

# OPEN WATER

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in the Social Sciences

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## MISSION

The aim of this journal is to create a forum for the expression and consideration of both central and marginal political issues through scholarly research and analysis. These topics should be of contemporary or future relevance, and evaluated within political, historical, economical, anthropological, or sociological contexts. This analysis should serve as a foundation upon which to base further discussion of domestic and international matters, and inspire meaningful participation in an enlightened debate of political issues. In providing undergraduates an open, non-partisan and structured context in which to put forth their ideas, this journal aspires to contribute to the composite value of knowledge from which well-reasoned and eclectic thought may spring.

Open Water is published annually, and is open to submissions from all students at St. Mary's College of Maryland.



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## **Open Water – May 2008**

<b>The Civil Gideon Movement and Maryland’s Status</b> Katharine T. Bamberger	<b>Page 1</b>
<b>Captain America: Cold Warrior</b> Jordan Grant	<b>Page 7</b>
<b>From Ape to Artist: A Gradualist Approach to the Origin of Modern Human Behavior</b> Emilie Vogel	<b>Page 15</b>
<b>Collective Security, Games, and the Sino-Indian Border Dispute</b> Sam Birnbaum	<b>Page 23</b>
<b>Robots, Aliens, and Mushroom Clouds: Social Anxiety in American Science Fiction</b> Ashton Habighurst	<b>Page 29</b>
<b>An Examination of the Diminishing Availability of Workforce Housing in St. Mary’s County Maryland: Case Study of the National and White Oaks Mobile Home Parks Shutdown</b> Kathleen Kennedy	<b>Page 35</b>
<b>An Operational Review of and Prescription for the United Nations Office of Sport for Development and Peace (UNOSDP)</b> Michael Rohrs	<b>Page 47</b>

## INTRODUCTION

“There are more ideas on earth than intellectuals imagine. And these ideas are more active, stronger, more resistant, and more passionate than ‘politicians’ think. We have to be there at the birth of ideas, the bursting outward of their force: not in books expressing them, but in events manifesting this force, in struggles carried on around ideas, for or against them. Ideas do not rule the world. But it is because the world has ideas...that it is not passively ruled by those who are its leaders or those who would like to teach it, once and for all, what it must think.”

- Michel Foucault -

All too often, we find ourselves caught in a false dichotomy between imagination and thought – a dualism often encapsulated in the juxtaposition of realism and idealism.

The reality of our circumstances, however, is entirely dependent on perception – imagination is, actually, the lens through which we interpret thought. The equivalence of ideas with reality and imagination with ideals places artificial constraints on innovation and creation, where we find ourselves seemingly bound by reality.

The goal of this journal was to create a new space for students to explore the issues that matter to them, unbound by convention and dogma. This first issue of *Open Water* established that space, but only began to define it.

This publication is left to future generations of students to share their insight and concern over social and political issues. It should continue to grow and evolve as a reflection of new ideas.

- Hannah Faddis, Founding Editor of Open Water -

## The Civil Gideon Movement and Maryland's Status

Katharine T. Bamberger

More than forty years after *Gideon v. Wainwright*, court appointed counsel is still not required for indigent parties in civil cases. Thus, litigants are forced to represent themselves in cases where they cannot find a lawyer to represent them for free. This forced self-representation results in extreme injustice due to many factors. First, the courtroom roles have become increasingly professionalized; they involve many rules such as those for presenting evidence, examining witnesses, and objecting to evidence with which laypeople are not familiar. In addition, there are procedures such as opening and closing statements, the approach to which laypeople do not understand. Thus, these types of procedures render parties incompetent to represent themselves. In addition, the court is more involved in everyday life; courts are now hearing cases involving rights that were never before recognized or enforced and which now may be lost. These life issues like custody of one's child have extreme repercussions; one might argue certain types of civil repercussions are more important than the loss of physical liberty involved in being jailed for a matter of weeks, which would call for appointed criminal counsel under *Gideon*. These conditions make it such that poor parties are extremely disadvantaged in the civil courtroom.

In cases where a litigant is too poor to pay for counsel, he must seek free counsel in the form of legal aid, or private pro bono work. Both are inadequate in solving this problem of injustice as they can only meet about twenty percent of the current need for counsel. The civil Gideon movement attempts to convince judges and legislatures that court-appointed civil counsel is just as necessary as appointed criminal counsel, especially in certain types of cases.

As suggested by the name, this movement is based on the *Gideon v. Wainwright* (1963) court decision in which the United States Supreme Court made court-appointed criminal counsel mandatory. The court opinion states:

[R]eason and reflection require us to recognize that in our adversary system of criminal justice, any person haled into court, who is too poor to hire a lawyer, cannot be assured a fair trial

unless counsel is provided for him. This seems to us to be an obvious truth....

That government hires lawyers to prosecute and defendants who have the money hire lawyers to defend are the strongest indications of the widespread belief that lawyers in criminal courts are necessities, not luxuries.... From the very beginning, our state and national constitutions and laws have laid great emphasis on procedural and substantive safeguards designed to assure fair trials...

Those same safeguards that were designed to assure fair trials and justice led to the complexities that keep the layman from representing himself. Therefore, through *Gideon*, counsel was determined to be necessary in assuring criminal justice. The Supreme Court found this right to counsel in the Sixth Amendment. It concluded that the right must also be found in the Fourteenth Amendment because the two amendments were designed to mirror each other and to hold states accountable to the minimum federal standards.<sup>1</sup>

A year after *Gideon*, the Supreme Court stated in *Brotherhood of R.R. Trainmen v. Virginia*, 377 U.S. 1, 7 (1964) that "laymen cannot be expected to know how to protect their rights when dealing with practiced and carefully counseled adversaries..." in civil cases.<sup>2</sup> Yet the Court in *Lassiter v. Department of Social Services* (1981) ruled that there is no constitutional right to counsel in matters that do not involve a threat to physical liberty. The Court did state that,

A wise public policy, however, may require that higher standards be adopted than those minimally tolerable under the Constitution. Informed opinion has clearly come to hold that an indigent parent is entitled to the assistance of appointed counsel not only in parental termination proceedings, but in dependency and neglect proceedings as well.

Thus, the Supreme Court left civil Gideon rights up to the discretion of the States. Douglas J. Besharov, director of the American Enterprise Institute (AEI) for Public Policy Research's Social and Individual Responsibility Project and professor at University of Maryland School of Public Policy, wrote that "*Lassiter*, for all practical purposes, stands for the proposition that a drunken driver's night in the

cooler is a greater deprivation of liberty that a parent's permanent loss of rights in a child."<sup>3</sup> For over twenty years, the *Lassiter* decision paralyzed the civil Gideon movement.

The movement has revived in recent years; legal basis for civil Gideon has been found in many forms that appear to bind both the National and State governments. The Federal Government is involved in various international agreements that involve a civil right to counsel, such as the International Covenant of Civil and Political Rights (ICCPR), and the Convention on the Elimination of All Forms of Racial Discrimination (CERD). The U.S. ratified the ICCPR in 1992; it is a "formal legal document creating obligations on the part of participating nations." Articles 3 and 14 of the ICCPR directly refer to fairness in civil cases, stating that all parties should be equal and are entitled to a fair trial by "competent authorities." Its final text does not specifically address civil right to counsel, but the proposal offered by the U.S. contained the language, "in the determination of his rights and obligations, everyone is entitled to... the aid of counsel." This makes it implicit that the U.S., if no other nation, would abide by this language. Nations can also infer that this explicit and detailed text is still relevant to the meaning of the more general language. The interpretive body for the ICCPR is the Human Rights Committee (HRC). Nations must make periodic reports to the HRC in which many explicitly address their practices and laws regarding the right to counsel, especially in civil matters. The HRC specifically approves of and praises nations that claim a civil right to counsel.<sup>4</sup>

The U.S. ratified CERD, a second applicable international agreement, in 1994. The CERD Committee reviews actions of participating nations through each nation's periodic report. The CERD Committee's General Recommendation 31 states that nations should take steps including "granting victims effective judicial cooperation and legal aid, including the assistance of counsel... free of charge." Other General Recommendations contain similar language. In their periodic reports, nations describe their statuses regarding a civil right to counsel. The CERD Committee approves of those nations improving in this area, and asserts that nations needing to increase their compliance with CERD should take steps to improve civil right to counsel.<sup>5</sup>

These international documents show that the right to appointed civil counsel is becoming an international issue and movement. Many nations are in the process of developing the right to civil counsel,

and many others recognize different forms of this right, limited or unlimited. In this way, the documents show that the U.S. is behind many other developed nations in providing the right to this service. The documents may also show that the U.S. legislative bodies soon may be forced, by the power and influence of the international community, to enact a civil Gideon law.

A recent CERD Shadow Report states that "although some assistance is available [in the U.S.], it is limited and unevenly distributed, and falls short of the equal access to justice envisioned by articles 5 and 6 of CERD and the CERD Committee's General Recommendations." This report states that the "lack of uniformity" caused by an absence of federal law regarding the civil right to counsel "can deny effective and equal access to counsel even to litigants within the same state." The report recommends that the U.S. National Government "fund and implement a system providing for a right to counsel in civil cases, particularly in matters of fundamental human needs."<sup>6</sup>

Pressure coming from within the country is also strong. The Federal and State governments were encouraged by a 2006 American Bar Association (ABA) Resolution to "provide legal counsel as a matter of right at public expense to low income persons in those categories of adversarial proceedings where basic human needs are at stake, such as those involving shelter, sustenance, safety, health or child custody..." The ABA justifies this resolution by citing ABA Goal II ("to promote meaningful access to legal representation... for all persons regardless of their economic or social condition"), its amicus brief in *Lassiter*, and other more recent demonstrations of this position. It cites Common Law antecedents for the right to civil counsel in the Statute of Henry VII (1495), which was designed to help the poor person through his trial, and states, "[T]he Justices shall appoint attorney and attorneys for the same poor person or persons." The ABA also discusses the *Gideon* and *Lassiter* decisions and current civil Gideon movements across the country in order to contextualize the resolution.<sup>7</sup> This was an important step in the civil Gideon movement because it shows general support in the legal community for the right.

Perhaps the largest question of the civil Gideon movement is how the courts might draw the line as to who is entitled to court-appointed civil counsel and who is not. This is important because, as the right to counsel in criminal cases progressed before, the right to counsel in civil matters will likely progress incrementally in most jurisdictions. One article,

published in 1967, discusses the many possible ways of assessing and determining who is entitled to this right.<sup>8</sup> One possible way is to decide based on competence of the litigant and complexity of the legal issues and the case at hand. This was required by the *Betts v. Brady* decision and overruled because it was too vague a guideline for reluctant courts. Under *Betts v. Brady*, trial courts tended not to find complexity or lack of competence where appellate courts would later find these circumstances.

Another rule might be based on voluntariness of going to court, which would require counsel to be provided for defendants but not for plaintiffs. However, this “procedural alignment... has little to do with the voluntariness or deserts of the parties” and is essentially “arbitrary.” In addition, it would cause people to avoid filing legitimate cases in an effort to avoid the label of plaintiff. This is because the defendant could essentially win “by default” due to guaranteed appointed counsel. Therefore, this rule would impede justice. Another rule would be to provide counsel for the defendant against a public plaintiff (i.e., the government). These cases are among the most “obviously unfair;” however, a defendant may be more unfairly treated against a private plaintiff, and the government may be behind more cases than bear its name.

Deciding based on the importance of the interest at stake is another rule. This is perhaps the most convincing and most argued-for rule. It reflects the belief that some civil actions are necessities while others are luxuries. However, “any such criterion ignores the crucial factor of relative poverty; to a very poor man, fifty dollars may make a great deal of difference.” It seems that any of the aforementioned rules or distinctions could be arbitrary or based on subjective value judgments or assumptions.<sup>9</sup>

A different approach to gradually achieving a civil Gideon right lies in revising the roles of those in the courtroom. Russell Engler, of the New England School of Law, states that this approach is to be used in combination with the above rules. He claims that “we must revise our understanding of what it means to be impartial. We can no longer accept the idea that impartiality equals passivity,” especially on the part of the judges. Judges must balance the scales when one party has a lawyer and the other party does not; they must do this by “assist[ing] unrepresented litigants as necessary to ensure that all relevant information is before the court and unrepresented litigants do not forfeit rights due to the absence of counsel.” Lawyers must also revise their role according to this approach; they must cease

“violating ethical rules in their negotiations with unrepresented litigants.” Courts must stop promoting lawyers’ unethical behavior by refusing to allow unmonitored negotiation settings and refusing to approve agreements resulting from unfair negotiations. Engler advises this strategy be used in combination with evaluation of assistance programs and expansion of the right to appointed counsel using the rules above, most notably, the rule that balances the importance of the issues at stake. He and many others claim that “due to the compelling nature of the underlying rights at stake,” the most likely starting points for the right to civil Gideon are family law, eviction, and immigration cases.<sup>10</sup>

These starting points are just what civil Gideon supporters in Maryland have used. In the landmark case, *Frase v. Barnhart* (a child custody case), lawyers argued on appeal that the trial court decision was unjust due to Ms. Deborah Frase’s lack of counsel. They point to such events as “she conducted no pre-trial discovery” and “she sometimes interrupted a witness’ testimony with volunteered information and comment. She had no understanding of how to introduce evidence, or what expert testimony was.... Her stress was palpable. [And] [s]he frequently expressed her bewilderment and on occasion apologized for it.” These events are used as evidence of her “unfamiliarity with courtroom procedures,” which led to her inability to “clarify the record and to put these past events in context.”<sup>11</sup>

On appeal, Ms. Frase’s lawyers argued for her renewed unconditional custody and the right to counsel in custody cases. They based this right on Articles of the Maryland Declaration of Rights. The appellant argued that Article 5, which entitles Maryland residents to the benefits of England’s common law statutes that were in place on July 4, 1776, indirectly guarantees the right to appointed civil counsel.<sup>12</sup> The appellant connects this Article with the aforementioned Statute of Henry VII, which provides counsel for indigent litigants.

