism are neglected. What types of nationalism are most likely to cause war? What background conditions catalyze or dampen this causal process? These ques-

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1. A survey is Anthony D. Smith, *Theories of Nationalism*, 2nd ed. (New York: Harper & Row, 1983). Prominent recent works include: Ernest Gellner, *Nations and Nationalism* (Ithaca: Cornell University Press, 1983); Anthony D. Smith, *The Ethnic Origins of Nations* (Oxford: Basil Blackwell, 1986); E.J. Hobsbawm, *Nations and Nationalism Since 1780* (New York: Cambridge University Press, 1990); Benedict Anderson, *Imagined Communities: Reflections on the Origin and Spread of Nationalism*, rev. ed. (London: Verso, 1991); Liah Greenfeld, *Nationalism: Five Roads to Modernity* (Cambridge: Harvard University Press, 1992); and Barry R. Posen, "Nationalism, the Mass Army, and Military Power," *International Security*, Vol. 18, No. 2 (Fall 1993), pp. 80-124. However, the nationalism literature leaves ample room for more work on nationalism's causes: much of it fails to frame hypotheses clearly and much does not systematically test hypotheses against empirical evidence; hence the literature leaves many questions unresolved.

2. Thus Anthony Smith notes that "the prevailing image of nationalism in the West today is mainly negative," and Boyd Shafer states his "belief that nationalism, especially when carried to extremes, leads to war and destruction." Smith, *Theories of Nationalism*, p. 8; Boyd C. Shafer, *Faces of Nationalism* (New York: Harcourt Brace Jovanovich, 1972), p. xiii. Yet the entry under "Nationalism and War" in Louis Snyder's 435-page *Encyclopedia of Nationalism* fills only two pages, and its bibliography lists no works focused on the topic. Louis L. Snyder, *Encyclopedia of Nationalism* (New York: Paragon, 1990), pp. 248-250. Exceptions exist: a few scholars have held a less purely critical view of nationalism, arguing that it has the potential for both good and evil. See, for example, Carlton J.H. Hayes, *Essays on Nationalism* (New York: Macmillan, 1926), pp. 245-275; Hayes's views are summarized in Snyder, *Encyclopedia of Nationalism*, pp. 132-133. And the impact of nationalism on the risk of war is now receiving more attention: see especially Jack Snyder, "Nationalism and the Crisis of the Post-Soviet State," *Survival*, Vol. 35, No. 1 (Spring 1993), pp. 5-26; and Barry R. Posen, "The Security Dilemma and Ethnic Conflict," *Survival*, Vol. 35, No. 1 (Spring 1993), pp. 27-47. The Snyder and Posen pieces are also published in Michael E. Brown, ed., *Ethnic Conflict and International Security* (Princeton: Princeton University Press, 1993).

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tions are largely undiscussed, hence the causal nexus between nationalism and war presents an important unsolved riddle.

This article explores that nexus. I define nationalism as a political movement having two characteristics: (1) individual members give their primary loyalty to their own ethnic or national community;<sup>3</sup> this loyalty supersedes their loyalty to other groups, e.g., those based on common kinship or political ideology; and (2) these ethnic or national communities desire their own independent state.<sup>4</sup> I leave the origins of nationalism unexplored, instead focusing on its effects on the risk of war. Seven questions are addressed: Does nationalism cause war? If so, what types of nationalism are most likely to cause war? How and why do they cause war? What causes these war-causing nationalisms? Under what conditions are they most dangerous? How, if at all, can the war-causing attributes of nationalism be suppressed

3. My usage of "ethnic community" follows Anthony Smith, who suggests that an ethnic community has six characteristics: a common name, a myth of common ancestry, shared memories, a common culture, a link with a historic territory or homeland (which it may or may not currently occupy), and a measure of common solidarity. See Smith, *Ethnic Origins of Nations*, pp. 22–30. Summarizing Smith nicely is Michael E. Brown, "Causes and Implications of Ethnic Conflict," in Brown, ed., *Ethnic Conflict and International Security*, pp. 3–26 at 4–5.

Smith's second criteria (myth of common ancestry) would exclude immigrant societies of diverse origin that have developed the other five characteristics of ethnic community, such as the immigrant peoples of the United States, Cuba, Argentina, Chile, and Brazil. However, the common usage of "nation" and "nationalism" includes these groups as nations that can have a nationalism, e.g., "American nationalism," "Argentine nationalism," "Chilean nationalism." I define nationalism as a movement of a "national community" as well as an "ethnic community" in order to include these nationalisms. My usage of "national" follows the *Dictionary of the Social Sciences*, which defines "nation" as "the largest society of people united by a common culture and consciousness," and which "occupies a common territory." Julius Gould and William L. Kolb, eds., *A Dictionary of the Social Sciences* (New York: Free Press of Glencoe, 1964), p. 451.

4. The academic literature defines nationalism in an annoyingly wide range of ways. My definition follows no other exactly, but it amalgamates the more prominent definitions: each of these include at least one element of my definition, that prime loyalty is owed to one's ethnic/culture group, and/or that the group to which prime loyalty is given should have its own state. My usage most closely follows Rupert Emerson and Richard Cottam, who define nationalism (in Cottam's words) as "a belief on the part of a large group of people that they comprise a community, a nation, that is entitled to independent statehood, and a willingness of this group to grant their community a primary and terminal loyalty"; quoted in Shafer, *Faces of Nationalism*, p. 4. Similar is Hans Kohn, whose nationalists give "supreme loyalty" to their own nationality, and who see "the nation-state as the ideal form of political organization." *Ibid.* Also similar are E.J. Hobsbawm and Ernest Gellner, who define nationalism as "primarily a principle which holds that the political and national unit should be congruent." Hobsbawm, *Nations and Nationalism since 1780*, p. 9, quoting and adopting Gellner's definition. However, their definition, by describing nationalism as an idea holding that states and nationalities should be coterminous, omits the many nationalisms that would claim their own state while also denying the statehood aspirations of other nationalities, and also omits more modest nationalisms that are content to allow a diaspora beyond their state borders.

or neutralized? How large are the risks to peace posed by nationalism in today's Europe, and how can these risks be minimized? In answer I offer unproven hypotheses that I leave untested for now. Our stock of hypotheses on the consequences of nationalism is meager, hence our first order of business should be to expand it. This can set the stage for empirical inquiry by others.<sup>5</sup>

Causes of war or peace can be classified as proximate (causes that directly affect the odds of war) or remote (causes of these proximate causes, or background conditions required for their activation.) I explore proximate causes first, then turn to remote causes. Specifically, the next section of this article identifies varieties of nationalism that are most likely to cause war (including both civil and inter-state war). The section that follows it identifies the causes of these dangerous varieties of nationalism and the conditions that govern the size of the dangers they produce. Twenty-one hypotheses are proposed in all—nine main hypotheses and twelve sub-hypotheses. Some focus on the impact of the environment that surrounds nationalist movements; this environment can incline the movement toward peaceful or toward warlike behavior. Others focus on the impact of the movement's internal character, especially its ideology and vision of history; this, too, can incline the movement toward peace or war. These hypotheses are highlighted because they are deductively sound, survive plausibility probes, and in some cases generate policy prescriptions. They are summarized in Table 1.<sup>6</sup> Viewed together, they suggest that the effects of nationalism are highly varied: some types of nationalism are far more dangerous than other types, all types of nationalism are more dangerous under some conditions than under others, and nationalism can even dampen the risk of war under some conditions.

If accepted, these hypotheses provide a checklist for assessing the dangers posed by a given nationalist movement or by the spread of nationalism in a given region. To illustrate, I use them in the concluding section to assess the risks that nationalism now poses in Europe, because Europe is a region in flux whose future is much debated. This exercise suggests that nationalism

5. A similar exercise whose example influenced my design is Robert Jervis, "Hypotheses on Misperception," *World Politics*, Vol. 20, No. 3 (April 1968), pp. 454–479; reprinted in Robert J. Art and Robert Jervis, ed., *International Politics: Anarchy, Force, Political Economy, and Decision Making*, 2nd ed. (Glenview, Ill.: Scott, Foresman, 1985), pp. 510–526.

6. The text of this article identifies factors that govern the size of the risk posed by nationalism, and explains the proposed causal relationship. Table 1 restates these factors and explanations as hypotheses.

**Table 1. Hypotheses on Nationalism and War: Summary.****I. IMMEDIATE CAUSES**

1. The greater the proportion of state-seeking nationalities that are stateless, the greater the risk of war.
2. The more that nationalities pursue the recovery of national diasporas, and the more they pursue annexationist strategies of recovery, the greater the risk of war.
3. The more hegemonistic the goals that nationalities pursue toward one another, the greater the risk of war.
4. The more severely nationalities oppress minorities living in their states, the greater the risk of war.

**II. CAUSES OF THE IMMEDIATE CAUSES AND CONDITIONS REQUIRED FOR THEIR OPERATION****Structural Factors:**

1. Stateless nationalisms pose a greater risk of war if they have the strength to plausibly reach for freedom, and the central state has the will to resist their attempt.
2. The more densely nationalities are intermingled, the greater the risk of war.
  - a. The risks posed by intermingling are larger the more local (house-by-house) rather than regional (province-by-province) the pattern of intermingling.
  - b. The risks posed by intermingling are larger if the rescue of diasporas by homelands is difficult but possible; smaller if rescue is either impossible or easy.
3. The greater the defensibility and legitimacy of borders, and the greater the correspondence between these political borders and communal boundaries, the smaller the risk of war.
  - a. The less secure and defensible the borders of emerging nation-states, the greater the risk of war.
  - b. The greater the international legitimacy of the borders of emerging nation-states, the smaller the risk of war.
  - c. The more closely the boundaries of emerging nation-states follow ethnic boundaries, the smaller the risk of war.

poses very little danger of war in Western Europe, but poses large dangers in the East, especially in the former Soviet Union. Current Western European nationalisms are benign, and the conditions required for a return to the malignant nationalisms of 1870–1945 are almost wholly absent. In contrast, many Eastern nationalisms have many (though not all) of the attributes that

**Table 1, cont.****Political/Environmental Factors:**

4. The greater the past crimes committed by nationalities toward one another, the greater the risk of war.
  - a. The better these crimes are remembered by the victims, the greater the risk of war.
  - b. The more that responsibility for past crimes can be attached to groups still on the scene, the greater the risk of war.
  - c. The less contrition and repentance shown by the guilty groups, the greater the risk of war.
  - d. The greater the coincidence of power and victimhood, the greater the risk of war.
5. The more severely nationalities oppress minorities now living in their states, the greater the risk of war. (This restates Hypothesis No. 1.4; I list it twice because it operates as both a direct and a remote cause of war.)

**Perceptual Factors:**

6. The more divergent are the beliefs of nationalities about their mutual history and their current conduct and character, the greater the risk of war.
  - a. The less legitimate the governments or leaders of nationalist movements, the greater their propensity to purvey mythical nationalist beliefs, hence the greater the risk of war.
  - b. The more the state must demand of its citizens, the greater its propensity to purvey mythical nationalist beliefs, hence the greater the risk of war.
  - c. If economic conditions deteriorate, publics become more receptive to scapegoat myths, hence such myths are more widely believed, hence war is more likely.
  - d. If independent evaluative institutions are weak or incompetent, myths will more often prevail, hence war is more likely.

I argue make nationalism dangerous; hence the risk of large-scale violence stemming from the now-rising tide of Eastern nationalism is substantial.

What prescriptions follow? The character and consequences of nationalism are not written in stone. The Western powers have some capacity to influence the character and consequences of Eastern nationalist movements, and

should try to channel it in benign directions. Most importantly, the Western powers should promote full respect for minority rights, democracy, and official respect for historical truth; if Eastern nationalisms adopt these programs, the risks they pose will sharply diminish.

### *Varieties of Nationalism: Which Cause War?*

Four primary attributes of a nationalist movement determine whether it has a large or small potential to produce violence. These are: (1) The movement's political status: is statehood attained or unattained? (2) The movement's stance toward its national diaspora (if it has one): if the movement has a national state, but some members of the nation are dispersed or entrapped beyond the state's borders, does the nation accept continued separation from this diaspora, or does it seek to incorporate the diaspora in the national state? And if it seeks the diaspora's incorporation, will it accomplish this by immigration or by territorial expansion? (3) The movement's stance toward other nations: does it respect or deny other nationalities' right to national independence? (4) The movement's treatment of its own minorities: are these minorities respected or abused?

#### IS NATIONAL STATEHOOD ATTAINED OR UNATTAINED?

Nationalist movements without states raise greater risks of war because their accommodation requires greater and more disruptive change. Their struggle for national freedom can produce wars of secession, which in turn can widen to become international wars. Their freedom struggle can also injure the interests of other groups, displacing populations whose new grievances sow the seeds of future conflict, as Zionism's displacement of the Palestinian Arabs in 1948 sowed the seeds of later Arab-Israeli wars. Finally, the appearance of new states creates a new, less mature regional international system that lacks "rules of the game" defining the rights and obligations of its members toward one another, and norms of international conduct; these rights, obligations, and norms can take years to define, raising the risk of crises and collisions in the meantime.

The international system tolerates change poorly, but the accommodation of new nationalist movements requires it.<sup>7</sup> Thus the first measure of the risks

7. The dichotomy between stateless and state-possessing nationalist movements is analogous to the dichotomy in international relations between "satisfied" and "dissatisfied" powers; the latter disturb the peace in their effort to gain satisfaction, while the former cause less trouble.

to the peace of a region posed by nationalism is found in the proportion of its nationalist movements that remain unfulfilled in statehood, a factor expressed in the nation-to-state ratio. Are the supply of and demand for states in equilibrium or disequilibrium? Peace in a region is more likely the more closely a supply/demand equilibrium is approached.<sup>8</sup> Modern nationalism disrupted peace over the past two centuries partly because so many of the world's current nationalist movements were stateless at the outset, requiring vast change to accommodate their emergence. Nationalism still threatens peace because its full accommodation would require vast additional change: the number of states in the world has more than tripled since World War II (up from the 50 signers of the UN Charter in 1945, to 180-odd states today), but many nationalities remain stateless; the world has some 6000 language groups,<sup>9</sup> many of which have dormant or manifest aspirations for statehood.

In Western Europe the transition of nations to statehood is largely behind us: that region's remaining stateless nationalities are relatively few and weak. In Eastern Europe and the former Soviet Union, the problem is more serious because the transition to statehood, while largely fulfilled, is still incomplete. The bulk of these stateless nationalities are found in the former Soviet Union; 15 of the 104 nationalities in the former USSR have attained states, but the other 89 have not; these stateless nationalities total 25.6 million people, comprising 10 percent of the former USSR's total population.<sup>10</sup> Most of these nationalities are not potential candidates for statehood (e.g., the Jews) but

8. Wars can result from having too many states, as well as too few. If states are too many, wars of national unification will result, as they did in Germany and Italy in the nineteenth century, and as they might someday in the Arab world. In Europe, however, the problem everywhere is an excess of demand for states over the supply.

9. Alan Thein Durning, *Guardians of the Land: Indigenous Peoples and the Health of the Earth*, Worldwatch Paper No. 112 (Washington, D.C.: Worldwatch Institute, December 1992), p. 9. Durning reports that measured by spoken languages the world has 6000 cultures. Of these some 4000-5000 are indigenous, and comprise some 10 percent of the world's population. See also Michael Krauss, "The Language Extinction Catastrophe Just Ahead: Should Linguists Care?" paper presented at the 15th International Congress of Linguists, Quebec City, Quebec, Canada, August 10, 1992. For another estimate see Gunnar P. Nielsson, "States and 'Nation-Groups': A Global Taxonomy," in Edward A. Tiryakian and Ronald Rogowski, eds., *New Nationalisms of the Developed West* (Boston: Allen and Unwin, 1985), pp. 27-56. He identifies a global total of 589 ethnic groups, most of which are stateless (p. 33). He also found that only 41 of 161 states surveyed were ethnically homogeneous (in which one ethnic group comprises over 95 percent of the state's population); see *ibid.*, Table 2.1, pp. 30-31.

10. These figures are for 1979, and are calculated from John L. Scherer, ed., *USSR Facts and Figures Annual*, Vol. 5 (Gulf Breeze, Fla.: Academic International Press, 1981), pp. 51-52. Of these stateless groups the ten largest are the Tatar (6.3 million), German (1.9 million), Jewish (1.8 million), Chuvash (1.8 million), Dagestan (1.7 million), Bashkir (1.4 million), Mordvin (1.2 million), Polish (1.2 million), Chechen (.8 million), and Udmurt (.7 million).

some might be (e.g., the Tatars, Chechen, Ingush, and Ossetians), and their reach for statehood could sow future friction.

ATTITUDE TOWARD THE NATIONAL DIASPORA: IS PARTIAL OR TOTAL NATIONAL UNITY PURSUED? ARE IMMIGRATIONIST OR EXPANSIONIST TACTICS USED?

Does the nationalist ideology posit that all or only a part of the national ethnic community must be incorporated in the national state? And if the whole nationality must be incorporated, will this be accomplished by immigration (bringing the diaspora to the state) or by territorial expansion (bringing the state to the diaspora)?

These questions suggest a distinction among three types of nationalism: "diaspora-accepting," "immigrationist," and "diaspora-annexing." Some nationalisms (the diaspora-accepting variety) are content with partial union (e.g., Chinese nationalism);<sup>11</sup> such nationalisms are less troublesome because they make fewer territorial demands on their neighbors. Some nationalisms (the immigrationist type) seek to incorporate their diasporas in the national state, but are content to pursue union by seeking immigration of the diaspora (current German nationalism and Zionist Jewish nationalism.) Such immigrationist nationalisms are also easy to accommodate. Finally, some nationalisms seek to incorporate their diasporas by means of territorial expansion (pre-1914 Pan-Germanism and current Pan-Serbianism are examples.) Such diaspora-annexing nationalisms are the most dangerous of the three, since their goals and tactics produce the greatest territorial conflict with others. Thus one scenario for war in the former Soviet Union lies in the possible appearance of a Pan-Russian nationalism that would seek to reincorporate by force the vast Russian diaspora now living in the non-Russian republics. This diaspora includes some 24 million Russians, or 17 percent of all Russians.<sup>12</sup> The future hinges heavily on whether Russian nationalism accepts separation from this diaspora (or seeks to ingather it by immigration), or instead forcibly seeks to annex it.<sup>13</sup>

11. The Chinese state has historically left the overseas Chinese to their own political devices. John E. Wills, "Maritime Asia, 1500-1800: The Interactive Emergence of European Domination," *American Historical Review*, Vol. 98, No. 1 (February 1993), pp. 83-105, at p. 87.

12. Calculated from Scherer, *USSR Facts and Figures Annual*, pp. 49-51.

13. Russia's extensive military meddling in the affairs of the other former Soviet republics during 1992-94 and the political rise of Vladimir Zhirinovskiy in 1993 warns that a new Russian expansionism is already emerging. On this military meddling see Thomas Goltz, "Letter From Eurasia: The Hidden Russian Hand," *Foreign Policy*, No. 92 (Fall 1993), pp. 92-116.

ATTITUDE TOWARD OTHER INDEPENDENT NATIONALITIES:  
TOLERANT OR HEGEMONISTIC?

Does the ideology of the nationalism incorporate respect for the freedom of other nationalities, or does it assume a right or duty to rule them? In other words, is the national ideology symmetrical (all nationalities deserve states) or asymmetrical (only our nationality deserves statehood; others should be denied it)?

Hegemonistic, or asymmetrical, nationalism is both the rarest and the most dangerous variety of nationalism. Interwar Nazi nationalism in Germany, fascist nationalism in Mussolini's Italy, and militarist nationalism in imperial Japan illustrate such hegemonistic nationalism; the wars they caused illustrate its results.<sup>14</sup> No European nationalism today displays such hegemonism, but the vast trouble that it caused in the past advises alertness to its possible reappearance in Europe or elsewhere.

THE DEGREE OF NATIONAL RESPECT FOR MINORITY RIGHTS: HIGH OR LOW?

Is the nationalism minority-respecting, or minority-oppressing? A minority-respecting nationalism grants equal rights to other nationalities lying within the boundaries of its claimed state; it may even grant their right to secede and establish their own state. A minority-oppressing nationalism denies such rights to these other nationalities, subjugating them instead. Many of the nationalisms of immigrant nations (American, Anglo-Canadian) have been relatively minority-respecting (in the Canadian case this includes a tacit right to secession, which the Quebecois may soon exercise.) Non-immigrant nationalisms often display far less tolerance for their minorities: prominent current examples include Iraq's and Turkey's oppression of their Kurdish minorities, Bulgaria's oppression of its Turks, China's cruelties in Tibet, Croatia's intolerance toward its Serb minority, and Serbian oppression of its

14. On twentieth-century German nationalism, see Louis L. Snyder, *German Nationalism: The Tragedy of a People*, 2nd ed. (Port Washington, New York: Kennikat Press, 1969); Louis L. Snyder, *From Bismarck to Hitler: The Background of Modern German Nationalism* (Williamsport: Bayard Press, 1935); and Hans Kohn, *The Mind of Germany: The Education of a Nation* (New York: Harper and Row, 1960). On official ideas and perceptions in fascist Italy see Denis Mack Smith, *Mussolini's Roman Empire* (Harmondsworth, U.K.: Penguin, 1977). On domestic currents in imperial Japan see Saburo Ienaga, *The Pacific War, 1931-1945* (New York: Pantheon, 1978); and Ienaga, "The Glorification of War in Japanese Education," *International Security*, Vol. 18, No. 3 (Winter 1993/94), pp. 113-133. Nationalism is not, of course, the only possible source of claims against neighbors. These can also arise from non-nationalist expansionist political ideologies (communism), from hegemonistic religious ideas (the crusading Christianity of the middle ages), from safety concerns arising from the security dilemma, from economic greed, and so forth.

Slavic Moslem and Albanian minorities. Nazi German nationalism was an extreme case of a minority-oppressing nationalism.