The appellant also finds this right in Article 19 of Maryland’s Declaration of Rights, which states, “every man, for any injury done to him... ought to have justice and right, freely without sale, fully without any denial...” The appellant argues that while neither Article 19 nor the Magna Carta, from which it derives, explicitly mentions the right to counsel, “Article 19’s guarantee of equal access to justice is meaningless without the right to appointed counsel for the indigent.”<sup>13</sup>

The appellant also finds this right in Article 24 of Maryland's Declaration of Rights, which states "that no man ought to be taken or imprisoned or disseized of his freehold, liberties or privileges... or, in any manner, destroyed or deprived of his life, liberty or property, but by the judgment of his peers, or by the Law of the land." This Article is Maryland's guarantee of due process; the appellant argues that fundamental fairness, which is required by due process, requires the appointment of counsel. The appellant also points out that this Article protects more than physical liberty, as ruled by *Lassiter*.

At the conclusion of the brief, the appellant offers its own set of rules to determine a litigant's eligibility for appointed counsel. First, the litigant must demonstrate indigence. Second, the case must "implicate... fundamental rights or basic human needs." Third, the litigant must demonstrate an unsuccessful attempt to secure counsel. Fourth, the case must be unfit for both a contingency fee arrangement, in which a lawyer is paid a portion of the award granted, and a fee-shifting statute (an arrangement in which the losing party who has committed a wrong specified under the statute must pay for the winning party's lawyers' fees).<sup>14</sup> Both of these arrangements would make it unnecessary for a lawyer to be appointed by the court since the indigent party would not be responsible for lawyers' fees.

In *Frase*, the Court of Appeals of Maryland ultimately refused to address the issue of the right to civil counsel. Justice Wilner wrote the opinion for the Court, which stated, "in this circumstance, it would be especially inappropriate for us to address and rule upon the right-to-appointed-counsel issue." This ruling that the right to counsel issue is moot comes in light of the fact that "there is no assurance that, should any further litigation be brought by or against Ms. Frase, she would not be represented in that litigation."<sup>15</sup> In addition, "Ms. Frase said that she was not supplied with counsel by one of the legal service agencies because of an overload at the time. It would be entirely speculative whether that circumstance would exist should she desire counsel in the future..."<sup>16</sup> However, the court only need consider the fact that such "agencies" cannot even begin to meet the need for counsel at current levels of funding in order to determine that the probability of there being a circumstance of overload at the time of any litigation is very high. The Court offers practical reasons as to why it avoids addressing this issue; "recognition of the right would carry an enormous fiscal impact and require a substantial administrative structure..." Indeed, it is the role of the judge to weigh justice with practical impediments; however,

the concurring opinion disagrees with the avoidance of this issue.

In Justice Cathell's concurring opinion, he, Bell, and Eldridge express their wish to see the issue of appointed counsel decided. Cathell states, "Judges decide. It is the very essence of what we do. And it can be argued that it is the most important element of a judge's role." He states, "The avoiding of such issues is best left to the political processes of the other branches of government."<sup>17</sup> Cathell states that not only would he have decided this issue, he would have decided in favor of recognizing the right. He supports this with the Court's previous opinion that "Certain fundamental rights are protected under the Constitution. Among those rights is the right to child rearing, i.e., parenting. Supreme Court case law has consistently reaffirmed parental rights."<sup>18</sup> Justice Cathell thinks it is "wrong" that a criminal is guaranteed the right to counsel, but the poor parent is not. He quotes the *Lassiter* opinion that "wise public policy" could require higher standards compared to the minimum federal standards of granting counsel only in matters of physical liberty.

Thus, Maryland courts have not ruled on the right to counsel with regard to cases like *Frase v. Barnhart* that do not involve physical liberty. However, a number of organizations continue to contribute to the civil Gideon movement in Maryland. Members of the Public Justice Center (PJC) represented Ms. Frase in this case and continue to search for another test case that would be appropriate for arguing this right. In 2003, PJC founded the National Coalition for a Civil Right to Counsel (NCCRC), which was heavily involved in passing ABA Resolution 112A, which was previously discussed.<sup>19</sup>

It appears that the civil Gideon movement is gaining momentum and that the pressure on all branches of our Government from both the U.S. and international communities will cause a significant breakthrough in state policy, if not in national policy. This breakthrough is anxiously anticipated by the part of the legal community that is concerned with social justice, since the lives of U.S. citizens are becoming increasingly entrenched in the legal system, and the relative poverty in the U.S. continues to increase. Poor citizens are especially vulnerable in the face of the professionalized legal system. In addition, poor citizens have much more at stake in civil cases than do the majority of wealthier citizens who are not generally forced to fight for their basic rights. In some instances (e.g., child custody, eviction), at least as much, if not more, is at stake than in criminal

cases. Only time will tell whether the “obvious truth” of civil Gideon, which is recognized in other countries and especially necessary in the U.S., is indeed obvious to the U.S. justice system.

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### Acknowledgements

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## Captain America: Cold Warrior

Jordan Grant

On the seventh of March, 2007, the world learned that America's most patriotic superhero, Captain America, was dead.<sup>1</sup> Though experts often dismiss comic books as children's entertainment, Captain America's assassination set off a veritable firestorm in the media. The story of the sentinel's demise appeared prominently in the *New York Times* and the *New York Daily News*; shows on CNN, ABC, and Comedy Central discussed the repercussions of losing a cultural icon; and comic book store attendants were suddenly overrun with adult crowds trying to buy the sold out comic book.<sup>2</sup> In death, Captain America demonstrated the incredible power comic book superheroes still have in America's cultural consciousness.

Born in the heyday of World War II, comic books have only recently received the academic attention they deserve. Over thirty years ago, cultural historians Reinhold Reitberger and Wolfgang Fuchs were considered radical for asserting that the nation's comics "may mirror the American collective subconscious more faithfully than any other medium."<sup>3</sup> Academic work since then has supported the claim. In his own groundbreaking study, Bradford W. Wright noted that, though they are mostly the "domain of young people...from the shifting interactions of politics, culture, and audience tastes, and the economics of publishing, comic books have helped to frame a worldview and define a sense of self for the generations who have grown up with them." Unlike many other mediums, comic books have historically been considered low-brow, cheap entertainment. Though an accurate assessment, this quality also makes comic books an exceptional window into the perceptions of Americans in the past. The very cheapness of comic books has necessitated that creators rigidly cater to America's changing tastes.<sup>4</sup> As Wright puts it, comic books offer a "crude, exaggerated, and absurd caricature of the American experience tailored to young tastes," one that can be examined in order to find new nuances in America's historical values and ideals.<sup>5</sup>

Historically, the most memorable and culturally relevant comic books deal with America's superheroes. Champions such as Spider-Man, Superman, and Batman have made "lucrative, influential, and enduring contributions to American culture."<sup>6</sup> Though only a mid-level star, Captain America looms large in the both the comic world and the American consciousness. Ten months before

America entered World War II, Captain America #1 appeared showcasing a dashing Captain breaking into a Nazi meeting and delivering a jaw-crushing punch to Hitler.<sup>7</sup> When America finally entered the war, Captain America "with his wasp good looks...beat off the Axis powers almost singlehandedly."<sup>8</sup> Though his popularity waned in the postwar years, hitting a new low in the failed 1953 resurgence of the series, the patriotic hero endured, returning with his trademark shield in the sixties. His adventures continued until his final death, almost forty years later. Within comic book mythos, Captain America became the unquestioned leader of every group he joined. Though his superhuman abilities paled in comparison to his flaming and flying peers, the Captain became, as the series' current writer describes it, "a living symbol – more than Superman, more than Batman, he is all symbol. When Cap walks in a room, he has an effect upon everyone in it. *That's* what's at the core of his power."<sup>9</sup> The symbolic qualities of Captain America make him particularly suitable for a study of the cultural values reflected in comic books. As one editor described, Captain America has, since his creation, been "not a representative of America itself...but of the American ideal – individual freedom, individual responsibility, moral sensitivity, integrity, and a willingness to fight for right."<sup>10</sup>

Like all superhero-oriented comic books, the clearest cultural values that Captain America reflects are America's conceptions of evildoers and heroes. As a genre, superhero comics detail how the very best human beings thwart the nefarious plots and actions of the very worst. By studying comic books, one can see what Americans expected villains to look like in the past, what they believed they were after, and who had the right to oppose them. Though Captain America's extensive library could be used to study American perceptions in a number of eras, one of the most relevant periods for study would be the brief, ill-fated re-issue of the *Captain America* series in 1953, in the midst of the emerging Cold War. During the fifties, American culture overwhelmingly feared the specter of the Communist enemy, and within the pages of the *Captain America* series, this specter and its opponents took a definite and measurable shape. Furthermore, unlike other comic book series, the creators of *Captain America* chose to revisit the short-lived fifties Cap in 1972, reevaluating the cultural values he professed and comparing them to those held by the contemporary version of Captain America. A close, comparative study of the *Captain America* series in the 1950s and 1970s demonstrates that the comic books' evolving representations of the Communist enemy and the ideal American hero

paralleled and defined changes in America's cultural consciousness.

During the 1950s, the world of comic books attempted to reinvent itself to suit the desires of its customers. Following the triumph of the Communist Party in China, as historian Stephen J. Whitfield reports, "the Communist threat acquired virtually demonic proportions in the eyes of many Americans."<sup>11</sup> Leaving behind the sizzling hulks of Nazi Germany and Imperial Japan, comic-book creators seized upon this new threat and crafted "he-man adventure tales of U.S. soldiers and secret agents fighting the Communists in Korea, Europe, and even America."<sup>12</sup> As a whole, Communism "gave the comic book industry an opportunity to reprise its performance in World War II by speaking to the anxieties of its audiences and boosting its own patriotic image."<sup>13</sup> In the middle of this Cold War renaissance, Captain America reappeared as a dedicated "Commie Smasher."<sup>14</sup> Within the pages of *Young Men* comics, alongside his wartime allies - Sub-Mariner and the Human Torch- Captain America battled against illustrated version of perceived Communist threats. Though alternatives existed, Captain America usually faced two distinct communist archetypes: converted fascists and foreign spies.

Within the fifties-era *Captain America* series, the hero's arch-nemesis, the Red Skull, transformed into a mercenary fascist employed by the Kremlin. Formerly one of Hitler's top men, the Red Skull appears in Captain America's premier issue cavorting with Reds and gangsters. The narrator announces that the Skull now heads a sprawling crime organization, "working with the Reds in murder...sabotage."<sup>15</sup> When the Red Skull takes hostages at the UN, he claims victory for "me and my friends in the Kremlin."<sup>16</sup> In a later issue, the Skull lures Captain America and his sidekick Bucky into the wilderness, masquerading as a Red informant. Upon entering his hideout, the Red Skull reveals his true identity and shows the two captured heroes "instruments of torture used by Nazis during their late lamented campaign," exclaiming that "they've been smuggled into this country to be used by the communists and their agents to get secrets out of Americans!"<sup>17</sup> Like his torture racks, the fifties-era Red Skull is a fascist weapon used by the Reds to defeat their American enemies. Though rival ideologies, fascism and communism were "casually and deliberately" conflated within American society both "before and after the Second World War," creating the hybrid term "Red Fascism."<sup>18</sup> The conflation of these two ideologies at the beginning of the Cold War

"provided frightened Americans with the assurance that they knew what to expect from Russia... the analogy taught them...that the 1940's and 1950's were simply a replay of the 1930's."<sup>19</sup> Captain America's series demonstrates how ingeniously America's authors and illustrators could incorporate Red Fascism into their description of villains; without altering the Red Skull's past or forcing the character to change his core values, the creators were still able to make a fascist villain a newly-minted Red threat.

Aside from the Red Skull, Captain America spends the bulk of his time outwitting and outfighting foreign spies. In every case, these spies have ingratiated themselves into American society, hiding their Communist origins under a thin veneer of normality. By 1953, the Red Scare was well underway in American society. The infamous trials of Alger Hiss and the Rosenbergs fed the fear that the "friendly neighbor next door" might be a communist spy or "parlor pink."<sup>20</sup> Stephen J. Whitfield argues that America's inability to overcome the Communist threat through foreign policy fueled America's own domestic obsession with defeating the Red menace at home, where "the most vigilant patriots went after the scalps of their countrymen instead."<sup>21</sup> In the midst of this paranoid culture, most of Captain America's adversaries appeared, on the surface, extremely normal. However, a discerning mind could perceive that they were dreaded Soviet spies, armed with plans to hurt America. This concept of "hidden identities" was almost painfully highlighted in "Captain America Turns Traitor," where the hero realizes a friendly, liberal-minded doctor is actually an infamous Soviet spy by spotting a swallowed "hammer and sickle" Communist medal in the man's x-ray.<sup>22</sup>

Besides swallowed medals, several other "Red" qualities defined spies in the *Captain America* universe. In the issue, "The Executioner," a suspicious couple named Arnold and Lupa plot to kidnap an American nuclear scientist. Cleverly, Lupa seduces the young scientist and becomes his "gal." With the two heroes watching from the rafters, Lupa seductively leans across the dinner table and interrogates the scientist for secret information, saying, "[You can't tell] even me? We love each other and..." Throughout the story, Lupa uses her sexuality to ensnare the American scientist. Furthermore, as the two spies plot, both mention their fear of "the Executioner," a dreaded Red agent who kills any spies who fail, anyone "who stood in the way of Communist victory."<sup>23</sup> At the end of the story, with Captain America barreling towards them, Lupa reveals that she has been the dreaded Executioner all

along, promptly killing both her companion and herself. In both aspects of the story, Lupa has tremendous power over the men around her. Her actions reflect both the attitude of the comic world and American society in 1953. At the beginning of the Cold War, most comic books revolved around the themes of romance and anticommunism.<sup>24</sup> Furthermore, as Elaine Tyler May asserts, it was public opinion in the 1950s that “sexual excesses... would make individuals easy prey for communist tactics.”<sup>25</sup> During the period, highly sexualized women such as Lupa were commonly shown as “tempresses who seduced men into evil... women were blamed for men’s sexual transgressions that could lead them down the path to communism.”<sup>26</sup> Interestingly, Lupa’s sexuality and power threatens both the American scientist and her Soviet peers; though Reds are a threat to America in *Captain America*, women are an international menace.

Aside from reflecting the qualities of America’s perceived Communist enemies, the fifties-era *Captain America* describes what the period’s Americans believed their Red enemies were after. Even more than a worldwide communist revolution, the Reds in *Captain America* desired America’s nuclear technology and atomic rockets. When the two spies, Arnold and Lupa, kidnap a nuclear scientist, they interrogate him for information regarding America’s new atomic “firing pin,” a critical component of the country’s powerful “atomic cannon.”<sup>27</sup> The American fear of nuclear theft was not unfounded. In the late forties, the public had watched the shocking case of Klaus Fuchs, a scientific leader who covertly relayed nuclear technological information to Moscow.<sup>28</sup> Captain America’s comics highlight how, even after the U.S.S.R. developed the bomb, Americans feared losing their nuclear edge in the Cold War. In “The Return of the Red Skull”, for instance, the Captain’s arch-nemesis tortures the two heroes for information about America’s new “defense plans” and “rocket atom bombs.”<sup>29</sup> Though the two heroes manage to outwit the Red Skull and his goons, the threat of infiltration remains. In addition to showing America’s concern over keeping their nuclear superiority, the *Captain America* series touches upon America’s attitudes towards the bomb. The closing scene of “The Executioner” shows Captain America, Bucky, and the rescued scientist basking in the glow of a framed mushroom cloud. In reaction to this explosion, Captain America’s neatly sums up America’s attitude towards the atom bomb, saying, “A glorious sight... when it’s on *our side* in the struggle for *world peace!*”<sup>30</sup> In his own study of the

Cold War, Paul Boyer concluded that the “announcement of the Soviet blast... accelerated the shift from viewing the atomic bomb not as a terrible scourge to be eliminated as soon as possible, but as a winning weapon to be stockpiled with the utmost urgency.”<sup>31</sup> With little to no knowledge of radiation poisoning or the dangers of fallout (as evidenced by Captain America proximity to the explosion), Americans felt comfortable recommending the use of nuclear weapons in war. In 1950, a survey discovered that twenty-eight percent of those queried were in favor of dropping the atomic bomb in Korea; by 1951, fifty-percent supported using the bomb on so-called military targets.<sup>32</sup> Though Americans feared that their Communist enemies would steal their nuclear weapons, they generally saw atomic technology as America’s natural entitlement.

Captain America’s exploits strikingly illustrate how Americans viewed their perceived Communist enemies. However, his adventures also illuminate the other side of the spectrum, showcasing what qualities America assigned to its ideal heroes in a time of international unrest. Within the *Captain America* series, two opposing identities compete for supremacy: the hero as a vigilante and the hero as a soldier. Captain America’s vigilante elements appear prominently in the very first issue of the 1953 series. In this episode, Captain America attacks the villains, saves the day, and then tells converging police officers “You can take over from here, gentleman.” In several later instances, he and Bucky dash away from crime scene, saying variations of “Let the cops take over.”<sup>33</sup> Overall, the fifties-era Captain America initially has little respect for formal authority figures. Noticeably, Captain America operates outside official channels; in one story, an evil villain explains that the only way to contact the hero is through public communications, such as newspaper headlines.<sup>34</sup> Furthermore, Captain America originally has little need to work with the authorities beyond informing them where a group of villains have been captured. The hero seems to intuitively know who is a Red threat, even without the government’s intelligence. In one episode, he recognizes a photograph of a Soviet spy while a nearby military official remains oblivious to the beautiful woman’s true identity.<sup>35</sup> Vigilantism had always been present to a degree within comic books; heroes such as Batman and Superman often operated outside the official boundaries of the law, though usually (much like Captain America) with the American government’s tacit approval. Nevertheless, the presence of such vigilantism within Captain America’s fifties adventures calls attention to the latent frustration in U.S. society against corrupt officials and ineffective bureaucracies. Though this

anger and distrust of authority figures exploded during the McCarthy era, vigilante stories and motifs appeared prominently throughout the early Cold War. Written by author Mickey Spillane, one of the period's most popular novel series detailed the life of anti-hero Mike Hammer, a vigilante private eye who launched his own personal war against the Reds.<sup>36</sup> Oozing with disregard for the so-called "pansy" police bureaucracy, Hammer's popular exploits "treated...the procedural rules and legal guarantees that helped make civil society worth defending...with savage contempt."<sup>37</sup> In many cases, Captain America's actions faintly reflected the anti-establishment tendencies of vigilantes such as Mike Hammer.

Nevertheless, though vigilantism appears throughout the fifties series, the final issues of *Captain America* directly tied the hero to America's the military establishment, reducing him down from a superhero to a soldier. In the fifties, Americans embraced the military establishment to a level henceforth unseen in American society. On television "armed forces were consistently a part of popular entertainment."<sup>38</sup> Documentary programs such as "Victory at Sea" brought the military directly into America's living-rooms, making the armed forces's achievements a natural source of pride for all Americans.<sup>39</sup> Possibly under the influence of this sentiment, Captain America gradually embraced more and more official control and guidance. Though they had, in past issues, spent their non-fighting moments quietly living in hiding as a history teacher and student, the two heroes appear in "The Return of the Red Skull" in full military uniform, living on a military base. Rather than finding evildoers themselves, Captain America and Bucky are content to respond to official "calls for help," usually against spies. In fact, wherever he goes, Captain America is referred to as the nation's premier "spy-fighter," battling against "spy and saboteur gangs."<sup>40</sup> Though the revived series was cancelled soon afterwards, the Captain's transformation into a full-time soldier reflected the growing power of the military in America's cultural consciousness. Throughout its fifties-era revival, *Captain America* eagerly exhibited and supported America's popular perceptions of heroes and villains.

After a brief run in 1953, the revived *Captain America* series ended due to lagging sales. Across the industry, fifties-era comic books had a difficult time surviving in the Cold War market. In his encyclopedic study, Bradley Wright blames the 1950s slump on the maturing tastes of comic book readers, arguing that "the postwar comic book market

had not only grown, it had grown up. Even young people understood that the Cold War was not going to be won as quickly and easily as the comic book version of World War II."<sup>41</sup> The period's superheroes, though written to reflect common American values, were not the ideal combatants in an indirect world conflict with no foreseeable end. After 1953, Captain America vanished until the sixties, when the changing tides of American culture opened up a new window for the super hero comic books. During the sixties rebirth of the genre, superheroes became noticeably more human. Suddenly, they became interested in more than "fighting crime; now they are beginning to consider its causes."<sup>42</sup> By the 1970s, Captain America reflected "a nation weary of Cold War adventures and consumed with social problems."<sup>43</sup> His own unique identity and standards forced the hero to come to grips with the changing views of his nation. As the "sworn champion of patriotic values, Captain America now had to determine what those values now meant."<sup>44</sup> This impetus may have been what drove the creators of *Captain America* to develop a storyline where the contemporary Captain, circa 1972, could meet, battle, and critique his fifties-era persona. The reappearance of the dedicated Cold Warrior Captain allowed the series to critically examine the values of fifties America, exposing the flaws in the Red-hating logic of America's former hero.

Upon his return in "The Secret Origins of Captain America," the fifties-era Captain America captures his contemporary rival and explains his history. Though the 1953 series never called into doubt the Captain's true identity, the reawakened "Commie Smasher" explains that he was never the original Steve Rogers. Instead, the old Captain is revealed to be an enormous fan who ingested (along with a Bucky look-a-like) the very same super-soldier serum as the WWII hero.<sup>45</sup> Explaining his sudden disappearance and reappearance, the old Captain details how, late in 1953, he and his partner began "finding Reds where others saw nothing, like in Harlem and Watts [accompanied by a picture of the two heroes attacking a distraught, normal looking black man]...in fact, we found that most people who weren't pure-blooded Americans were Commies."<sup>46</sup> Fearful of the newly-made heroes "schizophrenic paranoia," the fifties government had the insane impostors frozen until a cure for their delusions could be found. They had remained in storage until a hawkish government agent, incensed by Nixon's visit to China in 1972 [pictured in the comic], had reawakened them to do battle with the Reds.<sup>47</sup> Even within his rewritten origin story, a critique of the old Captain America begins to take shape; no longer a

virtuous defender of the nation, the old Captain is a fraud, an impostor whose paranoid tendencies had merited twenty years of isolation.

In its own descriptions of fifties-era Communist foes, the *Captain America* series of 1972 attacks the culture of the Red Scare, undermining the idea of hidden Communist threats. When the old Captain fondly recounts his battles against the “clutching hand of communism across the globe,” the relatively normal-looking Soviet spies such as Arnold and Lupa are replaced by outright caricatures of Communist enemies. There is little subtlety to the imagined fifties-era foes; the enemy roster includes a green Hulk-like “Electro,” complete with a hammer and sickle tattoo, as well as a frightening Chinese assassin, called the “Man with No Face.”<sup>48</sup> Even the Red Skull, a character who fifties writers had carefully modified to preserve in his natural Nazi state, is simplified: the fifties-era Captain rewrites history by explaining that the Skull he fought was actually “a real Red who had stolen the name from a Nazi villain.”<sup>49</sup> In its reassessment of fifties culture, the seventies-era *Captain America* criticizes the past generation by arguing that Communist villains were clear, measurable evildoers, not the shadowy spies that prevailed in the Captain’s 1953 escapades. According the seventies retelling, the real veiled threats to America were none other than Captain America and Bucky.