The first three attributes—*is statehood attained? attitude toward diaspora? attitude toward other independent nationalities?*—define the scope of a nationalist movement's claims against others; conversely, the fourth attribute—*policy toward minorities?*—helps determine the scope of others' claims against the movement. The larger these others' goals become, the more they will collide with the movement's goals, raising the risk of war. Minority-oppressing nationalism can cause war in two ways: (1) by provoking violent secessions by its captive nations; or (2) by spurring the homelands of these captive nations to move forcefully to free their oppressed co-nationals<sup>15</sup> (as Croatian threats against the Serb minority in Croatia helped spawn the Serb attack on Croatia in 1991).<sup>16</sup> Minority-oppressing nationalism is most dangerous if the oppressed minorities have nearby friends who have the capacity to protect the oppressed nation by force. (The Serbo-Croat war exploded partly because Croatia's Serbs had such a friend in Serbia). The attitude of many nationalisms in Eastern Europe and the former Soviet Union toward their minorities remains undefined, and the future hinges on whether they evolve toward minority respect or oppression.

These four attributes can be used to create a nationalism "danger-scale," expressing the level of danger posed by a given nationalism, or by the spread of nationalism in a given region. If all four attributes are benign, the nationalism poses little danger of war, and may even bolster peace. Specifically, a nationalism is benign if it has achieved statehood; has limited unity goals (i.e., accepts the existence of any unincorporated diaspora) or adopts an immigrationist strategy for ingathering its diaspora; posits no claim to rule other nationalities living beyond its national territory; and respects the rights of minorities found in this territory. Multiplied, such nationalisms may even dampen the risk of war, by making conquest more difficult: where these nationalisms are prevalent, conquest is harder because nation-states are

15. Thus the second and fourth attributes are related: if some states oppress their minorities (the fourth attribute) this affects other states' propensity to pursue diaspora recovery (the second attribute).

16. On the war's origins, including the important role of Croatia's pre-war threats against its Serb minority, see Misha Glenny, "The Massacre of Yugoslavia," *New York Review of Books*, January 30, 1992, pp. 30–35, at 30–31; and Misha Glenny, *The Fall of Yugoslavia: The Third Balkan War* (London: Penguin, 1992), pp. 12–14, 123. An account stressing international aspects of the war's origins is Morton H. Halperin and David J. Scheffer with Patricia L. Small, *Self-Determination in the New World Order* (Washington, D.C.: Carnegie Endowment, 1992), pp. 32–38.

among the most difficult type of state to conquer (since nationalism provides an inspirational liberation doctrine that can be used to mobilize strong popular resistance to conquest).<sup>17</sup> As a result strong states will be deterred from reaching for regional or global hegemony, and will also be less fearful that others might achieve it; hence all states will compete less fiercely with one another.<sup>18</sup> In contrast, a nationalism is bound to collide with others if all four attributes are malign: If the nationalism has no state, the risk of civil war arising from its struggle for national independence is increased; this also raises the risk of inter-state war, since civil war can widen to engulf nearby states. If, after achieving statehood, the nationalism seeks to incorporate a diaspora by force, oppresses minorities found in its claimed national territory, and seeks hegemony over nationalities lying beyond that territory, violence between the nationalism and its neighbors is inevitable.

### *Causes and Conditions for War-Causing Nationalism*

What factors determine whether these four variables will have benign or malignant values? What conditions are required for malignant values to have malignant effects? The deciding factors and conditions are grouped below into three broad families: structural (those arising from the geographic and demographic arrangement of a nation's people); political-environmental (those arising from the past or present conduct of a people's neighbors); and perceptual (those arising from the nationalist movement's self-image and its

17. On the greater peacefulness of a defense-dominant world, see Robert Jervis, "Cooperation Under the Security Dilemma," *World Politics*, Vol. 30, No. 2 (January 1978), pp. 167–214.

18. Thus the evident power of nationalism helped dampen Soviet-American competition during the Cold War, by persuading some in the West that nationalism imposed a natural limit on Soviet expansion. These observers argued that the Western powers need not actively check Soviet expansionism at every point because local nationalism could defeat it alone, nor move actively to roll back Soviet gains, because these gains would eventually be rolled back by indigenous nationalism, and in the meantime nationalist resistance would bleed Soviet power. For example, George Kennan took a calm approach to containment partly because he believed that resistant local nationalism would check Soviet expansion in the short run, and would rend the Soviet empire in the long run. See John Lewis Gaddis, *Strategies of Containment: A Critical Appraisal of Postwar American National Security Policy* (New York: Oxford University Press, 1982), pp. 42–48. Other arguments for Cold War restraint that rested in part on the power of nationalism included Arthur M. Schlesinger, *The Bitter Heritage: Vietnam and American Democracy 1941–1968*, rev. ed. (Greenwich: Fawcett, 1968), pp. 78–80; Jerome Slater, "Dominos in Central America: Will They Fall? Does It Matter?" *International Security*, Vol. 12, No. 2 (Fall 1987), pp. 105–134, at 113; and Stephen M. Walt, "The Case for Finite Containment," *International Security*, Vol. 14, No. 1 (Summer 1989), pp. 3–49, at 26–27. Had nationalism been weaker, these arguments would have lost force, leaving a stronger case for more aggressive American policies.

images of others, including its images of both sides' past and present conduct and character).

STRUCTURAL FACTORS: THE GEOGRAPHIC, DEMOGRAPHIC,  
AND MILITARY SETTING

The size of the risks posed by nationalism is influenced by the balance of power and of will between stateless nationalisms and the central states that hold them captive; by the degree and pattern of regional ethnic intermingling; by the defensibility and legitimacy of the borders of new national states; and by the correspondence of these borders with ethnic boundaries.

THE DOMESTIC BALANCE OF POWER AND OF WILL. Unattained nationalisms are more troublesome under two conditions: (1) the movement has the strength to reach plausibly for statehood; and (2) the central state has the will to resist this attempt.

Stateless nationalisms whose statehood is unattainable will lie dormant, their emergence deterred by the power of the central state.<sup>19</sup> Nationalism becomes manifest and can produce war when the power-balance between the central state and the captive nationalism shifts to allow the possibility of successful secession. Thus two safe conditions exist: where national statehood is already attained; and where it is not attained, but clearly cannot be. The danger zone lies between, in cases where statehood has not been attained yet is attainable or appears to be.<sup>20</sup> In this zone we find wars of nationalist secession.<sup>21</sup> Such conflicts can, in turn, grow into international wars: examples include the 1912–14 Balkan secessionist struggles that triggered World War I, and the 1991–92 Serbo-Croatian conflict.

19. If nationalism is unattainable it may not even appear: the captive nation will submerge the nationalist thought. This is similar to the realist argument that imperialism is a function of capability: states imperialize simply when and where they can. Likewise, and conversely, nationalism is in part simply a function of capability: it emerges where it can.

20. We can scale up this logic from single states to regions by asking: do nations have states in proportion to their power? That is, does the state-to-nation ratio correspond with the state-to-nation power ratio? Or do nations have fewer states than their power justifies? If the former is the case, peace is more likely. But if nations have fewer states than their power would allow, trouble results in the form of wars of secession.

21. Overall, then, three variables matter: (1) the supply of states; (2) the demand for states; (3) the capacity of submerged nations to acquire states. Peace is stronger if supply and demand are in equilibrium; or if supply and capacity are in equilibrium. In one case, nationalism is satisfied; in the other, it is dissatisfied but impotent. Dangers arise if both supply and demand, and supply and capacity, are not in equilibrium. We then have submerged nationalisms that both desire and can assert the demand for statehood.

The Third World nationalisms of the twentieth century erupted partly because the spread of small arms and literacy shifted the balance of power in favor of these nationalisms, and against their imperial captors. Nationalism emerged because it could. Likewise, nationalism exploded in the former Soviet Union in the late 1980s partly because Soviet central power had waned.

War is inevitable if central states have the will to resist emerging nationalist/secessionist movements, but these movements can win freedom without violence if that will is missing. Many sub-Saharan African states gained freedom in the 1960s without violence because the European colonial powers lost their imperial will. Likewise, the emergence of non-Russian nationalisms in the former Soviet Union was accompanied by (and encouraged by) the loss of imperial will in Moscow; this loss of will at the center allowed the non-Russians to escape the Soviet empire without waging wars of secession. French decolonization was far more violent, spawning large wars in Vietnam and Algeria, because the French metropole retained its will even after nationalism gained momentum in the French empire.

The will of the central state is largely governed by its domestic politics, but is also determined partly by demographic facts. Specifically, central governments can allow secession more easily if secession would leave a homogeneous rump central state, since permitting secession then sets a less damaging precedent. Thus the Czechs could accept Slovak independence without fear of setting a precedent that would trigger another secession, since there is no potential secessionist group in the rump Czech Republic. Likewise, the United States could grant independence to the Philippines fairly easily in 1946 because the United States had few other colonies, and none of these were large or valuable, hence Philippine independence set no dangerous precedents. Conversely, the Austro-Hungarian empire strongly resisted secessions before 1914 because the empire contained many potential secessionists who might be encouraged if any secession were allowed.

THE DEMOGRAPHIC ARRANGEMENT OF NATIONAL POPULATIONS: ARE THEY INTERMINGLED OR HOMOGENEOUS? Are nationality populations densely intermingled? If they are, does this create large or small national diasporas? Intermingling raises the risk of communal conflict during the struggle for national freedom, as groups that would be trapped as minorities in a new national state oppose its reach for freedom. Dispersion and intermingling will also trap some co-ethnics outside the boundaries of their nation-states; this raises the danger that new nation-states will pursue diaspora-recovering

expansionism after they gain statehood, and the possibility that their abuse of minorities will trigger attack from outside.<sup>22</sup>

These dangers are reduced if national populations are compact and homogenous—diasporas and minorities then occur only if political boundaries fail to follow ethnic boundaries. They are intensified if the nationality is dispersed abroad, and intermingled with others at home. The Czechs, for example, can pursue nationalism with little risk to the peace of their neighborhood, because they have no diaspora abroad, and few minorities at home. They need not limit their goals or learn to accommodate minorities. The 1947 partition of India was a far bloodier process than the 1992 Czech-Slovak divorce partly because Hindus and Moslems were far more intermingled than Czechs and Slovaks. The partition of Yugoslavia has been especially violent partly because nationalities in former Yugoslavia are more densely intermingled than any others in Eastern or Western Europe outside the former Soviet Union.<sup>23</sup>

Overall, nationalism poses greater dangers in Eastern than Western Europe because the peoples of Eastern Europe are more densely intermingled. A survey of Eastern Europe reveals roughly a dozen minority group pockets that may seek independence or be claimed by other countries.<sup>24</sup> The ethno-

22. The scope and structure of intermingling governs the acuteness of what might be called the "inter-ethnic security dilemma": this dilemma is posed where one group cannot achieve physical security without diminishing the physical security of other groups. It is analogous to the interstate security dilemma of international relations, except that the clashing units are ethnic or culture groups, not states.

23. Moreover, Yugoslavia's one easy secession—that of Slovenia—was easy because the Slovene population was not intermingled with others. An excellent ethnographic map of the former Yugoslavia that details its intermingling is Central Intelligence Agency, "Peoples of Yugoslavia: Distribution by Opstina, 1981 Census," Map No. 505956 9-83 (543994). A useful though less detailed ethnographic map covering all of Eastern Europe including former Yugoslavia is Central Intelligence Agency, "Ethnic Majorities and Minorities," in Central Intelligence Agency, *Atlas of Eastern Europe* (Washington, D.C.: U.S. Government Printing Office [U.S. GPO], August 1990), p. 6. A good ethnographic map of the former USSR is National Geographic Society, "Peoples of the Soviet Union," supplement to *National Geographic*, Vol. 149, No. 2 (February 1976), p. 144A; back issues of *National Geographic* containing this map are available from the National Geographic Society, Washington, D.C.