During his reappearance, the old Captain America showcases a number of negative qualities which reflect America’s new view towards the heroes of the fifties. First, the old Captain incorporates the very worst tendencies of the Red Scare, calling those who question his judgment Red sympathizers or cowards “scared to face up to the Commies in war, like a real man.”<sup>50</sup> The old Captain’s sudden arrogance seems reminiscent of America’s most famous proponent of the Red Scare, Joseph McCarthy. Though written several decades after 1972, Fred Inglis’s comments about the Senator effectively sum up America’s opinion of the Senator by the mid-seventies, calling him a “gangster-bully” who “sweated and fought dirty” and fell after becoming “engorged with his own audacity.”<sup>51</sup> Though this connection already derides the old Captain, the series actually goes a step further, connecting the old hero’s tactics to those of fascists. In the middle of their fight, the new Captain tells his rival that “America has changed...in danger from within as well as from without...there’s organized crime, injustice, and fascism.”<sup>52</sup> Even in the early seventies, commentators increasingly saw the early

fifties and late forties as a frightening period, a time when America appeared fearfully totalitarian.<sup>53</sup>

Other negative qualities, previously unnoticed in the 1953 iteration of Captain America, become painfully evident upon his return in 1972. For instance, both Captain America and Bucky are portrayed as virulently racist. While meeting and battling Falcon, the new Captain’s African-American partner, the old heroes call him a “colored creep” and a “darkie,” saying that they are offended “someone like him” is attempting to carry on their proud tradition.<sup>54</sup> When visiting Harlem, the old Bucky appears visibly nervous; the old Captain assures him by saying “Don’t worry - the colored’s never bothered anybody.”<sup>55</sup> Importantly, racial attitudes did not appear in the 1953 run of Captain America. Creators of the 1972 series added this era-defining quality onto the character in order to continue their criticism. In the twenty years that had passed since the old Captain vanished, American attitudes towards race had transformed radically. Increasingly, Americans were aware that the Red Scare of the fifties had sparked a lock-down on civil rights issues. Leading politicians from both parties in the fifties “showed no sympathy for black aspirations for equal rights.”<sup>56</sup> In fact, supporting the equal treatment of America’s blacks was seen as an ideological commitment to “political subversion.”<sup>57</sup> Overall, as Stephen Spingarn, an aide to Truman, surmised, “The consuming fear of communism...has led many sincere persons into the belief that...change [be it civil rights or a compulsory national health program] is subversive and those who urge it are either communist or fellow travelers.”<sup>58</sup> Racism was not the only issue used to attack the fifties-era Captain. The new Captain America’s girlfriend, SHIELD agent Sharon Carter, also joined the fight against the bigoted heroes, exclaiming that she was a woman, not a “dame,” and that “[Women have changed a lot since the 1950s, in case you haven’t figured that out yet...just like everyone else!”<sup>59</sup> By the time the fifties-era imposters were defeated, the creators of the series had managed to insert a thorough, if at times overwhelming, criticism of American culture in the fifties. America’s mid-century perceptions of heroes and villains were mercilessly attacked, their flaws exposed and contrasted to the enlightened ideals of the new Captain America.

Studying the adventures of America’s star-spangled hero, Captain America, gives us the opportunity to reflect upon and nuance our own views on America’s changing cultural perceptions, particularly its conceptions of heroes and villains. During the fifties, *Captain America* demonstrated the

pervasiveness of ideas such as sexual containment, Red Fascism, and nuclear pride within American society. Beyond simply showcasing America's mid-century values, the series refined these ideas and can help researchers study them in all their complexity. For instance, though Captain America was an unquestionable hero in 1953, his actions display and ideological battle between radicalism and social conformity, a commonly forgotten undercurrent of debate that marked the era of the Red Scare. Though many comic books could be used to study America's mid-century values, the *Captain America* series uniquely revisits the Red Scare in 1972, allowing us to see how Americans had changed their views on heroes and villains. Though the writers in seventies conceived the fifties-era Captain as a racist, paranoid oppressor, their own critiques highlight how, for all its differences, the focus of American society largely remained the same. In both the fifties and the seventies, Captain America's enemies are not foreign nations or galactic invaders; they are domestic threats, men and women whose sinister nature hides behind a false patriotic mask. The revisited fifties Captain hides his own despotism behind his red, white, and blue uniform; his original foes in the fifties hide their Red origins behind a flurry of patriotic speech and manners. However, more than anything else, studying the American values within *Captain America* illustrates the need for introspection. When the true Captain America finally defeats his paranoid fifties impostor, knocking him to the ground with a shattering right hook, he pauses to reflect on what the madman had taught him about himself. At that moment, the hero realizes that he is lucky that he lacked the "fatal flaw...that would have driven him to super-patriotism, madness, and mayhem." The comic ends on a reflective note, with the Captain looking down on his vanquished foe and saying, "He could have been me."<sup>60</sup> Just as the seventies Captain realized how close he came to becoming a monster, so must we remember that, though we may demonize their forefathers, the negative values of the past could always remerge in our own culture. Only after careful reflection, and perhaps the aid of a good comic book, should we try to define our own heroes and villains.

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## From Ape to Artist: A Gradualist Approach to the Origin of Modern Human Behavior

Emilie Vogel

The human journey from tree-swinging primate to philosophical tool-maker is long, tangled, and shrouded in mystery. Over the past several decades, anthropologists have brought our species continuously closer to understanding its origins – identifying an impressive lineage of hominid ancestors and their associated material culture. Yet ultimately what makes us human is our unique understanding of the world and our ability to predict and manipulate our environment. The question of when this “modern” perspective and associated behavioral repertoire evolved is the subject of heated debate. Until the early 1990s, most theorists believed that human cognition and behavior did not reach their current level of complexity until approximately 40,000 to 50,000 years ago, long after *Homo sapiens* became anatomically modern. While numerous explanations for this “creative explosion” have been proposed, new evidence from Africa’s Middle Stone Age (MSA), approximately 250 ka to 40 ka, has forced scholars to reassess the late development of “modern” behavior.<sup>1</sup> Although many researchers continue to interpret the archaeological record as revealing dramatic changes between the Middle Paleolithic (MSA) and Upper Paleolithic (Africa’s Later Stone Age), a growing body of evidence indicates that this transition occurred slowly and gradually throughout human evolution.

While the development of human cognitive capabilities is difficult to track, the evolution of human anatomy is better understood. Fossil evidence has repeatedly pushed back the origins of *Homo sapiens*, and it is now thought that the species reached its current form approximately 150,000 to 200,000 years ago.<sup>2,3</sup> Yet despite being anatomically modern, many researchers view early human material culture as remaining remarkably stable for another 150,000 years.<sup>4,5,6,7</sup> The Acheulian industry persisted until approximately 100,000 BP – roughly half of human existence – only to be succeeded by the Mousterian tradition, which lasted an additional 40,000 to 50,000 years among Neanderthals and early humans.<sup>8</sup>

The heart of the debate over the emergence of “modern” behavior lies in the transition (or lack thereof) between 40,000 and 60,000 years ago from the “stagnant” Mousterian industry of the Middle

Paleolithic (MSA) to the full repertoire of what most would consider undeniably human cultures. Although the phrase “modern behavior” is highly ambiguous, Henshilwood and Marean define it as “behavior that is mediated by socially constructed patterns of symbolic thinking, actions, and communication that allow for material and information exchange and cultural continuity between and across generations and contemporaneous communities.”<sup>9</sup> However, the concept is more often defined through the numerous characteristics that exemplify it. The art, personal decoration, deliberate burial, sophisticated hunting techniques, long distance trade, standardization and diversification of artifacts, bone working, blade technology, and organization of dwellings that become common during the LSA are all traditionally viewed as clear indicators of modernity.<sup>10,11,12,13</sup>

Advocates of a late and rapid development of modern behavior view these “modern” traits as developing simultaneously in a revolutionary leap forward approximately 40,000 BP. While they acknowledge that some sophisticated traditions were practiced in Africa during the MSA, they interpret these achievements as rare glimpses of light. The majority of MSA subsistence practices and technology are construed as highly simplistic, akin to those used by earlier hominids and Neanderthals.<sup>14</sup>

Although the search for a Middle to Upper Paleolithic “revolution” has historically centered on Europe, the majority of proponents of the late and rapid development model believe that an equally revolutionary shift took place either simultaneously or slightly earlier in Africa. A selection of late MSA early LSA finds appear to support this claim. The earliest unambiguous items of personal decoration in Africa are a series of eggshell beads dated at around 40,000 BP.<sup>15</sup> A similar transitional site occurs in South Africa, where the development of blade technology is clearly documented at approximately 40,000 years ago.<sup>16</sup>

The lengthy co-occupation of the Levant by humans and Neanderthals lends additional support to a relatively late and rapid development of “modern” behavior. For up to 60,000 years the two species shared land, competed for resources, and perhaps even interacted.<sup>17</sup> Yet between 60,000 and 40,000 BP something tipped the scales in favor of *Homo sapiens*. Neanderthal populations began to decline rapidly, disappearing altogether by approximately 30,000 years ago.<sup>18</sup> Many suggest that it was a new capacity for art, ingenuity, and symbolic thought that

gave humans a new competitive edge at the dawn of the Upper Paleolithic.<sup>19,20</sup>

Several theories have been proposed to explain how and why this fundamental shift in human behavior occurred. Ultimately, the cognitive capacity to think in complex and creative ways must precede any attempts at art or innovation. This has led some of the strongest supporters of a Paleolithic “revolution” to explain archaeological changes in terms of a physical alteration in neural wiring approximately 40,000 to 50,000 years ago.<sup>21</sup> Some suggest that this physical change impacted linguistic abilities and the associated use of symbols, perhaps allowing for the development of syntax or the extension of language to non-social domains.<sup>22,23,24,25</sup>

Others suggest that evolutionary development was specifically related to the organization and complexity of thought. New neural wiring may have allowed late MSA humans to form connections between various cognitive domains for the first time.<sup>26</sup> This would have given rise to distinctly human inventions, like art.<sup>27</sup> Mithen’s theory, though difficult to prove, gains credence from the work of Kuhn and Stiner, who propose that as an item begins to serve multiple functions, it evolves in more diverse ways.<sup>28</sup> For example, if a blade used in hunting can also improve social standing, future blades will be created in new styles that more efficiently satisfy both functions. The rapid diversification of material culture 40,000 years ago could reflect a newly developed ability to understand a concept as it relates to multiple domains, making this process possible.

The role of demographic and sociocultural forces as a catalyst for change has been repeatedly documented throughout human history. The rise of agriculture during the Neolithic Revolution resulted in wide-sweeping physical and cultural developments easily equitable with those of the Paleolithic; yet no change in cognitive functioning was necessary for this transition to occur.<sup>29</sup> While many are skeptical that a biological change in neural processing evolved 150,000 years later than modern human anatomy, the possibility that cognitive ability remained untapped prior to 40,000 BP is more widely accepted.<sup>30</sup> The stimulus that eventually led *Homo sapiens* to recognize their full potential is uncertain. However, new forms of economic specialization, increased food sharing, population growth (and subsequent increases in inter-group conflict), and environmentally-driven migrations and changes in resource availability have all been proposed as potential influencing factors behind behavioral change.<sup>31,32,33,34,35</sup> The social nature of these forces may be reflected in the

development of ritualized traditions and personal ornamentation around 40,000 years ago, practices that create group solidarity through instilling a sense of ethnic identity.<sup>36,37</sup>

Despite numerous theories designed to explain a late emergence of “modern” behavior, none go beyond simple speculations to provide convincing evidence of change. The human brain reached its full size by at least 100,000 and perhaps as early as 200,000 years ago.<sup>38,39</sup> The physical structures necessary for speech evolved even earlier. Some form of language may have existed as early as 500,000 BP.<sup>40</sup> With the brain and vocal apparatus already fully developed, it is impossible to identify a neurological change 40,000 to 50,000 years ago.<sup>41,42</sup>

Evidence for a demographic or sociocultural shift is equally elusive. The archaeological record remains too sparse to accurately track alleged migrations within Africa or changes in population density.<sup>43</sup> Even with sufficient fossil evidence, proving shifts in hypothesized social forces, like increased economic specialization, conflict, or food sharing, will prove difficult. Whether biologically or socially driven, the only evidence supporting such “late emergence” models comes from the very material record the theories attempt to explain.

A key argument underlying a late emergence and rapid transition to modernity is that shifts between the MSA and LSA mirror those that occurred between the Middle and Upper Paleolithic in Europe.<sup>44</sup> If a rapid transition occurred in Africa first, it implies a fundamental change in human behavior. If a gradual transition occurred, then the well documented transition that took place in Europe can only be explained by the replacement of native Neanderthal populations by fully modern *Homo sapiens* traveling out of Africa.