24. These include Hungarians in Romania, Slovakia, and Serbia; Poles in Lithuania, Belarus, Ukraine, and the Czech Republic; Germans in Poland and the Czech Republic; Turks in Bulgaria; Greeks in Albania; Albanians in Serbia and Macedonia; Croats in Bosnia-Herzegovina; and Serbs in Croatia and Bosnia-Herzegovina. Summaries include F. Stephen Larrabee, "Long Memories and Short Fuses: Change and Instability in the Balkans," *International Security*, Vol. 15, No. 3 (Winter 1990/91), pp. 58–91; Istvan Deak, "Uncovering Eastern Europe's Dark History," *Orbis*, Vol. 34, No. 1 (Winter 1989), pp. 51–65; Barry James, "Central Europe Tinderboxes: Old Border Disputes," *International Herald Tribune*, January 1, 1990, p. 5; and the CIA map cited above, "Ethnic Majorities and Minorities, 1990."

graphic structure of the former Soviet Union is even more ominous; an ethnographic map of the former USSR reveals massively intermingled nationalities, scattered in scores of isolated pockets, a mosaic far more tangled and complex than any found elsewhere in Europe except the former Yugoslavia.<sup>25</sup>

Two aspects of intermingling determine the size of the dangers it poses: the scope of intermingling, and the pattern of intermingling. All intermingling causes trouble, but some patterns of intermingling cause more trouble than others.

Groups can be intermingled on a regional scale (regions are heterogeneous, small communities are homogeneous) or local scale (even small communities are heterogeneous, as in Sarajevo.) Regional intermingling is more easily managed, because inter-group relations can be negotiated by elites. In contrast, elites can lose control of events when intermingling extends to the local level: conflict can flare against the wishes of elites when unofficial killers seize the agenda by sparking a spiral of private violence. Local intermingling can also produce conflict-dampening personal friendships and inter-ethnic marriages, but the Bosnian conflict shows the limits of this tempering effect. Overall, local intermingling is more dangerous.

The most dangerous pattern of regional intermingling is one that leaves elements of one or both groups insecurely at the mercy of the other, but also allows for the possibility of forcible rescue—either by self-rescue (secession) or external rescue (intervention by an already-free homeland).

If rescue is impossible, then the goal of secession or reunion with a homeland will be abandoned. Israel cannot rescue Soviet Jewry, except by immigration, and Ukraine cannot rescue the Ukrainian diaspora in Russia; hence neither considers forceful rescue. This lowers the risk of war.

If rescue is easy, it may not be attempted, since the threat of rescue is enough to deter abuse of the diaspora. Russia could fairly easily rescue the Russian minority in the Baltics and perhaps elsewhere on the Russian periphery, because much of the Russian diaspora lies clustered near the Russian

25. See the maps cited in note 23 above. Overall, 16 percent of the titular peoples of the 15 successor states of the former Soviet Union, totalling 39 million people, live outside their home states ("titular peoples": the peoples after whom republics are named, e.g., Armenians, Kazakhs, Russians, etc.). Calculated from Scherer, *USSR Facts and Figures Annual*, pp. 49–51. And, as noted above, another 10 percent of the former Soviet population (26 million people) are members of the 89 smaller nationalities without titular home republics ("titular home republic": a republic named after the nationality).



border, and Russia holds military superiority over its neighbors. These power realities may deter Russia's neighbors from abusing their Russian minorities, leaving Russia more room to take a relaxed attitude.<sup>26</sup>

It is in-between situations—those where rescue is possible, but only under optimal conditions—that are most dangerous. This situation will tempt potential rescuers to jump through any windows of opportunity that arise. Forceful rescue is then driven by both fear and opportunity—fear that later the abuse of diasporas cannot be deterred by threatening to rescue them (since the difficulty of rescue will rob that threat of credibility), and by the opportunity to rescue the diaspora now by force.<sup>27</sup> Thus Serbia would have probably been unable to rescue the Serb diaspora in normal times: Serbia is too weak, and the Serbian diasporas in Croatia and Bosnia are too distant from Serbia. But rescue was feasible if Serbia made the attempt at a moment of peak Serbian military advantage. Such a moment emerged in 1990, after Serbia consolidated the weaponry of the Yugoslav army under its control, but before the Croatian and Bosnian states could organize strong militaries.<sup>28</sup> In contrast, such a moment may never emerge for Russia, because it can always rescue large parts of its diaspora should the need ever arise, leaving less need to seize an early opportunity.

These in-between situations are most troublesome when the diaspora is separated from the homeland by lands inhabited by others: wars of rescue then cause larger injury. In such cases rescue requires cutting a secure corridor through these lands; this, in turn, requires the forcible expulsion of the resident population, with its attendant horrors and cruelties. In 1991 the Serbian diaspora in Croatia and Bosnia was cut off from the Serb homeland by walls of Moslem-inhabited territory,<sup>29</sup> and the vast Serbian cruelties against the Bosnian Moslems during 1992–93 grew mainly from Serbia's effort to punch corridors through these walls in order to attach these diasporas to Serbia proper. In contrast, more of Russia's diaspora is contiguous to Russia, hence a Russian war of rescue would do relatively less harm to others innocently in the way (though it would still do plenty of harm).

26. Making this argument is Posen, "The Security Dilemma and Ethnic Conflict," pp. 32–35.

27. See Posen, "The Security Dilemma and Ethnic Conflict," pp. 32–38.

28. The intensification of fighting between Armenia and Azerbaijan in 1991–92 had similar origins: Armenia moved to free Nagorno-Karabakh at a moment that Armenia's power relative to Azerbaijan's was at its peak.

29. See Central Intelligence Agency, "Peoples of Yugoslavia."

**BORDERS: DEFENSIBILITY, LEGITIMACY, AND BORDER/ETHNIC CORRESPONDENCE.** The risks to peace posed by a nationalism's emergence are governed partly by the defensibility and international legitimacy of the nation's borders, and by the degree of correspondence between these political borders and ethnic boundaries.

The satisfaction of national demands for statehood extends international anarchy by creating more states: hence nationalism's effects are governed partly by the character of the extended anarchy that it creates. Some anarchies are relatively peaceful, others more violent. The acuteness of the security dilemma is a key factor governing the answer. Anarchy is a precondition for international war, hence extending anarchy may expand the risk of war, but this is not always the case: the fragmentation of states can deepen peace if it leaves the world with states that are more difficult to conquer, hence are more secure, than the older states from which they were carved. The character of boundaries helps decide the issue: if the new borders are indefensible, the net impact of the creation of new national states will be warlike; if borders are highly defensible, the net impact may be peaceful.<sup>30</sup>

Defensible boundaries reduce the risk of war because they leave new states less anxious to expand for security reasons, while also deterring others from attacking them. The nations of Western Europe can be more peaceful than those of the East because they are endowed with more defensible borders: the French, Spanish, British, Italian, and Scandinavian nations have natural defenses formed by the Alps and the Pyrenees, and by the waters of the English Channel, the Baltic, and the North Sea. Icelandic nationalism is especially unproblematic because geography makes Iceland unusually secure, and almost incapable of attack. In contrast, the nationalities living on the exposed plains of Eastern Europe and western Asia contend with a harsher geography: with few natural barriers to invasion, they are more vulnerable to attack, hence are more tempted to attack others in preemptive defense.<sup>31</sup> They are therefore more likely to disturb the status quo, or to be victims of other disturbers.

The international legitimacy of a new nation's borders helps determine the level of danger raised when it gains independence: if borders lack interna-

30. The new states may also be more defensible than their parent states because they can call upon nationalism as a mobilizing defensive force, as their multi-ethnic parent states could not.

31. Likewise, Germany has produced the most troublesome Western nationalism partly because German borders are relatively exposed.

tional legitimacy or are unsettled altogether, demands for border changes will arise, providing new occasions for conflict. The successor states of the former Soviet Union find themselves with borders drawn by Stalin or other Bolshevik rulers; these have correspondingly small legitimacy. Israel's post-1948 boundaries at first lacked international legitimacy because they had no historical basis, having arisen simply from truce lines expressing the military outcome of the 1948 war. In contrast, the borders of the recently-freed states of Eastern Europe have greater legitimacy because they have firmer grounding in history, and some were the product of earlier international negotiation and agreement.

Borders may bisect nationalities, or may follow national demographic divides. Nation-bisecting borders are more troublesome, because they have the same effect as demographic intermingling: they entrap parts of nationalities within the boundaries of states dominated by other ethnic groups, giving rise to expansionism by the truncated nation. Thus Hungary's borders bisect (and truncate) the Hungarian nation, giving rise to a (now dormant but still surviving) Hungarian revanchism against Slovakia, Serbia, and Rumania.<sup>32</sup> The Russian/Ukrainian border bisects both nationalities, creating the potential for movements to adjust borders in both countries.

The borders of new states can arise in two main ways: from violent military struggle (e.g., Israel) or as a result of cession of sovereignty to existing administrative units whose boundaries were previously defined by the parent multiethnic state (e.g., former Soviet Union). War-born borders often have the advantage of following ethnic lines, because the cruelties of war often cause ethnic cleansing, and offensives lose strength at ethnic boundaries; inherited administrative borders (e.g., the boundaries of Azerbaijan, which entrap the Armenians of Nagorno-Karabakh) more often plant the charge of future conflict by dividing nations and creating diasporas. The peaceful dissolution of the former Soviet Union was thus a mixed blessing: its successor states emerged without violence, but with borders that captured unhappy diasporas behind them.

32. On latent Hungarian revanchism see, for example, Judith Ingram, "Boys Impatient for 'Great Hungary' to Take Wing," *New York Times*, January 15, 1993, p. A4. On its official manifestations see Stephen Engelberg with Judith Ingram, "Now Hungary Adds Its Voice to the Ethnic Tumult," *New York Times*, January 25, 1993, p. A3.

POLITICAL/ENVIRONMENTAL FACTORS: HOW HAVE NEIGHBORS BEHAVED?

HOW DO THEY NOW BEHAVE?

The conduct of nationalities and nation-states mirrors their neighbors' past and present conduct.

PAST CONDUCT: WERE GREAT CRIMES COMMITTED? The degree of harmony or conflict between intermingled nationalities depends partly on the size of the crimes committed by each against the other in the past; the greater these past crimes, the greater the current conflict. Memories of its neighbors' cruelties will magnify an emerging nation's impulse to ingather its diaspora, converting the nation from a diaspora-accepting to a diaspora-annexing attitude. Thus the vast Croatian mass-murders of Serbs during the 1940s were the taproot that fed violent pan-Serbianism after 1990: Serbs vowed "never again," and argued that they must incorporate the Serbian diaspora in Croatia to save it from new pogroms.<sup>33</sup> Past suffering can also spur nations to oppress old tormentors who now live among them as minorities, sparking conflict with these minorities' home countries. Thus the past horrors inflicted on the Baltic peoples by Stalinism fuels their discrimination against their Russian minorities today;<sup>34</sup> this discrimination, in turn, feeds anti-Baltic feeling in Russia. In contrast, non-victim nations are less aggressive toward both neighbors and minorities. Czech nationalism is benign partly because the Czechs have escaped real victimhood; Quebec nationalism is mild for the same reason.

Mass murder, land theft, and population expulsions are the crimes that matter most. Past exterminations foster diaspora-recovering ideologies that are justified by self-protection logic. Past land theft fosters territorial definitions of nationhood (e.g., the Israeli Likud's concept of "the Land of Israel," a place including once-Jewish lands that Likud argues were wrongfully taken by others) and claims to land that excludes the rights of peoples now on that land (the Likud rejects equal rights for the Palestinian inhabitants of these

33. See Bette Denich, "Unbury the Victims: Nationalist Revivals of Genocide in Yugoslavia," Paper presented at the American Anthropological Association Annual Meeting, Chicago, Illinois, November 1991.

34. On the Baltic states' policies see Steven Erlanger, "Baltic Identity: Russians Wonder If They Belong: New Citizenship Rules May in Effect Expel the Ex-Occupiers," *New York Times*, November 22, 1992, p. 1. This Baltic anti-Russian discrimination reflects the great cruelties inflicted on the Baltic peoples by Stalin's government: during the years 1940-49 some 36 percent of the indigenous population of Latvia, 33 percent of the indigenous population of Estonia, and 32 percent of the indigenous population of Lithuania were killed, deported, or driven into exile. Dag Sebastian Ahlander, "Help Baltics Deal with Russian Minority," *New York Times* (letter to the editor), December 6, 1992, p. E18.

once-Jewish lands; Serbs likewise reject equal rights for Albanian Kosovars who Serbs claim wrongfully took Serb land). Past expulsions and dispersions feed diaspora-intolerance: if others created the diaspora, it is argued, then others should pay the price for restoring the diaspora to the nation by making territorial concessions.

The scope of the dangers posed by past crimes is a function, in part, of whether these crimes are remembered, and whether victims can attach responsibility for crimes to groups that are still present. Crimes that have faded in the victims' memories have a less corrosive effect on intergroup relations; thus mayhem that occurred before written records poses fewer problems than more recent crimes that are better-recorded.<sup>35</sup>

Crimes committed by groups still on the scene pose more problems than crimes committed by vanished groups. This, in turn, is a matter of interpretation: who committed the crime in question? Can inherited blame be attached to any present group? Thus the Ukrainians can assess responsibility for Stalin's vast murders of Ukrainians in several ways.<sup>36</sup> Were they committed by a crazed Georgian? This interpretation is benign: it points the finger at a single man who is long gone from the scene. Were they committed by that now-vanished tribe, the Bolsheviks? This interpretation is also benign: those responsible have miraculously disappeared, leaving no target for violence. Or, more ominously, were these the crimes of the Russian empire and the Russian people? This interpretation would guarantee bitter Russian-Ukrainian conflict, because the crimes in question were so enormous, and many of the "criminals" live in Ukraine,<sup>37</sup> making ready targets for hatred, and setting the stage for a Russian-Ukrainian conflict-spiral. Such a spiral is more likely because Russians would not accept the blame assigned them: they count themselves among the victims, not the perpetrators, of Bolshe-

35. For example, native Americans can coexist, albeit uneasily, with European immigrants partly because the enormous horrors that the Europeans inflicted on the natives have faded into the mists of history. On these horrors see David E. Stannard, *American Holocaust: Columbus and the Conquest of the New World* (New York: Oxford University Press, 1992). Stannard estimates that the native population of the Americas fell by roughly 95 percent—in absolute numbers by about 71–95 million people—after the European arrival in 1492 (p. 268). If so, this was the greatest human-caused human death in world history.

36. On these murders see Robert Conquest, *The Harvest of Sorrow: Soviet Collectivization and the Terror-Famine* (New York: Oxford University Press, 1986). Stalin's other crimes are covered in Robert Conquest, *The Great Terror: A Reassessment* (New York: Oxford University Press, 1990).

37. Ukraine contains 10.5 million Russians, 21 percent of its total population. Calculated from Scherer, *USSR Facts and Figures Annual*, p. 49.

vism's crimes, and they would view others' demands that they accept blame as a malicious outrage.

The danger posed by past crimes also depends on the criminal group's later behavior: has it apologized or otherwise shown contrition? Or has it shown contempt for its victims' suffering? Nazi Germany's crimes were among the greatest in human history, but Germany has re-established civil relations with its former victims by acknowledging its crimes and showing contrition, e.g., by postwar German leaders' public apologies and symbolic acts of repentance. Conversely, Turkey has denied the great crimes it committed against the Armenian people during World War I,<sup>38</sup> this display of contempt has sustained an Armenian hatred that is still expressed in occasional acts of violent anti-Turkish retribution.

A final significant factor lies in the degree of coincidence of power and victimhood. Are the groups with the greatest historic grievances also the groups with the greatest power today? Or is past victimhood confined to today's weaker groups? Things are more dangerous when power and aggrievement coincide, since this combination brings together both the motive and the capacity to make trouble; when power and aggrievement are separated, grievances have less effects. On this count the past crimes of the Russian and Bolshevik states leave a less dangerous legacy than the crimes committed in the former Yugoslavia during World War II, because the strongest group in the former Soviet Union (the Russians) is the least aggrieved; in contrast, in former Yugoslavia the strongest group (the Serbs) is the most aggrieved.

**CURRENT CONDUCT: ARE MINORITY RIGHTS RESPECTED?** As noted earlier, nations are less diaspora-accepting if others abuse the rights of that diaspora; such abuse magnifies the impulse to incorporate the territory of the diaspora by force. Thus Serbia's 1991 attack on Croatia was spurred partly by Croatian threats against the Serbian minority.<sup>39</sup> Likewise, Russia's attitude toward the

38. On Turkish denial of these murders see Roger W. Smith, "The Armenian Genocide: Memory, Politics, and the Future," in Richard G. Hovannisian, ed. *The Armenian Genocide: History, Politics, Ethics* (New York: St. Martin's, 1992), pp. 1–20; Vahakn N. Dadrian, "Ottoman Archives and Denial of the Armenian Genocide," in Hovannisian, *Armenian Genocide*, pp. 280–310; and Roger W. Smith, "Genocide and Denial: The Armenian Case and Its Implications," *Armenian Review*, Vol. 42 (Spring 1989), pp. 1–38. On the general disappearance of the Armenian people from Turkish historical writings, see Clive Foss, "The Turkish View of Armenian History: A Vanishing Nation," in Hovannisian, *Armenian Genocide*, pp. 250–279.

39. Glenny, "The Massacre of Yugoslavia," pp. 30–31; and Glenny, *The Fall of Yugoslavia*, pp. 12–14, 123.

Russian diaspora will be governed partly by the treatment of the Russian diaspora in their new homelands. Oppressive policies will provoke wider Russian aims.<sup>40</sup>

#### PERCEPTUAL FACTORS: NATIONALIST SELF-IMAGES AND IMAGES OF OTHERS

The effects of nationalism depend heavily on the beliefs of nationalist movements, especially their self-images and their images of their neighbors. Nations can co-exist most easily when these beliefs converge—when they share a common image of their mutual history, and of one another's current conduct and character. This can be achieved either by common convergence of images on something close to the "truth," or by convergence on the same distortion of the truth. Relations are worst if images diverge in self-justifying directions. This occurs if nations embrace self-justifying historical myths, or adopt distorted pictures of their own and others' current conduct and character that exaggerate the legitimacy of their own cause. Such myths and distortions can expand a nation's sense of its right and its need to oppress its minorities or conquer its diaspora. If carried to extreme such myths can also transform nationalism from symmetrical to asymmetrical—from a purely self-liberating enterprise into a hegemonistic enterprise.<sup>41</sup>

40. Even moderate Russian officials have voiced deep concern over the rights of Russian minorities in nearby states. See, for example, Sergei Stankevich, "Russia in Search of Itself," *The National Interest*, No. 28 (Summer 1992), pp. 47–51, at 49–51; and "Four Comments" in *ibid.* pp. 51–55, at 51–53. They have so far proposed solutions within the framework of international law and institutions: for example, Russian Foreign Minister Andrei Kozyrev suggested in 1992 that the UN establish a mechanism to protect the rights of Russians in non-Slavic former Soviet republics. Thomas Friedman, "Russian Appeals to U.N. to Safeguard Minorities," *New York Times*, September 23, 1992, p. A17. If the rights of these minorities remain otherwise unprotected, however, it seems likely that Russia will act on its own to protect them.

41. In the past I referred to such myth-poisoned nationalism as "hypernationalism." See Stephen Van Evera, "Primed for Peace," *International Security*, Vol. 15, No. 3 (Winter 1990/1991), pp. 7–57, at 47–48n ("Hypernationalism is artificially generated or magnified by chauvinist myths. Conflicts arising from hypernationalism thus derive from the beliefs of nations," not from their circumstances.) However, my usage is narrower than others: see, for example, John Mearsheimer, who defines hypernationalism as the belief that other nationalities are "both inferior and threatening," and as an "attitude of contempt and loathing" toward other nations; Mearsheimer suggests these beliefs can arise from false propaganda or from real experience. John Mearsheimer, "Back to the Future: Instability in Europe After the Cold War," *International Security*, Vol. 15, No. 1 (Summer 1990), pp. 5–56, at 21. Others use the term "hypernationalism" still more broadly to refer to any type of nationalism that spawns aggressive conduct and war. I avoid the term in this paper because it has acquired these several meanings. I regret adding to the confusion, and suggest we settle on a single usage—probably Mearsheimer's, since it has seniority.

Chauvinist mythmaking is a hallmark of nationalism, practiced by nearly all nationalist movements to some degree.<sup>42</sup> These myths are purveyed through the schools, especially in history teaching;<sup>43</sup> through literature; or by political elites. They come in three principal varieties: self-glorifying, self-whitewashing, and other-maligning. Self-glorifying myths incorporate claims of special virtue and competence, and false claims of past beneficence toward others.<sup>44</sup> Self-whitewashing myths incorporate false denial of past wrongdoing against others.<sup>45</sup> Both types of myths can lead a nation to claim a right

42. Indeed, the intellectual history of Western nationalisms is largely a record of false claims of special self-virtue and of overwrought blaming of others. See examples in Shafer, *Faces of Nationalism*, pp. 313–342. However, myth is not an essential ingredient of nationalism: nationalism can also rest on a group solidarity based on truth, and the effects of nationalism are largely governed by the degree of truthfulness of the beliefs that a given nationalism adopts; as truthfulness diminishes, the risks posed by the nationalism increase.

43. As Ernst Renan has said, "Getting its history wrong is part of being a nation." Quoted in Hobsbawm, *Nations and Nationalism since 1780*, p. 12.