Although many paleoanthropologists have drawn parallels between the two transitions, the majority of African sites used as evidence are vastly separated in time. Middle Stone Age sites are often over 50,000 years old, while Later Stone Age sites can be as young as 20,000 years old.<sup>45</sup> That leaves a span of 40,000 years over which the alleged “rapid” transition took place. Increasing amounts of “sophisticated” material culture towards the end of that lengthy span can be attributed, at least partially, to the natural deterioration of older sites.<sup>46</sup> The problem is confounded by the small and concentrated nature of many MSA sites and their frequent submergence by changing coastlines.<sup>47</sup>

Increasing evidence suggests that many of the practices and technologies traditionally deemed indicative of “modern” behavior in the Upper Paleolithic (e.g., bone working, art, personal ornamentation, novel hunting techniques, etc.) have predecessors in Africa’s Middle Stone Age. Rather than allowing these new finds to inform theories concerning the development of “modern” human behavior, proponents of a rapid and distinct Middle Paleolithic to Upper Paleolithic transition dismiss them as faulty, sporadic, or flukes.<sup>48</sup> For example, behavior like the creation of half-man, half-beast drawings is interpreted by Mithen as evidence for a late evolution of the ability to think across various cognitive domains.<sup>49,50</sup> However, when faced with similar examples from the MSA, such as a 100,000 BP human burial associated with grave goods, he dismisses them purely on the grounds that other “sophisticated” technology is lacking.<sup>51</sup> Behavior deemed worthy of the label “modern” in the Upper Paleolithic is interpreted as evidence that early humans “drift in and out of cognitive fluidity” throughout the MSA.<sup>52</sup>

Numerous contemporary examples as well as common sense suggest that lack of technology is not sufficient evidence for an inability to develop such technology. However, this is a common argument used by researchers like Richard Klein and Stephen Mithen, who advocate a neurological change around 40,000 to 60,000 years ago.<sup>53,54,55</sup> Using this logic, contemporary hunter-gatherer groups like Australia’s Aborigines lack the cognitive capacity to create DVDs, laptop computers, or even metal plows merely because such innovations were not traditionally part of their material culture.

Similarly misguided is the assumption that MSA culture is substantially simpler than that of the LSA or Upper Paleolithic.<sup>56</sup> Determining what constitutes a “simple” burial, tool, or decorative piece is highly subjective. Despite good intentions, the researcher must inevitably interpret finds based on deeply rooted culturally based schemas. Beautiful Upper Paleolithic Cro-Magnon cave paintings and sculptures fit neatly within the traditional Western understanding of “art.” Yet it is unreasonable to interpret the traditions of 100,000-year-old cultures through criteria based on our own vastly removed worldview. For example, several pieces of ochre and bone have been found etched with lines in Blombos Cave, South Africa dating back 70,000 years.<sup>57</sup> While some have dismissed these markings as accidents of human activity or nature,<sup>58</sup> recent evidence shows that they were intentionally made.<sup>59</sup> Although such lines mean little to us today, even a

“simple” mark can have great significance to its maker. In discussing Upper Paleolithic art, Mithen describes the elaborate story that can be conveyed by the Aboriginal symbol of two parallel lines intersecting a circle.<sup>60</sup> Despite recognizing that highly symbolic and complex ritualistic traditions of the Upper Paleolithic are often lost on the ignorant researcher, he refuses to recognize that the same is true of Africa’s Middle Stone Age.

Among the least disputable evidence for “modern” behavior is the journey across at least 60 miles of open ocean to populate Australia. The early explorers, traveling by some type of watercraft, arrived around 60,000 years ago and began engaging in rock painting, cremation of the dead, and long distance trade soon after.<sup>61,62</sup> A 40,000 to 60,000 BP transition to recognizably human behavior does not leave sufficient time for this migration to occur, nor for the general spread of modern behavior across the Old World and extinction of archaic hominids.<sup>63,64</sup>

Over the last few centuries, Western civilization has repeatedly dismissed other cultures as inferior and barbaric. The continued insistence that “modern” behavior did not emerge until *Homo sapiens* left Africa for Europe, despite evidence to the contrary, carries an unpleasant and unscientific air of Eurocentrism.<sup>65</sup> The entire concept of an “Upper Paleolithic revolution” is founded on the theory, now commonly accepted as false, that humans evolved parallel to one another from existing hominid populations around the world approximately 40,000 years ago.<sup>66</sup> While most biological anthropologists now agree that *Homo sapiens* evolved in Africa closer to 200,000 years ago, late emergence advocates have continued to act under the assumption that a fundamental shift occurred around 40,000 BP. Some even argue that it was the act of leaving Africa that spurred the great advance in human cognition, although no explanation is given for the force that eventually led to the same developments in African MSA populations.<sup>67</sup>

The distinctions drawn between early modern humans and those of the Upper Paleolithic and LSA are disturbingly reminiscent of those historically drawn between Europeans and the non-Western world.<sup>68,69</sup> As McBrearty and Brooks point out, the trait lists anthropologists regularly use to describe the concept of “modern” behavior have much in common with those developed in the early 20<sup>th</sup> century by Childe to distinguish “barbaric” cultures from “civilized.”<sup>70</sup> Just as barbarism was determined through a culture’s similarities to the Western ideal, “modernity” is determined through comparison with

the rich archaeological record of Europe's Upper Paleolithic.<sup>71</sup> Had initial research taken place elsewhere, the Levant for example, the criteria for modernity would look quite different.<sup>72</sup>

Various parts of the world exert different forces on the populations that live there. For example, groups living in MSA Africa had access to plant food all year round, while those living in Upper Paleolithic Europe would have been forced to hunt during winter months.<sup>73</sup> Consequently, comparing early humans living in tropical Africa or the arid Levant with those living in temperate Europe is misleading.<sup>74</sup> Further differences arise in the historical context of the Cro-Magnon and Middle African human experience. Early Europeans were entering a strange new world complete with new food sources, new weather conditions, and new competition in the form of Neanderthals. This range of experiences was vastly different from that of African predecessors and undoubtedly had a profound impact on worldview and cultural practices.

An unintentional Eurocentric bias also emerges from the sheer quantity of material recovered from Upper Paleolithic archaeological sites. Very few African sites actually date to the "transition" years those interested in the rise of "modern" human behavior are most concerned with.<sup>75</sup> Those that do are predominantly located in South Africa; regions in West Africa have been virtually ignored.<sup>76</sup> In contrast, Europe has been extensively researched. The number of archaeological digs conducted per square kilometer vastly exceeds those done in Africa.<sup>77</sup> Differential preservation compounds the problem. In Africa, the geological layers that form the foundations of most caves are acidic in nature. In contrast, caves throughout Eurasia tend to be composed primarily of limestone, an alkaline mineral that provides a safe resting ground for prehistoric artifacts.<sup>78</sup>

Bias extends far beyond Eurocentrism. According to Greene, the drive to pinpoint a precise moment at which "humanity" begins is inherently guided by the innate desire for human uniqueness.<sup>79</sup> If Adam and Eve were sculpted from living clay some 200,000 years ago, then the search for "modern" behavior is the search for the first bite of the forbidden fruit; it is the search for a clean starting point for humankind. Yet, humans are animals, subject to the same rules of evolution as the chimpanzee. There is no scientific reason to assume a radical shift in behavior ever occurred, particularly as a unified assemblage of traits 40,000 to 50,000 years ago.

With so much pure speculation and so many sources of error and bias, the task of understanding the natural evolution of cognitive processes and behavior is daunting. Nevertheless, the development of the brain is an important component of paleoanthropology. Behavior is as central to understanding a species as physical form, and particularly fascinating when the species in question is *Homo sapiens*. Ultimately, the only solution is to remain aware of the dangers of being overly reliant on internalized worldview and to take the material record for what it is: a useful yet incomplete picture of millennia past.

Working under this framework, a number of researchers have suggested that the evolution of human behavior was a long and gradual process beginning in Africa and extending throughout the Upper Pleistocene.<sup>80,81,82</sup> According to this approach, termed the "gradualist model" by Henshilwood and Marean, the human brain was fully capable of "modern" behaviors by the time it reached anatomical modernity.<sup>83</sup> Characteristics viewed as indicative of the "modern" mind appeared gradually throughout the MSA; no radical change took place.<sup>84</sup>

The archaeological record is rich with MSA examples of behavior and technology once thought exclusive to Upper Paleolithic Cro-Magnons. According to Mellars it is now apparent that many "Upper Paleolithic" innovations appeared at least 30,000 to 40,000 years earlier in Africa than in Europe.<sup>85</sup> These practices span numerous domains: standardization and diversification of tools, regular use of bone, antler, and ivory, body decoration, exchange networks, increased geographic range, blade and point technology, sophisticated hunting strategies, modification of habitation sites, ritualized burials, etc.<sup>86,87</sup>

Among the earliest and most dramatic examples of undeniably "human" behavior are the deliberate burials found at the Skhul V site in Israel. One body, dated at 90,000 years, was found surrounded by deer antlers, red ochre, and perforated marine shells- the earliest known example of grave goods.<sup>88</sup> Another early Israeli burial included a wild boar jaw carefully placed under the arm of the deceased.<sup>89</sup> The perforated shells associated with the Skhul V remains reflect a second distinctly human tradition. Body decorations in the form of ochre pigment and collections of beads have been found at several MSA sites in Africa and the Levant.<sup>90</sup> One such bead collection, including 41 examples of perforated tick shell, may have originated as early as 75,000 BP.<sup>91</sup> The ritualized burial practices and personal

ornamentation indicated by these ancient finds offers compelling evidence of symbolic thought and self-awareness.

Middle Stone Age technological advancements, illustrated reliably by several sites, are equally impressive. In Africa, blade technology dates back to at least 80,000 BP, hafted projectile points to 100,000 BP, and barbed bone points to between 60,000 and 80,000 BP.<sup>92</sup> Some of these points are remarkably sophisticated, with a thin aerodynamic design that varied regionally and was potentially designed for use with a bow and arrow.<sup>93</sup>

“Modern” behavior is generally viewed as more than just symbolic and technological sophistication. Sociocultural developments are used as indicators as well. Such indicators, initially deemed exclusive to the Upper Paleolithic, are becoming increasingly apparent in the MSA archaeological record. For example, there are numerous reports of obsidian on MSA sites that originated from far a field, presumably through networks of exchange. Seven pieces of obsidian from the Mumba Rock Shelter in northern Tanzania have been traced to an outcrop 320 kilometers away.<sup>94</sup> There is also evidence that many early groups occupied well organized habitation sites. One such MSA site includes six distinct stone-lined hearths, one of which appears to have been a roasting pit.<sup>95</sup> Other sites in Morocco and Niger contain evidence of postholes, and thus manually constructed dwelling places.<sup>96</sup>

Throughout prehistory, new technologies appear to emerge with new hominid species. Logically, it follows that the human capacity for developing new technology evolved simultaneously with our current anatomical form.<sup>97</sup> This appears to be the case. The end of the Acheulian industry and emergence of the MSA parallels the evolution of *Homo helmei* and early *Homo sapiens*.<sup>98</sup> Although not widely discussed, this transition from the large bifaces and hand axes of the Acheulian to the more diverse technologies of the MSA and the development of hafting and prepared core technology marks a turning point in hominid material culture.<sup>99</sup>

Nevertheless, the “modern” behaviors that emerged with the species were not unexpected. Behavioral evolution, like physical evolution, has been a continuous process from the earliest mammalian ancestors up through the present generation. While species like *Homo erectus* that preceded *Homo sapiens* did not have the brain capacity and consequently the full behavioral repertoire of humans, it is likely that many hominin

species exhibited precursors to “modern” human behavior.<sup>100</sup> For example, blade technology and the use of red ochre appear to extend back at least 250,000 years.<sup>101</sup> Some have even argued for a symbolic interpretation of intentional markings on bone, ivory, and quartzite found associated with *Homo erectus*.<sup>102</sup> This hypothesis, while debatable, clearly illustrates the potential for a lengthy gradual development of human behavior.

The most significant barrier to accepting a gradual and continuous evolution of fully modern behavior is found in the oft cited “rapid changes” of 40,000 to 60,000 years ago. Yet the apparent gap between the symbolic, social, and technological innovations of the Middle Paleolithic and the Upper Paleolithic has been steadily decreasing as the number of early African finds grows. Differences in the wealth of “sophisticated” Upper Paleolithic finds are likely due to the better preservation of these more recent materials. Archaeologists cannot expect to uncover as many 100,000-year-old sites as they will 40,000-year-old sites. Quite simply, the older the site, the less likely the chances of delicate artifacts like fish bones, worked bone and ivory, and fine points surviving.<sup>103</sup> It is largely through luck that so many works of Paleolithic art and innovation have been preserved in the ubiquitous caves of Europe. Similar creations may well have existed elsewhere but been lost to time due to creation in less durable media or exposure to the elements.<sup>104</sup>

Nevertheless, the deterioration of older sites cannot fully explain the gaps found in MSA technology and the increase in that technology around 45,000 years ago.<sup>105</sup> These gaps are easily accounted for by the slow, natural, accumulative development of the gradualist perspective. Such piecemeal development is what one would anticipate seeing as humans equipped with fully “modern” brains continued the process of mental exploration begun by primate ancestors long ago. Gradual developments in technology and symbolic thought occurring at various times in various places would slowly improve a population’s cognitive scaffolding. This in turn would allow for further improvements in technology and symbolic thought.<sup>106</sup> The “transition” observed and so hotly debated is largely arbitrary, as evidenced by the broad range of dates (between 60,000 and 30,000 BP) during which the event supposedly occurred. It represents the gradual accumulation of new innovations, as the cultural underlay necessary for ever increasing sophistication continued to grow.

“Gaps,” when not due to the natural deterioration of sites, are not indicative of a lower capacity for “modern” behavior. A technological innovation may appear in one community, spread to its neighbors, and over time be lost. In another region, older Mousterian technology prevails, but a new sense of spirituality emerges. As with late emergence theories, such variation in when and where various “modern” behaviors appear can be explained by the environmental and sociocultural forces acting on a population. James and Petraglia suggest that increased inter-group conflict is likely to result in developments like personal ornamentation that create ethnic identity.<sup>107</sup> When cultural drift is the driving force behind change, more practical innovations are likely to emerge.<sup>108</sup> It is also important to note that researchers can never know the full repertoire of behaviors exhibited by an ancient population. Only a handful of indicators of “modern” behavior remain for anthropological analysis. Countless rituals and traditions leave no trace, and it is likely that many symbolically significant items and tools were created from delicate organic materials easily lost to the elements.

The LSA and Upper Paleolithic were revolutionary, but not in the manner traditionally believed. Revolution came in the development of *Homo sapiens*, a small weak tropical ape, into a formidable world presence. The intelligence, adaptability, technology, and ingenuity that traveled with humankind out of Africa gave our species a competitive edge over the other leading hominid in Europe and Asia as well as over the harsher habitat. This ability to adapt and, for better or worse, to conquer remains a central part of what defines humanity. Over hundreds of thousand of years, this ability has led *Homo sapiens* from stones blades to space travel, from hollow bone flutes to Mozart concertos. While much has changed since the African Middle Stone Age over one hundred thousand years ago, our essential humanity has not.

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## Collective Security, Games, and the Sino-Indian Border Dispute

Sam Birnbaum

*Two types of game theoretical dilemmas are most prevalent in international security: Stag Hunts and Prisoner's Dilemmas. While Stag Hunts have two Nash equilibria, one of which is pareto optimal, Prisoner's Dilemmas have only one, and it is not pareto optimal. The India-China border dispute follows the pattern of the Prisoner's Dilemma, not the Stag Hunt. The unique value of the disputed territories makes the risk of demilitarization particularly high for both sides—thus encouraging both states to behave in risk-averse manners and not make the sacrifices necessary for a resolution. The result is a stalemate. For a resolution to be reached on the border issue, the game's structure must be modified so that demilitarization and concession are less risky than they are at present.*

The notion of the collective security dilemma has occupied international security discourse for much of the last fifty years. The concept - that arms races, wars, and a myriad of other international crises are explicable through simple 2 x 2 games - is both elegant and intrinsically appealing. Theorists and mathematicians have conducted extensive research on the mathematical properties of 2 x 2 games, dividing them into various categories and promulgating rules about how they are best played. Likewise, historians, international relations scholars, and security specialists have analyzed dozens of case studies in which game theoretical mechanisms are at work.

In this paper, I continue and expand on those lines of scholarship by examining the Sino-Indian border dispute in terms of the collective security dilemma. However, instead of merely outlining how the dispute fits the conditions of a security dilemma, I attempt to determine which type of dilemma the case resembles, and derive several conclusions about why it has not been resolved. While I do not conduct extensive quantitative analysis, I do qualitatively assess the dispute's variables and compare them to two pre-established mathematical frameworks: 'Stag Hunt' and 'Prisoner's Dilemma.' I begin by summarizing the scholarly discourse on collective security dilemmas and defining 2 x 2 games, and also provide a brief history of the dispute. I then proceed to argue that the unique geopolitical situation surrounding the dispute and the intrinsic value of the disputed territories gives both sides strong incentives

not to resolve the issue, thus sustaining the impasse. In theoretical terms, the Sino-Indian dispute is analogous to a Prisoner's Dilemma, in that it has a single Nash equilibrium - stalemate. In order to reach a sustainable resolution to the dispute, both sides must work to alter this structure so that an equilibrium outcome exists in which both sides can compromise their border claims.

### Review of Relevant Literature

The idea of the collective security dilemma is rooted in two-player non-zero-sum games. These games feature two players, who must each choose from two options, with no knowledge of the other's decisions. The players' choices (interpreted through the unique rules of the game) invariably result in one of four outcomes. Consider the following structure, first suggested by Jean-Jacques Rousseau and commonly known as a 'Stag Hunt':

	Player 1 Cooperates	Player 1 Defects
Player 2 Cooperates	1. Utility: (Player 1: 7, Player 2: 7)	2. (4, 1)
Player 2 Defects	3. (1, 4)	4. (4, 4)

Notice how the maximum payoff for both players is found in Quadrant 1, when both players cooperate. A risk-averse player, however, might defect to ensure that he is not assigned the lowest possible utility. The structure features two Nash equilibria (Quadrants 1 and 4), of which one is pareto optimal.<sup>1</sup>

Now consider the classic 'Prisoner's Dilemma'<sup>2</sup>:

	Player 1 Cooperates	Player 1 Defects
Player 2 Cooperates	1. (5, 5)	2. (7, 1)
Player 2 Defects	3. (1, 7)	4. (2, 2)

In this scenario, the maximum individual payoff is found by defecting when the other player cooperates. A player faces utilities of 7 or 2 if he defects, and 5 or 1 if he cooperates. Assuming no prior knowledge of the opponent, the only logical choice for both players is defection, leading to a non-pareto optimal Nash equilibrium at Quadrant 4.

In the past fifty years, a substantial body of literature has developed which uses these models to explain arms races, disarmament politics, diplomatic

impasses, and violent conflicts. Herz (1950) invented the phrase 'security dilemma' to describe the game theoretical issues inherent to international security politics.<sup>3</sup> To illustrate Herz's dilemma, replace the two players with sovereign states, and replace 'cooperate' with 'increase arms production' and 'defect' with 'decrease arms production.' Quadrant 1 thus becomes 'Disarmament,' Quadrant 4 becomes 'Arms Race,' and Quadrants 2 and 3 become 'A Gains Strategic Advantage' and 'B Gains Strategic Advantage' respectively. Under the Prisoner's Dilemma structure, a risk averse state (assuming no prior knowledge) should increase arms production – invariably resulting in an arms race. Levy (1985) and Roe (1999) applied this same framework to intra-state conflict resolution and reconciliation, while Snyder (1984) applied it to bilateral alliance formation.<sup>45</sup>

A significant weakness inherent to non-zero-sum games, however, is the inability of their creators to accurately determine *which* reward structure is present. Determining the Nash equilibrium, and thus the likely long-term outcome, is entirely dependent on the quantitative utilities associated with the possible outcomes. In 'real life' scenarios, these values are subjective and based as much on the individual perceptions of the states' leaders as they are on measurable consequences. Moreover, states in actual security dilemmas *do* have access to prior knowledge about their 'opponents'' intentions, which can lead them to make different decisions than they would in a vacuum.<sup>6</sup> Axelrod (1981) proved using Monte Carlo simulations that in such 'informed' cases, the optimal strategy frequently differs from the standard.<sup>7</sup>

This flaw is especially significant because the preferred method for negating the security dilemma differs based on its reward structure. In 'Prisoner's Dilemma' cases where the only stable outcome is non-optimal, the objective for negotiators must be to substantively modify the reward structure so that a stable outcome exists that is superior for both sides. This can be done by increasing the benefits associated with cooperation or increasing the penalties for defection (analogous, in a sense, to diplomatic 'carrots' and 'sticks').<sup>8</sup> In 'Stag Hunt' situations (in which a stable optimal scenario already exists), however, negotiators must only shift the equilibrium from one equilibrium 'pole' to the other. Plous (1988) refers to these situations as 'Perceptual Dilemmas,' and contends that they are most easily resolved by building trust between the two parties. Taking the example of nuclear disarmament, he explains that "unlike a Prisoner's Dilemma, in which

conflict is endemic, a Perceptual Dilemma can be solved when either side persuades the other that it generally desires mutual disarmament more than unilateral disarmament."<sup>9</sup> When policy-makers misidentify the structure of the game in which they are entangled, they utilize inappropriate strategies for resolving them, and thus prevent successful resolutions. This sort of impasse is exemplified by the contemporary Sino-Indian border dispute.

### **The India – China Dispute**

The China-India dispute centers around two territories: Arunachal Pradesh (also referred to as South Tibet or NEFA), controlled by India, and Aksai Chin, controlled by China. At present, both states claim both territories. Arunachal Pradesh is the larger of the two, and although sparsely populated, has significant mineral resources and a burgeoning hydroelectric power system. In contrast, Aksai Chin possesses no significant natural resources and has virtually no permanent settlements. It is tiny, rugged, and nestled in the corner of Kashmir, surrounded on three sides by China proper. It's only distinguishing 'feature' is a trade highway connecting the Chinese provinces of Tibet (Xizang) and Xinjiang.

The territorial dispute has its roots in agreements made between the British (then the colonial administrators of India) and Chinese governments. A series of diplomatic misunderstandings in the late 19<sup>th</sup> and early 20<sup>th</sup> centuries led both sides to regard both territories as their own. As a result, the British aggressively settled Arunachal Pradesh, while the Chinese established a small presence in Aksai Chin. Immediately after Indian independence in 1947, the new government led by Jawaharlal Nehru affirmed its commitment to the British borders. In 1949, Communist China announced its rejection of the British lines and its intention to reoccupy Tibet proper. Tensions between the two states gradually increased through the 1950s, and culminated in the 1962 war, in which China overran large tracts of Arunachal Pradesh, but unilaterally withdrew after several months.<sup>10</sup>

From the end of the 1962 war until the early 1990's, the border remained peaceful, though contentious, while Sino-Indian relations at large were frosty. The end of the Cold War, however, significantly reduced tensions and prompted a series of diplomatic exchanges. In 1991, Chinese Premier Li Peng visited India and in 1992 the Chinese Consulate reopened in Mumbai. The two states subsequently signed a series of economic agreements and, following China's entry into the World Trade Organization (WTO) in 2000, substantially reduced

tariffs across the board. Bilateral trade has grown from \$117 Million in 1987 to approximately \$20 Billion in 2006, and is projected to reach \$30 Billion by 2010.<sup>1112</sup> The two states also have continuous diplomatic contacts and have signed numerous ‘peace and understanding’ agreements.

Progress on the border issue, however, has been miniscule. Although the two states have signed a series of agreements pledging to reach a peaceful settlement based on “national sentiments, practical difficulties and reasonable concerns and sensitivities,” neither side has actually moderated its territorial claims. Although armed conflict along the border appears unlikely (at least in the short-term), both sides maintain substantial military presences in the regions, particularly along the Arunachal Pradesh LOC. Moreover, both sides occasionally ‘stir the pot’ with provocative public statements about the border. In June 2007, for example, the Chinese government denied an Indian official from Arunachal Pradesh a Chinese visa on the grounds that he did not require a visa to visit ‘his own’ country.<sup>13</sup>

Within our game theoretical model, the current status quo is roughly equivalent to ‘Quadrant 4’ in the earlier examples, while a sustainable resolution to the dispute would be equivalent to ‘Quadrant 1.’ Both China and India would benefit from a diplomatic resolution. Although the border is currently stable and unlikely to trigger a war, the friction resultant from the dispute certainly inhibits closer cooperation between both sides. An agreement would allow the two sides to reduce their military commitments along the border, a particularly valuable benefit to China, which is eager to expand its strategic influence elsewhere in Asia. An agreement might also allow for further Sino-Indian cooperation in the Indian Ocean, which could help ensure both sides’ access to vital sea lanes and would probably help both expand their respective spheres of influence. Moreover, under the preexisting diplomatic framework, which calls for an agreement based on the existing LOCs, neither side would have to make significant territorial concessions—only surrender their claims on the other’s territory. All included, both sides would find an agreement preferable to the status quo.