44. World War I-era European nationalists provide abundant examples of such self-glorification. General Friedrich Bernhardt, the German army's main propagandist, proclaimed in 1912 that the Germans are "the greatest civilized people known to history," and have "always been the standard-bearers of free thought" and "free from prejudice." Friedrich von Bernhardt, *Germany and the Next War*, trans. Allen H. Powles (New York: Longmans, Green, 1914, first published in Germany in 1912), pp. 14, 72. In 1915 German economist Werner Sombart declared that the Germans were "the chosen people of this century," and that this chosenness explained others' hostility: "Now we understand why other people hate us. They do not understand us but they fear our tremendous spiritual superiority." Kohn, *Mind of Germany*, p. 300–301. Richard Dehmel, a German writer, proclaimed in 1914: "We Germans are more humane than the other nations; we do have better blood and breeding, more soul, more heart, and more imagination." Klaus Schröter, "Chauvinism and its Tradition: German Writers and the Outbreak of the First World War," *Germanic Review*, Vol. 43, No. 2 (March 1968), pp. 120–135, at 126, emphasis in original. In Britain Thomas Macaulay wrote that the British were "the greatest and most highly civilized people that ever the world saw" and were "the acknowledged leaders of the human race in the causes of political improvement." Paul M. Kennedy, "The Decline of Nationalistic History in the West, 1900–1970," *Journal of Contemporary History*, Vol. 8, No. 1 (January, 1973), pp. 77–100, at 81. In the United States Senator Albert Beveridge proclaimed in 1899 that "God . . . has made us the master organizers of the world. . . . He has made us adept in government that we may administer government among savage and senile peoples. . . . He has marked the American people as His chosen nation . . ." Albert K. Weinberg, *Manifest Destiny: A Study of Nationalist Expansionism in American History* (Chicago: Quadrangle, 1963), p. 308. The Soviet government continued this tradition after 1918: the standard Soviet school history text of 1948 claimed that Russian scientists invented the telegraph, steam engine, electric lamp, and the airplane. E.H. Dance, *History the Betrayer: A Study in Bias* (Westport: Greenwood, 1960), pp. 67–68.

45. Innocence can be asserted by denying a barbarous action, or by reinterpreting the action to put a benign "spin" on it. Post-1919 German textbooks illustrate whitewash-by-denial: Weimar German textbooks denied German responsibility for World War I, falsely claiming that "there was no wish for war in Berlin" in 1914, and that "today every informed person . . . knows that Germany is absolutely innocent with regard to the outbreak of the war, and that Russia, France, and England wanted the war and unleashed it." Dance, *History the Betrayer*, p. 62. Nazi-era texts likewise claimed that "England willed the war" in 1914 after having "set Japan on Russia" in 1904. Dance, *History the Betrayer*, p. 57. Whitewash-by-spin is also common. When Nazi forces

to rule others ("we are especially virtuous, so our expansion benefits those we conquer"). They also lead a nation to view others' complaints against them as expressions of ungrateful malice: ("we have never harmed them; they slander us by claiming otherwise"). This can produce conflict-spirals,<sup>46</sup> as the nation responds to others' legitimate complaints with hostility, in expectation that the claimant knows its claims are illegitimate and will back down if challenged. The targets of this hostility, in turn, will take it as further evidence of the nation's inherent cruelty and injustice. Self-glorifying myth, if it contains claims of cultural superiority, can also feed false faith in one's capacity to defeat and subdue others, causing expansionist wars of optimistic miscalculation.

Other-maligining myth can incorporate claims of others' cultural inferiority, false blame of others for past crimes and tragedies, and false claims that others now harbor malign intentions against the nation.<sup>47</sup> Such myths sup-

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overran Norway and Denmark in 1940 the Nazi party newspaper announced the invasion, but its headline proclaimed "GERMANY SAVES SCANDINAVIA!" William L. Shirer, *The Rise and Fall of the Third Reich: A History of Nazi Germany* (New York: Simon and Schuster, 1960), p. 698n. Similarly, after Soviet forces invaded Afghanistan in 1979 Leonid Brezhnev admitted the action but told the Soviet public: "There has been no Soviet 'intervention' or 'aggression' at all." Rather, Soviet forces were sent to Afghanistan "at its government's request," to defend Afghan "national independence, freedom and honor." L.I. Brezhnev, "Interview for Pravda, January 13, 1980," from *SShA: Ekonomika, Politika, Ideologiya*, No. 2 (February 1980), trans. Joint Publication Research Service, in *U.S.S.R. Report*, No. 75485 (April 14, 1980), p. 3. Japanese imperialists of the 1930s and 1940s claimed Japan was saving China from the "death grip" of the Comintern, and liberating Asia from the Western imperialism. Robert J.C. Butow, *Tojo and the Coming of the War* (Stanford: Stanford University Press, 1969), p. 134; Ienaga, *Pacific War*, pp. 153–154. Earlier a French textbook proclaimed the philanthropy of the French North African empire—"France is kind and generous to the peoples she has conquered." Dance, *History the Betrayer*, p. 44.

46. Thus German whitewashing of German responsibility for World War I helped fuel German hostility toward Europe during the interwar years, and laid the basis for popular German support for Nazi foreign policy. On the post-1918 German "innocence" campaign see Holger H. Herwig, "Clio Deceived: Patriotic Self-Censorship in Germany After the Great War," *International Security*, Vol. 12, No. 2 (Fall 1987), pp. 5–44. A good account of Germany's actual pre-1914 conduct is Imanuel Geiss, *German Foreign Policy, 1871–1914* (Boston: Routledge & Kegan Paul, 1976).

47. For example, Wilhelmine and Nazi German nationalists often asserted others' inherent inferiority. Kaiser Wilhelm II declared in 1913: "the Slavs were not born to rule but to serve, this they must be taught." Fritz Fischer, *War of Illusions: German Policies from 1911 to 1914*, trans. Marian Jackson (New York: W.W. Norton, 1975), p. 222. Historian Heinrich von Treitschke thought the English suffered from "cowardice and sensuality," and the French from "besottedness," while an earlier German textbook declared France was "a fermenting mass of rottenness." Snyder, *From Bismarck to Hitler*, p. 35; Antoine Guilland, *Modern Germany and Her Historians* (Westport: Greenwood Press, n.d., reprint of 1915 ed.), pp. 304, 154, quoting an 1876 text by A. Hummel. Writer Richard Dehmel described an England with "only practical talents but not 'culture'." Schröter, "Chauvinism and its Tradition," p. 125. Later, Hitler thought Russia was "ripe for dissolution" because it was ruled by the Jews, who were "a ferment of decomposition." Jeremy Noakes and Geoffrey Pridham, eds., *Nazism 1919–1945: A History in Documents and*

port arguments for the rightness and necessity of denying equal rights to minorities living in the national territory, and for subjugating peoples further afield. These minorities and distant peoples will appear to pose a danger if they are left unsuppressed; moreover, their suppression is morally justified by their (imagined) misconduct, past and planned.

Self-whitewashing myths are probably the most common of these three varieties.<sup>48</sup> The dangers they pose are proportional to the gravity of the crimes they whitewash. If small crimes are denied, their denial is disrespect that victims can choose to overlook. The denial may even spring from simple ignorance; if so, it conveys little insult. If great crimes are denied, however, their denial conveys contempt for the victims' very humanity. The denial cannot be ascribed to unintended ignorance; if truly great crimes are forgotten, the forgetting is willful, hence it conveys greater insult. And being willful, the denial implies a dismissal of the crime's wrongness, which in turn suggests an ominous willingness to repeat it. As a result, the denial of great crimes provokes greater hostility from the victims than the denial of minor crimes.<sup>49</sup> Thus Croatian historians and politicians who whitewashed the Croatian Ustashi's vast murders of Serbs during World War II were

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*Eyewitness Accounts*, Vol. 2 (New York: Schocken, 1988), pp. 615–616. He likewise viewed the United States, in Gerhard Weinberg's paraphrase, as a "mongrel society, in which the scum naturally floated to the top," that "could not possibly construct a sound economy." Gerhard L. Weinberg, "Hitler's Image of the United States," *American Historical Review*, Vol. 69, No. 4 (July 1964), pp. 1006–1021, at 1010.

Wilhelmine German nationalists also falsely accused others of malign intentions. Pan-German nationalists wove what Hermann Kantorowicz later termed a "fairy tale of encirclement" that posited a British-French-Russian plot to destroy Germany. See Geiss, *German Foreign Policy*, pp. 121–127. Imperial Japanese nationalists likewise saw a mythical anti-Japanese "ABCD encirclement" by America, Britain, China, and the Dutch, with the USSR and Germany sometimes thrown in as co-conspirators. See Butow, *Tojo and the Coming of the War*, chapter 8, pp. 188–227. During the Korean War Chinese writers demonized the United States as a "paradise of gangsters, swindlers, rascals, special agents, fascist germs, speculators, debauchers and all the dregs of mankind." President Truman and General Douglas MacArthur became "mad dogs," "blood-stained bandits," "murderers," "rapists," and "savages." At the same time General MacArthur warned that China "has become aggressively imperialistic, with a lust for expansion." John G. Stoessinger, *Nations in Darkness: China, Russia, and America*, 5th ed. (New York: McGraw-Hill, 1990), pp. 50–51.

For an example of falsely blaming others for past tragedies see notes 45 and 46 on the German post-1918 innocence campaign: in making this claim of innocence Germans also blamed others for starting the war.

48. Conversely, other-denigration is less common than both self-whitewashing and self-glorification, but is often implicit in self-glorification (others suffer in comparison to the virtuous self-image: if one's own group is spotlessly virtuous, others look worse by comparison).

49. Moreover, the victims' charges will anger the criminal nation, since it believes itself innocent, hence it views the victims' charges as malicious slander.

playing with especially powerful dynamite:<sup>50</sup> the crimes they denied were enormous, hence their denial had serious ramifications, feeding Serb hostility that led to the Serbo-Croatian war of 1991–92. Likewise, the question of historical responsibility for Stalin's crimes in the former Soviet Union is especially explosive because the crimes in question are so vast.

Why are myths purveyed? They emanate largely from nationalist political elites, for whom they serve important political functions. Some of these functions also serve the nation as a whole, while others serve only the narrow interests of the elite. Self-glorifying myths encourage citizens to contribute to the national community—to pay taxes, join the army, and fight for the nation's defense. These purposes are hard to fault, although the myths purveyed to achieve them may nevertheless have pernicious side-effects. Myths also bolster the authority and political power of incumbent elites: self-glorifying and self-whitewashing myths allow elites to shine in the reflected luster of their predecessors' imagined achievements and the imagined glory of the national institutions they control; other-maligning myths bolster the authority of elites by supporting claims that the nation faces external threats, thus deflecting popular hostility away from national elites and toward outsiders. Myths that serve only these purposes injure intercommunal relations without providing countervailing benefits to the general community.

Although mythmaking is ubiquitous among nationalisms, the scope and character of mythmaking varies widely across nations. Myths flourish most when elites need them most, when opposition to myths is weakest, and when publics are most myth-receptive. Four principal factors govern the level of infection by nationalist myth:

THE LEGITIMACY OF THE REGIME (or, if the national movement remains stateless, the legitimacy of the movement's leaders). As just noted, nationalist myths can help politically frail elites to bolster their grip on power. The temptation for elites to engage in mythmaking is therefore inversely propor-

50. After Germany and Italy conquered Yugoslavia in 1941 they established a puppet state, the Independent State of Croatia, under the leadership of the Croatian Ustashi, a nationalist Croat extremist-terrorist organization headed by Ante Pavelic. Without prompting from the Nazis the Ustashi then launched a mass murder campaign against other ethnic groups, killing by one estimate 500,000–700,000 Serbs, 50,000 Jews, and 20,000 Gypsies. Alex N. Dragnich, *Serbs and Croats: The Struggle for Yugoslavia* (New York: Harcourt Brace, 1992), pp. 96, 101–103. Dragnich reports that even the Germans were reportedly horrified by the nature and extent of the killings, and German officials protested to Pavelic (p. 103). On these murders see also Aleksa Djilas, *The Contested Country* (Cambridge: Harvard University Press, 1991), pp. 120–127; he endorses a smaller estimate by Bogoljub Kočović of 234,000 Serbs murdered (p. 126). Noting Croatian denials of the Ustashi's mass murders is Denich, "Unbury the Victims," pp. 5–6.

tional to their political legitimacy: the less legitimate their rule, the greater their incentive to make myths.