Reaching the pareto superior solution (agreement), however, requires that both sides relinquish their claims to the other side’s territories. At first, one might think that the solution here is simple – both sides sign a treaty in which they jointly renounce their claims. The real sign of agreement, however, would not be the treaty itself, but rather military demobilization on the disputed borders. The

Indian Army has eight divisions deployed in the East-India ‘peninsular’ region, seven of which are specialized mountain divisions (although, admittedly, not all of those are tasked with border defense).<sup>14</sup> China has at least six brigades/regiments stationed immediately in Tibet (Xizang), which are supported by an additional five divisions in the neighboring province of Chengdu, and five divisions in Xinjiang.<sup>15</sup> For the optimal scenario, both sides would have to unilaterally reduce their commitments in these territories. This requirement brings us directly to the collective security dilemma. If only one side reduced its military presence in the border region, the side that did not would acquire a significant strategic advantage. Although both sides could pledge to demilitarize, no outside authority exists which would force them to do so. For both sides, the decision to reduce forces must be made alone, and with no clear understanding of what the other side will do. The situation can thus be modeled as follows:

	India Demilitarizes	India Does Not Demilitarize
China Demilitarizes	Sustainable Agreement	India Gains Strategic Advantage
China Does Not Demilitarize	China Gains Strategic Advantage	Stalemate

The key to understanding, and thus resolving, the border dispute is found in the equilibrium structure of this model. For an equilibrium to exist at Quadrant 1, the product of the expected utilities of a ‘Sustainable Agreement’ and ‘Strategic Loss’ must meet or exceed those of ‘Stalemate’ and ‘Strategic Gain.’ If they do not meet or exceed, then the structure is that of a Prisoner’s Dilemma, in which the only logical choice for both sides is to refrain from demilitarization. Given that one cannot quantitatively define the game’s actual structure, no one can definitively prove whether the current impasse is the result of a structural ‘inadequacy.’ That being said, I strongly believe that the impasse is the product of a ‘Prisoner’s Dilemma’ style structure. Under the current geopolitical circumstances, the potential losses if cooperation is not reciprocated (and thus the potential gains if one does not reciprocate cooperation) outweigh the potential benefits of a settlement. Both sides thus behave in a risk-averse manner and do not moderate their military commitments.

Two principal factors make the consequences of force reductions with reciprocation particularly dire, and thus directly contribute to the impasse: the strategic value of the disputed territories, and the geopolitical context of the Sino-Indian relationship at large.

Although both Aksai Chin and Arunachal Pradesh are underdeveloped and under-populated, both are of significant value to the two sides. Aksai Chin's value lies primarily in its Xinjiang-Tibet trade route. China depends on this route for importing Chinese products and Han settlers into Tibet - part of its strategy of integrating Tibet into China proper.<sup>16</sup> The route also allows the PLA to transfer troops between Xinjiang and Tibet - important because of the politically unstable nature of both territories. Although it seems unlikely that India would attempt to annex Aksai Chin by force, the damage to China's position in the region if it did would be substantial. Such a development might encourage Uyghur separatists in Xinjiang, and perhaps more importantly, could endanger China's position in Tibet. In the event of a Sino-Indian war, India could also use the territory to block Chinese reinforcements into the Himalayan region. Thus, China is extremely unlikely to reduce its military commitments in the region without a guarantee that India will reciprocate. India, of course, will not enter such an agreement because doing so would jeopardize its claims on the rest of Kashmir, and shift its position in the (presently more acute) India-Pakistan dispute.

Arunachal Pradesh is perhaps even more valuable than Aksai Chin. Disregarding its substantial natural resources, Arunachal Pradesh occupies a critical location between Tibet proper and the Indian province of Assam. Given that Assam and the Indian provinces immediately to the West are flat, Chinese possession of Arunachal Pradesh would give it an unobstructed path into North-Central India and New Delhi.<sup>17</sup> India (correctly) views Arunachal Pradesh as its best line of defense against a potential Chinese incursion - unreciprocated military reductions in the area would be a strategic disaster. Because Arunachal Pradesh is also the easiest 'access point' into Tibet, China likewise attaches substantial value to the region. India has a long history of backing Tibetan rebels and attempting to destabilize Chinese control over the region. From the crest of the Himalayas (located along the Arunachal Pradesh - Tibet border), India could spill into Tibet and destabilize China's entire Western frontier. Indian military dominance along the border (the result of unreciprocated Chinese concessions) would thus provide India with an easy 'trump card' in the event of war.

The quantitative strategic losses which would result from unreciprocated concessions along the borders are magnified by the larger competition between China and India in South Asia. Traditionally, India has viewed the greater South Asian region as a sort of 'security blanket,' isolating and protecting it from China and (to a lesser extent) Russia. India would most likely accept Chinese hegemony over East Asia, provided that it is allowed to remain the regional power broker in the south. China, however, may already be coming to view the Indian Ocean region as an extension of its sphere of influence, and may eventually challenge India for dominance. In the past decade, China has developed strong relationships with Nepal and Bangladesh to complement its preexisting alliance with Pakistan.<sup>18</sup> Perhaps most significantly, China has established naval facilities in Myanmar to help expand its military presence in the Indian Ocean, perhaps as part of a larger effort to protect its access to oil from the Persian Gulf. Given India's preexisting dominance on the Indian Ocean, and its own strategic interest in safeguarding oil access, it seems unlikely that India would acquiesce. Going forward, the overriding theme in the Sino-Indian relationship will be ambiguity. India does not yet understand China's true intentions in the region, and China has not yet defined its strategy for dealing with India. Given this ambiguity, neither side can rule out the possibility of an overt war in 20-30 years. In this climate, both sides are compelled to maintain whatever strategic advantages they already possess and behave in risk-averse manners. Any strategic loss due to an overly risky diplomatic strategy would be disastrous, and would certainly outweigh the potential benefits of rapprochement.

Consider the effect of the aforementioned strategic considerations on our 2 x 2 model. For the sake of simplicity, assume that the utilities associated with agreement (Quadrant 1) and stalemate (Quadrant 4) remain unchanged. Given the immense value of the disputed territories to the two sides (particularly when one considers their strategic competition), we can be assured that, in Quadrants 2 and 3, the positive utilities of the payoffs and the negative utilities of the loss are far larger than the utilities in Quadrants 1 and 4. Thus, under the current conditions, stalemate is almost certainly the only equilibrium outcome.

With this framework in place, the futility of the current border resolution strategy becomes apparent. The current 'incremental' approach is couched in the idea that gradual 'confidence building' will eventually prompt the two sides to individually

acquiesce. The current reward structure, however, ensures this will not happen, and that both sides will continue waiting in hopes that the other side will 'gain confidence' and relent. Further progress will not be made until the two sides and the international community collectively work to alter the game's basic reward structure. This could be accomplished either by 1) increasing the reward associated with an agreement, or 2) decreasing the gain/loss associated with Quadrants 2 and 3. Number 2 could be facilitated by the creation of a new inter-governmental organization in South Asia tasked with deterring aggression. An open forum for South Asian security issues would reduce the likelihood of overt conflict, thus reducing the need for China and India to maintain every mechanism of strategic leverage. The Sino-Indian border dispute can be resolved, but only with a comprehensive resolution strategy that is grounded in a theoretical understanding of the problem.

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## Robots, Aliens, and Mushroom Clouds: Social Anxiety in American Science Fiction

Ashton Habighurst

The end of WWII signaled a turning point in world affairs, leaving a vacuum of power that both the United States and the Soviet Union sought to fulfill. The relationship between these superpowers set the stage for the ensuing years, particularly on the cultural front. After the Soviets detonated their first Atomic bomb and proclaimed their intention of spreading communism worldwide, a mass frenzy of emotions erupted in the United States. This political hysteria permeated all levels of society and created a sub-culture that reflected the concerns and fears of the American government. One of the most prominent outlets confronting communism on American soil was the science fiction movement of the 1950's. Science fiction had been around for decades prior to the Cold War, but specifically gained momentum with each superpower's growing fascination for new technology. Specific themes of alien invasions, nuclear proliferation, and dystopian bureaucracy pervaded literature and played on the fears of American citizens. Above all, American science fiction both reflected and fostered the culture of the 1950's and became pivotal in heightening the anxieties surrounding the growing tensions between the United States and the Soviet Union.

To begin, it is important to set a basis for the growing prevalence of science fiction during the 1950's. According to scholar Adam Roberts, science fiction can be defined as "technology fiction," in the sense that technology is an expression of a rational outlook on the world.<sup>1</sup> The beginning form of science fiction stressed a realm between the earthly and theological as well as the importance of the voyage as shown in Homer's *The Odyssey*.<sup>2</sup> The Enlightenment also played a major role in the formation of modern science fiction because it emphasized rational thought and the importance of human progress with respect to the development of science and technology. Although it shares its roots with the classics of Ancient Greece, science fiction most notably came into existence during the 19<sup>th</sup> century.

By the 19<sup>th</sup> century, literature was more of a response to the growing curiosity of the Industrial age. Writers like Jules Verne celebrated the heroic travel through air and water and the glory achieved with the advancement of science.<sup>3</sup> The majority of science fiction during the 19<sup>th</sup> century had optimistic

overtones because technology implied a progressive and perhaps utopian future. This optimism eventually turned into pessimism as science fiction entered the 20<sup>th</sup> century. With the devastation caused by WWI and the Great Depression, many writers discussed the evils of technology as it had disappointed society and led to destruction. American science fiction became a legitimate genre after the founding of *Amazing Stories* magazine in 1926, by Hugo Gernsback. Most of the short stories published in this magazine focused on themes of alienation and dystopian bureaucracy. By the late 1930's, another popular pulp magazine surfaced: *Astounding Science Fiction*.<sup>4</sup> This magazine was particularly important in the development of the science fiction movement because it ushered in a new wave of science fiction in terms of plot, character development, and general themes. John Campbell, editor of *Astounding Science Fiction*, is known as the father of the "Futurians" because he essentially revolutionized the industry and inspired a new school of authors. It was with Campbell and his small group of writers, including Heinlein, Asimov, and Clarke, that science fiction became popular among the American public. Thus, from 1938 to 1949 Campbell's influence on literature successfully created a "Golden Age" for science fiction and even initiated the publication of short stories in book form.<sup>5</sup> By the end of WWII, however, science fiction changed even more so with the prevalence of nuclear power. The Atomic Bomb ushered in new feelings of anxiety surrounding daily life, because it made these once fictitious stories a reality. This being said, Lester Del Rey characterizes the period from 1950 to 1961 as the "Age of Acceptance."<sup>6</sup>

In order to explore these science fiction stories in depth, it is important to establish the historical setting of the time. The Red Scare had its roots during the latter half of WWI, as the Bolshevik Revolution instigated feelings of anarchism in the United States. By WWII, however, this wave of anti-communism seemed to disappear as Russia aligned with the United States and Britain against Germany. Fears seemed to diminish at this time, but as soon as the war ended, the second Red Scare was underway. The creation of the House Committee on Un-American Activities encouraged this movement along as it investigated "subversive and un-American propaganda activities that attacked the principle of the form of government as guaranteed by the Constitution."<sup>7</sup> This investigating committee eventually narrowed its mission to inspecting efforts made by the American Communist Party in infiltrating the public. By 1949, however, the Soviets declared the detonation of their first atomic bomb,

putting an end to the American monopoly on nuclear energy. Although this incident heightened fears in most Americans, the strongest reaction came from atomic scientists and anti-communist crusaders.<sup>8</sup> Much of the anxiety surrounding this time developed from Soviet progress in technology, because global annihilation now became a possibility.

To make matters worse, in March 1951, Alger Hiss, a prominent State Department official and respected member of the intelligence community, was indicted on perjury charges. Hiss was caught passing classified documents to Whittaker Chambers, an ex-Soviet military officer, and immediately convicted.<sup>9</sup> This case was particularly important to the progress of the anti-communist movement because it instilled a fear greater than any other in the United States. Hiss' conviction made Americans question the Communist stereotype. The fact that Hiss was a respected figure in political society and had a presumably clean record caused many to suspect anyone of being a Communist spy. The Alger Hiss case, along with the stigma surrounding Julius and Ethel Rosenberg, destroyed commonly held beliefs about Communism in America, and alarmed the public about the looming Cold War. The resulting decade turned into a witch hunt, with the McCarthy trials and the extreme actions taken against the Hollywood Ten. Needless to say, this hysterical environment fostered changes in cultural policies in film, media, and literature, particularly science fiction.

One of the most prominent themes of American science fiction during the 1950's dealt with other worlds and alien invasion. On the surface, these stories created suspicion about alien encounters, yet entrenched within the description of another race was a Cold War allegory meant to equate the aliens with Communists. To most Americans, Communists were as different to them as aliens from outer space. They practiced diverse traditions, believed in separate ideologies, and emphasized different forms of government.