A regime's legitimacy is in turn a function of its representativeness, its competence and efficiency, and the scope of the tasks that face it. Unrepresentative regimes will face challenge from under-represented groups, and will sow myths to build the support needed to defeat this challenge.<sup>51</sup> This motive helped fuel the extreme nationalism that swept Europe in the late nineteenth century: oligarchic regimes used chauvinist myths, often spread through the schools, to deflect demands from below for a wider sharing of political and economic power.<sup>52</sup> Corrupt regimes or regimes that lack competence due to underinstitutionalization will likewise deploy chauvinist myths to divert challenges from publics and elites. This is a common motive for mythmaking in the Third World. Finally, regimes that face overwhelming tasks—e.g., economic or social collapse, perhaps caused by exogenous factors—will be tempted to use myths to divert popular impatience with their inability to improve conditions. Thus the Great Depression fueled nationalist mythmaking in some industrial states during the 1930s.<sup>53</sup>

These factors correlate closely with the ebb and flow of nationalist mythmaking through history. Nationalist mythmaking reached high tide in Europe when Europe's regimes had little legitimacy, during 1848–1914. It then fell dramatically as these regimes democratized and their societies became less stratified, which greatly lessened popular challenge to elites.<sup>54</sup>

THE SCOPE OF THE DEMANDS POSED BY THE STATE ON ITS CITIZENRY. The more the regime asks of its citizens, the harder it must work to persuade its

51. Such mythmaking has two targets: the public at large, and state instruments of coercion, which may need special motivation to carry out their tasks.

52. Regime illegitimacy provides the largest motive for elite mythmaking when the state cannot rule by pure force: mythmaking is then the elite's only means to preserve its rule. The proximate cause of mythmaking can therefore sometimes be found in the decline of the state monopoly of force, not the decline of elite legitimacy. This was the case in Europe in the nineteenth century: nationalist mythmaking rose with the rise of mass armies and popular literacy, which diminished the capacity of the state to govern by pure coercion. Elites were therefore forced to resort to persuasion, hence to mythmaking. (Mass literacy in this context proved a double-edged sword for newly-literate publics. Literacy enabled mass political mobilization by spreading social knowledge and ideas; this led to popular empowerment, but literacy also made publics easier to control from above, by enabling elites to purvey elite-justifying myths through the written word; this limited or reduced popular power.)

53. Making a similar argument, although casting it in somewhat different terms, is Snyder, "Nationalism and the Crisis of the Post-Soviet State," pp. 14–16.

54. On the decline of nationalistic history in Europe since the world wars see Kennedy, "Decline of Nationalistic History in the West."

citizens to fulfill these demands; this increases its temptation to deploy nationalist myths for purposes of social mobilization. Regimes at war often use myths to motivate sacrifice by their citizens and to justify their cruelties against others.<sup>55</sup> These myths can live on after the war to poison external relations in later years. Mass revolutionary movements often infuse their movements with mythical propaganda for the same reason; these myths survive after the revolution is won.<sup>56</sup> Regimes that are forced by external threats to sustain large peacetime military efforts are likewise driven to use myths to sustain popular support. This is especially true if they rely on mass armies for their defense.<sup>57</sup> Finally, totalitarian regimes place large demands on their citizens, and use correspondingly large doses of myth to induce their acquiescence.

**DOMESTIC ECONOMIC CRISIS.** In societies suffering economic collapse, mythmaking can take scapegoating form—the collapse is falsely blamed on domestic or international malefactors. Here the mythmaking grows from increased receptivity of the audience: publics are more willing to believe that others are responsible when they are actually suffering pain; when that pain is new and surprising, they search for the hand of malevolent human agents. Germany in the 1930s is the standard example.<sup>58</sup>

**THE STRENGTH AND COMPETENCE OF INDEPENDENT EVALUATIVE INSTITUTIONS.** Societies that lack free-speech traditions, a strong free press, and free universities are more vulnerable to mythmaking because they lack “truth squads” to counter the nationalist mythmakers. Independent historians can provide an antidote to official historical mythmaking; an independent press is an antidote to official mythmaking about current events. Their absence is a permissive condition for nationalist mythmaking.<sup>59</sup> Wilhelmine Germany

55. See, for example, Omer Bartov, *Hitler's Army: Soldiers, Nazis, and the War in the Third Reich* (New York: Oxford University Press, 1991), pp. 106–178, describing the myths purveyed by the Nazi regime to motivate its troops on the Eastern Front.

56. Advancing this argument is Stephen M. Walt, “Revolution and War,” *World Politics*, Vol. 44, No. 3 (April 1992), pp. 321–368, at 336–340.

57. For this argument see Posen, “Nationalism, the Mass Army, and Military Power.”

58. This hypothesis is widely accepted but has not been systematically tested; more empirical research exploring the relationship between economic downturns and scapegoating would be valuable.

59. The existence of a free press and free universities does not guarantee that myths will be scrutinized; these institutions also require a truth-squad ethos—a sense that mythbusting is among their professional missions. This ethos is often missing among university faculties, who frequently pursue research agendas that have little relevance to the worries of the real world. A discussion that remains valuable is Robert S. Lynd, *Knowledge For What? The Place of Social Science in American Culture* (Princeton: Princeton University Press, 1939). A recent discussion is

illustrates: the German academic community failed to counter the official myths of the era, and often helped purvey them.<sup>60</sup>

Several conclusions follow from this discussion. Democratic regimes are less prone to mythmaking, because such regimes are usually more legitimate and are free-speech tolerant; hence they can develop evaluative institutions to weed out nationalist myth. Absolutist dictatorships that possess a massive military superiority over their citizens are also less prone to mythmaking, because they can survive without it. The most dangerous regimes are those that depend on some measure of popular consent, but are narrowly governed by unrepresentative elites. Things are still worse if these governments are poorly institutionalized, are incompetent or corrupt for other reasons, or face overwhelming problems that exceed their governing capacities. Regimes that emerged from a violent struggle, or enjoy only precarious security, are also more likely to retain a struggle-born chauvinist belief-system.

### *Conclusion: Predictions and Prescriptions*

What predictions follow? These hypotheses can be used to generate forecasts; applied to Europe, they predict that nationalism will pose little risk to peace in Western Europe, but large risks in Eastern Europe.

Most of the nationalisms of the West are satisfied, having already gained states. Western diasporas are few and small, reflecting the relative homogeneity of Western national demography, and Western minorities are relatively well-treated. The historic grievances of Western nationalities against one another are also small—many of the West's inter-ethnic horrors have faded from memory, and the perpetrators of the greatest recent horror—the Germans—have accepted responsibility for it and reconciled with their victims. The regimes of the West are highly legitimate, militarily secure, and economically stable; hence chauvinist mythmaking by their elites is correspondingly

Russell Jacoby, *The Last Intellectuals: American Culture in the Age of Academe* (New York: Basic Books, 1987), pp. 112–237. On this problem in political science see Hans J. Morgenthau, “The Purpose of Political Science,” in James C. Charlesworth, ed., *A Design for Political Science: Scope, Objectives, and Methods* (Philadelphia: American Academy of Political and Social Science, 1966), pp. 63–79, at 69–74. German academics also cooperated with official German myth-making after World War I; see Herwig, “Clio Deceived.”

60. A good survey of German historiography of this era is Snyder, *German Nationalism*, chapter 6 (pp. 123–152). An older survey is Guillard, *Modern Germany and Her Historians*. Also relevant are John A. Moses, *The Politics of Illusion: The Fischer Controversy in German Historiography* (London: George Prior, 1975), chapter 1 (pp. 7–26); and Snyder, *From Bismarck to Hitler*, chapter 3 (pp. 25–35).

rare. The West European nationalisms that caused the greatest recent troubles, those of Germany and Italy, are now clearly benign, and the conditions for a return to aggressive nationalism are absent in both countries. Outsiders sometimes fear that outbreaks of anti-immigrant extremism in Germany signal the return of German fascism, but the forces of tolerance and decency are overwhelmingly dominant in Germany, and the robust health of German democracy and of German academic and press institutions ensures they will remain dominant. As a result nationalism should cause very little trouble in Western Europe.

In the East the number of stateless nationalisms is larger, raising greater risk that future conflicts will arise from wars of liberation. The collapse of Soviet power shifted the balance of power toward these nationalisms, by replacing the Soviet state with weaker successor states. This shift has produced secessionist wars in Georgia and Moldova, and such wars could multiply. The tangled pattern of ethnic intermingling across the East creates large diasporas. Eastern societies have little tradition of respect for minority rights, raising the likelihood that these diasporas will face abuse; this in turn may spur their homelands to try to incorporate them by force. The borders of many emerging Eastern nations lack natural defensive barriers, leaving the state exposed to attack; some borders also lack legitimacy, and correspond poorly with ethnic boundaries. Some new Eastern regimes, especially those in the former Soviet Union, lack legitimacy and are under-institutionalized, raising the risk that they will resort to chauvinist mythmaking to maintain their political viability. This risk is heightened by the regional economic crisis caused by the transition from command to market economies. Evaluative institutions (free universities and a free press) remain weak in the East, raising the risk that myths will go unchallenged. The Soviet regime committed vast crimes against its subject peoples; this legacy will embitter relations among these peoples if they cannot agree on who deserves the blame.<sup>61</sup>

61. The emerging nations of the former USSR now stand knee-deep in the blood of Stalin's victims, and in the economic ruin that Bolshevism left behind. If every nation blames only others for these disasters, civil relations among them will be impossible: each will hope to someday settle accounts. Civil relations depend, then, on a convergence toward a common history of the Bolshevik disaster. Things would be best if all converged on a version that blamed the Bolsheviks—who, having vanished, can be blamed painlessly. (Bolshevism would then usefully serve as a hate-soaker—its final, and among its few positive, functions in Soviet history.) Absent that, things would be better if the successor nations agree on how to allocate blame among themselves.

The Eastern picture is not all bleak. The main preconditions for democracy—high levels of literacy, some degree of industrial development, and the absence of a landed oligarchy—exist across most of the East. As a result the long-term prospects for democracy are bright. Moreover, the East's economic crisis is temporary: the conditions for prosperous industrial economies (a trained workforce and adequate natural resources) do exist, so the crisis should ease once the market transition is completed. These relatively favorable long-term prospects for democracy and prosperity dampen the risk that chauvinist mythmaking will get out of hand.<sup>62</sup> The fact that the new Eastern states managed to gain freedom without violent struggles also left them with fewer malignant beliefs, by allowing them to forgo infusing their societies with chauvinist war propaganda. The power and ethnographic structures of the East, while dangerous, are less explosive than those of Yugoslavia: historic grievances and military power coincide less tightly—there is no other Eastern equivalent of Serbia, having both military superiority and large historical grievances; and ethnographic patterns create less imperative for a diaspora-rescue operation by the state most likely to attempt such a rescue, Russia.

62. However, in the East's heterogeneous interethnic setting democracy is a mixed blessing: if it takes a strict majoritarian form it can produce majority tyranny and the oppression of minorities, as it has in the past in Northern Ireland and the American Deep South. To produce civil peace in a multi-ethnic setting, democracy must adopt non-majoritarian principles of power-sharing, like those of Swiss democracy. On this question see Arend Lijphart, "Consociational Democracy," *World Politics*, Vol. 21, No. 2 (January 1969), pp. 107–125; Arend Lijphart, *Democracy in Plural Societies: A Comparative Exploration* (New Haven: Yale University Press, 1977); Arend Lijphart, *Democracies: Patterns of Majoritarian and Consensus Government in Twenty-One Countries* (New Haven: Yale University Press, 1984); Arend Lijphart, "The Power-Sharing Approach," in Joseph V. Montville, ed., *Conflict and Peacemaking in Multiethnic Societies* (Lexington, Mass.: Lexington Books, 1990), pp. 491–509; Kenneth D. McRae, "Theories of Power-Sharing and Conflict Management," in Montville, *Conflict and Peacemaking*, pp. 93–106; Jürg Steiner, "Power-Sharing: Another Swiss 'Export Product'?" in Montville, *Conflict and Peacemaking*, pp. 107–114; Hans Daalder, "The Consociational Democracy Theme," *World Politics*, Vol. 26, No. 4 (July 1974), pp. 604–621; Kenneth D. McRae, ed., *Consociational Democracy: Political Accommodation in Segmented Societies* (Toronto: McClelland and Stewart, 1974); and Vernon Van Dyke, "Human Rights and the Rights of Groups," *American Journal of Political Science*, Vol. 18, No. 4 (November, 1974), pp. 725–741, at 730–740. See also James Madison, "The Same Subject Continued . . ." (*Federalist* No. 10), *The Federalist Papers*, intro. by Clinton Rossiter (New York: New American Library, 1961), pp. 77–84, which addresses the danger of majority tyranny and remedies for it; Madison discusses the risks that arise when "a majority is included in a faction" (p. 80) and the dangers of tyranny by "the superior force of an interested and overbearing majority" (p. 77). Also relevant is Robert M. Axelrod, *Conflict of Interest: A Theory of Divergent Goals with Applications to Politics* (Chicago: Markham, 1970), whose theory of winning coalition membership explains why majoritarian rules distribute power unequally in deeply divided societies.



All in all, however, conditions in Eastern Europe are more bad than good; hence nationalism will probably produce a substantial amount of violence in the East over the next several decades.<sup>63</sup>

What policy prescriptions follow? The Western powers should move to dampen the risks that nationalism poses in the East, by moving to channel manipulable aspects of Eastern nationalism in benign directions. Some aspects of Eastern nationalist movements are immutable (e.g., their degree of intermingling, or the history of crimes between them). Others, however, can be decided by the movements themselves (e.g., their attitude toward minorities, their vision of history, and their willingness to reach final border settlements with others); these can be influenced by the West if the movements are susceptible to Western pressure or persuasion. The Western powers should use their substantial economic leverage to bring such pressure to bear.

Specifically, the Western powers should condition their economic relations with the new Eastern states on these states' conformity with a code of peaceful conduct that proscribes policies that make nationalism dangerous. The code should have six elements: (1) renunciation of the threat or use of force; (2) robust guarantees for the rights of national minorities, to include, under some stringent conditions, a legal right to secession;<sup>64</sup> (3) commitment

63. Nationalism is also likely to produce substantial violence in the Third World, largely because a high nation-to-state ratio still prevails there; hence many secessionist movements and wars of secession are likely in the decades ahead. A discussion of the policy issues raised by this circumstance is Halperin, Scheffer, and Small, *Self-Determination in the New World Order*; for a global survey of current self-determination movements see *ibid.*, pp. 123–160.

64. Minority rights should be defined broadly, to include fair minority representation in the legislative, executive, and judicial branches of the central government. The definition of minority rights used in most international human rights agreements is more restrictive: it omits the right to share power in the national government, and includes only the right to political autonomy and the preservation of minority language, culture, and religion. See Edward Lawson, *Encyclopedia of Human Rights* (New York: Taylor & Francis, 1991), p. 1070; on the neglect of minority rights by Western political thinkers, see Vernon Van Dyke, "The Individual, the State, and Ethnic Communities in Political Theory," *World Politics*, Vol. 29, No. 3 (April 1977), pp. 343–369.

When should minority rights be defined to include the right to secession and national independence? Universal recognition of this right would require massive redrawing of boundaries in the East, and would raise the question of Western recognition of scores of now-unrecognized independence movements worldwide. One solution is to recognize the right to secede in instances where the central government is unwilling to fully grant other minority rights, but to decline to recognize the right to secede if all other minority rights are fully recognized and robustly protected. In essence, the West would hold its possible recognition of a right to secede in reserve, to encourage governments to recognize other minority rights. A discussion of the right to secession is Vernon Van Dyke, "Collective Entities and Moral Rights: Problems in Liberal-Democratic Thought," *Journal of Politics*, Vol. 44, No. 1 (February 1982), pp. 21–40, at 36–37. Also relevant is Halperin, Scheffer, and Small, *Self-Determination in the New World Order*.

to the honest teaching of history in the schools,<sup>65</sup> and to refrain from the propagation of chauvinist or other hate propaganda; (4) willingness to adopt a democratic form of government, and to accept related institutions—specifically, free speech and a free press;<sup>66</sup> (5) adoption of market economic policies, and disavowal of protectionist or other beggar-thy-neighbor economic policies toward other Eastern states; and (6) acceptance of current national borders, or agreement to settle contested borders promptly though peaceful means. This list rests on the premise that "peaceful conduct" requires that nationalist movements renounce the use of force against others (element 1), and also agree to refrain from policies that the hypotheses presented here warn against (elements 2–6).

Hypothesis I.4 (see Table 1) warns that the risk of war rises when nationalist movements oppress their minorities; hence the code requires respect for minority rights (element 2). Hypothesis II.6 warns that divergent beliefs about mutual history and current conduct and character raise the risk of war; hence the code asks for historical honesty and curbs on official hate propaganda (element 3). Hypothesis II.6.a warns that illegitimate governments have a greater propensity to mythmake, and hypothesis II.6.d warns that chauvinist myths prevail more often if independent evaluative institutions are weak; hence the code asks that movements adopt democracy (to bolster legitimacy) and respect free speech and free press rights (to bolster evaluation) (element 4). Hypothesis II.6.c warns that economic collapse promotes chauvinist mythmaking; hence the code asks movements to adopt market reforms, on grounds that prosperity requires marketization (element 5). Hypothesis II.3.b warns that the risk of war rises if the borders of emerging nation states lack legitimacy; hence the code asks movements to legitimize their borders through formal non-violent settlement (element 6).<sup>67</sup>

65. States should not be asked to accept externally-imposed versions of history in their texts, since no society can arbitrarily claim to know the "truth" better than others. But states could be asked to commit to international dialogue on history, on the theory that free debate will cause views to converge. Specifically, they could be asked to accept the obligation to subject their school curricula to foreign criticism, perhaps in the context of textbook exchanges, and to allow domestic publication of foreign criticisms of their curricula. Schemes of this sort have a long history in Western Europe, where they had a substantial impact after 1945. See Dance, *History the Betrayer*, pp. 127–128, 132, 135–150. This West European experience could serve as a template for an Eastern program.

66. These democratic governments should adopt consociational power-sharing rules, not majoritarian rules; otherwise ethnic minorities will be denied equal political power (see footnote 62.)

67. Such a code could be applied more widely, and serve as the basis for an international regime

The Western powers should enforce this code by pursuing a common economic policy toward the states of the East: observance of the code should be the price for full membership in the Western economy, while non-observance should bring exclusion and economic sanctions.<sup>68</sup> This policy should be married to an economic aid package to assist marketization, also conditioned on code observance.

The Bush and Clinton administrations have adopted elements of this policy, but omitted key aspects. In September 1991, then-Secretary of State James Baker outlined five principles that incorporate most of the six elements in the code of conduct outlined above (only element 3—honest treatment of history—was unmentioned), and he indicated that American policy toward the new Eastern states would be conditioned on their acceptance of these principles.<sup>69</sup> During the spring and summer of 1992 the administration also proposed a substantial economic aid package (the Freedom Support Act) and guided it through Congress.

However, Baker's principles later faded from view. Strangely, the Bush administration failed to clearly condition release of its aid package on Eastern compliance with these principles. It also failed to forge a common agreement among the Western powers to condition their economic relations with the Eastern states on these principles. The principles themselves were not elaborated; most importantly, the minority rights that the Eastern states must protect were not detailed, leaving these states free to adopt a watered-down definition. The Bush administration also recognized several new Eastern governments (e.g., Azerbaijan's) that gave Baker's principles only lip service while violating them in practice.<sup>70</sup> The Clinton administration has largely

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on nationalist comportment; a nationalist movement's entitlement to international support would correspond to its acceptance and observance of the code.

68. The Western powers should also offer to help the Eastern powers devise specific policies to implement these principles, and offer active assistance with peacemaking if conflicts nevertheless emerge. Specifically, Western governments and institutions should offer to share Western ideas and experience on the building of democratic institutions; the development of political and legal institutions that protect and empower minorities; the development of market economic institutions; and the best means to control nationalism in education. (On this last point an account is Dance, *History the Betrayer*, pp. 126–150.) Finally, if serious conflicts nevertheless emerge, the West should offer active mediation, as the United States has between Israelis and Arabs.

69. For Baker's principles see "Baker's Remarks: Policy on Soviets," *New York Times*, September 5, 1991, p. A12. Baker reiterated these principles in December 1991; see "Baker Sees Opportunities and Risks as Soviet Republics Grope for Stability," *New York Times*, December 13, 1991, p. A24. Reporting Baker's conditioning of American recognition of the new Eastern governments on their acceptance of these standards is Michael Wines, "Ex-Soviet Leader Is Lauded By Bush," *New York Times*, December 26, 1991, p. 1.

70. See "Winking at Aggression in Baku" (editorial), *New York Times*, February 14, 1992, p. A28.

followed in Bush's footsteps: it continued Bush's aid program, but omitted clear political conditions.<sup>71</sup>

There is still time for such a policy, but the clock is running out. A policy resting on economic sticks and carrots will be too weak to end major violence once it begins; hence the West should move to avert trouble while it still lies on the horizon.

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71. In April 1993 the Clinton administration forged agreement among the Group of Seven (G7) states (Britain, France, Germany, Italy, Canada, Japan, and the United States) on a \$28 billion aid package for the former Soviet Union, and Congress approved a substantial aid package in September 1993. See Serge Schmemmann, "Yeltsin Leaves Talks With Firm Support and More Aid," *New York Times*, April 5, 1993, p. 1; David E. Sanger, "7 Nations Pledge \$28 Billion Fund To Assist Russia," *New York Times*, April 16, 1993, p. 1; Steven Greenhouse, "I.M.F. Unveils Plan for Soviet Lands," *New York Times*, April 21, 1993, p. A16; and Steven A. Holmes, "House Approves Bill Including 2.5 Billion in Aid for Russians," *New York Times*, September 24, 1993, p. A6. The aid was conditioned on Eastern moves toward marketization, but political conditions were omitted. President Clinton did declare that "we support respect for ethnic minorities," and "we stand with Russian democracy" as he announced the American aid pledge. Schmemmann, "Yeltsin Leaves Talks." However, press accounts do not mention explicit political conditions.