Writer Murray Leinster embraced this type of Cold War allegory and generally created heroes as isolated and hunted beings. In his short story *The Castaway*, Leinster writes of an alien who lands in a small, segregated town and has the ability to steal human identities. The alien is not given a name or any distinguishing characteristics, and is generally referred to as "the creature." When Tom, the main character, comes into contact with him, the creature expresses his desire to become friends and seems harmless. However, most of Tom's friends are

reluctant to live near the creature and embark on a mission to find and kill him. In fact, one of Tom's friends explains, "he is different from us, so we hate him."<sup>10</sup> Leinster uses this short story to relate the fear of the unknown that pervaded much of American culture in the 1950's. After the creature seizes the ability to imitate a human's voice, Tom relates his fear that "if it's smart enough to learn how to talk English out of your brain, Stub, it's pretty sure to know everything else you do."<sup>11</sup> Tom's fear of the unknown has now contributed to his paranoia regarding the creature. However, by the end of the story, Tom is divided on whether or not he should help the creature return to his home, or join the rest of his friends in their quest to kill him. It is at this point that the reader sees the moral dilemma of Tom's predicament; he sees that the creature is essentially harmless, yet he does not want to seem like he is choosing the creature over other humans. Leinster's story can be seen as a criticism of the McCarthy years because it brings to light the moral implications surrounding the Red Scare. Tom ponders the fact that just because the creature is not human, does not mean he is potentially harmful. This goes along with the notion during the anti-communist movement that anything that was blatantly un-American and different from American culture was deemed Communist.

In another short story called *The Deep*, Isaac Asimov depicts two civilizations: one living on the surface, and the other living below ground. The Deep people are afraid of extinction, and one of their members, Roi, is sent on a mission to consume two thirds of the Surface's energy supply in order for his generation to continue to survive. The Deep people are an advanced civilization that retains telepathic abilities. When Roi is finally sent to the Surface, he enters the mind of a human host. He does not realize until it is over that he has entered the mind of a human infant, and probes his mind for any type of valuable information. Roi is on the verge of failure with his mission when he is traumatized by the warm relationship the child has with his mother. Gan, the mission director, explains to Roi his sadness when he says, "I had thought that together we might progress more quickly than either could alone."<sup>12</sup> In particular, this story conveys several aspects of the Cold War. Not only does Asimov portray the fear of Communist infiltration through Roi's invasion of the Surface, but he expresses the desire for peaceful coexistence between the two superpowers. The story centers on the fact that the Deep and the Surface are two completely different societies who just simply do not understand each other. Roi is damaged when the mother tenderly cradles the infant host because he

does not recognize this type of feeling. Along with this, Asimov could also be evoking the typical Soviet stereotype of cold, aloof, and emotionless beings. The interesting aspect to this story however, is the fact that, at the end, Gan discusses his desire to live together with the Surface people. In a sense, Asimov is bringing up the idea of peaceful coexistence that encompassed much of Cold War tactics.

Perhaps one of the most famous alien invasion stories written during this time was Jack Finney's *Invasion of the Body Snatchers*. This novel really brought the fear of Communist infiltration alive, as Finney invents a race of seeds that enter a small, isolated town in the Midwest and take over human bodies, replacing them with "imitation humans." After the seed takes over the human body, it produces a pod that hatches an emotionless and submissive clone. The basis of the plot focuses on Dr. Miles Bennell and Becky Driscoll, who spend the entire novel running away from the aliens. When Miles finally realizes what is going on, he describes the clones as "standing motionless and silent."<sup>13</sup> Unlike the later movie adaptations, Finney ends the novel on an optimistic note when Bennell and Driscoll set fire to the pod field and subsequently cause the aliens to leave. In reading this novel, it is apparent that the pods are metaphors for Communists who display detached and unaffected feelings towards their human hosts. Finney portrays the pod people as an extremely manipulative race who are using Earth as a means to survive. Budlong, one of the pod people, tries desperately to convince Miles and Becky to allow their pod transformations to take over their bodies because these aliens only landed to "perform the function of all life, everywhere – to survive."<sup>14</sup> It is interesting to see how Finney characterizes the pod people because it parallels the way in which Communists were viewed during the McCarthy years. Communists, in general, were seen as manipulative beings who strove for world domination at the expense of other civilizations. Also, the fact that the transformed pod is practically undistinguishable from the original life form, conveys the notion that anyone could be a Communist. Scholar David Seed explains that the "appearance of normality becomes unnerving," which directly correlates to the common fear held during the Red Scare.<sup>15</sup>

Another theme that encompassed much of the science fiction written during this time involved the race for new technology and the horrors of nuclear energy. To the Soviets, rapid industrialization was the key to creating a progressive and affluent economy. After the Soviets detonated their first bomb and

successfully landed on the moon, tensions began to rise in the U.S. about Soviet technology. Consequently, American popular culture indicated a need for technological growth and the competition between the U.S. and the Soviet Union amplified.

Throughout another one of Murray Leinster's pieces entitled *Sam, This is You*, Leinster grapples with the concept of time travel as a means of making better decisions for the present. In this short story, Sam Yoder is contacted by his self two weeks in the future while he is working on a telephone pole, fixing communication lines. The Sam from the future makes it clear that if the Sam in the present helps him, he will not only become rich, but avoid a disaster involving him and a crime. After some serious debate on whether or not he should believe the Sam of the future, Sam finally agrees to listen to the future Sam. Leinster produces a happy ending as the Sam in the present learns about his mistakes and resolves them. Like many technological stories of this time, time travel plots created awareness about what could happen in the future. In a critique on Leinster's story, Asimov claims that "travel into the future may bring us back knowledge that will offer us shortcuts to further heights of development."<sup>16</sup> It is apparent that not all science fiction literature during the 1950's planted feelings of paranoia about the Soviets. In fact, many Americans enjoyed reading these stories because they provided a sense of hope for the future and evoked nationalistic feelings concerning the impending Cold War.

While stories of technological progress relieved citizens from Communist infiltration, the ominous reality of nuclear energy created new fears about the dangers of science. Scholar W. Wagar explains this phase of literature best when he says, "Instead of old-fashioned deliverance by technology, the new fictions offered bleak post-holocaust landscapes thinly settled with mutants, barbarians, and the occasional monk."<sup>17</sup> Although he is not an American writer by birth, Arthur C. Clarke generated several science fiction short stories and novels that appeared in many well-known American magazines. For the most part, Clarke's themes reflected as much of what we know about American culture in the 1950's as American writers. In a short story written in 1953 called *The Curse*, Clarke writes of a small town a few hundred years after a nuclear blast. What is particularly striking about this story is not necessarily the plot, but the specific details he uses to describe the devastation that still exists in the environment. Phrases like "it was a great flash of fire," and "dust was still falling like a fine rain," convey the propensity these authors had towards imagining

nuclear annihilation.<sup>18</sup> These specific themes also related to the common fear of the unknown dangers of science, and expressed a desire to live in the moment because no one knew if they would be guaranteed tomorrow. Clarke even explains in his story of the little town that “in a moment of time the toil and treasure of centuries had been swept away.”<sup>19</sup> The fact that these stories involved an inherent anxiety about life in general contributed to the political hysteria of the period and became a precursor to the carelessness that seemed to pervade future generations.

Perhaps one of the most alarming themes reflected in science fiction was the dystopia. While most would consider the threat of alien invasion or biochemical warfare a distinctly frightening ordeal, the thought of dystopian bureaucracy threatened the very lifestyle of Americans. What made it so daunting was the fact that it was certainly a possibility, especially during the midst of the Cold War. Americans feared Communist takeover because everything the U.S. was founded on would become useless in an authoritarian world.

In his famous novel *Fahrenheit 451*, Ray Bradbury relates the anxieties surrounding a dystopian rule of law. Protagonist Guy Montag is a fireman who leads a normal but dull life. In this society, firemen are considered top ranking officials because they establish order by burning books. In the very beginning, Montag encounters a young girl named Clarisse, who is an extremely strange individual. She invokes a sense of curiosity in Montag when she asks him if he is really happy with his life, setting the stage for the rest of the novel. Clarisse even expresses her feelings about firemen in general, and says to Montag, “You know, I’m not afraid of you at all. So many people are. Afraid of firemen, I mean. But you’re just a man, after all.”<sup>20</sup> This statement conveys the idea that firemen held a significant amount of authority, and perhaps even considered themselves above the rest of the population because they handled the affairs of the government. Also, it seems as though these firemen are just like cogs of the system because they lead the same boring lives day in and day out. The pleasures of free will are not enjoyed in this society because everyone does what the government tells them to do. As the novel progresses, Bradbury relates the growing reliance on technology. Like many of the characters in the book, Faber, Montag’s co-worker, expresses his love for television when he says, “It is an environment as real as the world. It becomes the truth.”<sup>21</sup> Above all, Bradbury shows through Montag’s personal dilemma with political society

that a civilization controlled by technology is not progressive at all. In fact, the government uses technology to restrict the liberties of each individual by creating the façade that everything they need in life can be provided by the government. He also conveys the idea of cultural and political censorship with the burning of books. The firemen are not only burning thought, but in doing so are actually providing the opportunity to re-write history as they see fit. This type of freedom, especially in the hands of the few, is extremely dangerous. Through limitations on cultural expression, the government is in essence denying basic freedoms and asserting itself above the people. In a way, Bradbury’s account of an extremely repressive, authoritarian regime is reminiscent of the Communist Party during the Cold War. Both systems strategically inhibited cultural growth and stressed the importance of the government in taking care of its citizens.

In yet another dystopian novel called *Player Piano*, Kurt Vonnegut explores an industrial company in New York, set entirely in the future. This company, along with the rest of society, is completely mechanized and has no need for human laborers. Paul Proteus, the main character, is a prominent engineer whose skills have yet to be replaced by a machine. Like most of the science fiction characters during this time, he is presented with a moral dilemma: continue on the path he is on and live a considerably easy and affluent life, or stand up for humanity and rebel against the machine society. Paul is pretty much divided until his friend Bud relates his own story with the machines and explains that “[n]ow, personnel machines all over the country would be rest so as no longer to recognize the job as once suited for man.”<sup>22</sup> Consequently, Paul decides to stand up for the rest of mankind and leads a rebellion against the upper class and technology in general. By the end, Paul explains his reasoning for sacrificing everything he had when he states, “The time has come to stop the lawlessness in that part of our culture which is your special responsibility.”<sup>23</sup> As Paul sees it, the future of his civilization bears no promise because technology will completely replace any type of human presence. This also relates to the Cold War struggle because the technological race between the two superpowers implied that technology produced a progressive state. As Vonnegut shows, however, the consequences of too much technology can mean the end of man’s role in civilization.

The dystopias presented in each of these novels particularly relate to the tensions of the Cold War because they show the prescribed future of high end

technology. This type of industrialization and authoritarian rule was what Stalin, and later Khrushchev, hoped to instill in Communist ideology. By producing in a faster, cheaper, and more efficient manner, the Soviets rationalized that this is how they would surpass the U.S. in terms of superpower status. Unlike the previous works that predict alien invasions and complete chaos, both *Fahrenheit 451* and *Player Piano* convey the most realistic vision of the future after the Cold War.

While American science fiction is the basis of this study, it is also important to note the characteristics of Soviet science fiction. This is significant because themes discussed in Soviet science fiction can give us a more specific idea about what American science fiction was not, and how effective the environment of the 1950's was in shaping the views of the American public. Unlike American literature, the Soviet science fiction movement did not play on the fears of the people. This is in part due to Stalin's repressive rule, because Soviet literature was intended to produce themes of a utopian future as a means of validating Stalin's regime. For the most part, Soviet science fiction during this time had "a similar didactic function, popularizing science and reinforcing a belief in a positive future."<sup>24</sup> The whole idea behind the Soviet mentality was hope; hope for a better future, hope in the progress of technology, and hope in Communism. Ivan Yefremov, one of the leading Soviet science fiction writers, particularly embraces this type of philosophy when he claims, "If this goes on, man's goodness and nobility will be free to develop and people will live under the reign of love."<sup>25</sup> Basically, Yefremov was trying to communicate the idea that the Soviet people needed to be patient with their state and eventually goodness would prevail. In saying this, Yefremov also ridiculed American capitalism because if the Communist state was supposed to provide ultimate happiness, then capitalism could not. Despite the obvious tension between the two ideologies, this is significantly different from the American attitude towards the Cold War, because the government used fear to evoke loyalty for a common cause. While Soviets wrote about a better future, Americans discussed the horrors of what might happen if action was not taken in the present. It was not until later decades that Soviet science fiction changed its direction and actually created civilizations in the distant future. However, what Soviet science fiction writers tried to convey was that "the future was supposed to be realizable."<sup>26</sup>

The differences between these two styles of science fiction not only illustrate the stark difference

between these two nations, but also support the notion that the political history and environment of the time affected popular culture. While the Soviets basked in the glory of nuclear energy and the triumph of Sputnik, Americans worried about the status of their international power. It is precisely this stigma regarding the anti-communist movement of the 1950's and the fact that the U.S. lagged behind the Soviets in technological progress, that fostered the "Age of Acceptance" in science fiction. Science fiction became an immediate outlet for this type of hysteria because of the very nature of science fiction plots. Generally, science fiction is supposed to encompass the impossible and imagine a bizarre future where humans are taken over by an other-worldly force. This is because science fiction has its roots in the future of technology. As explained previously, science fiction is technology fiction, where man uses present technology as a baseline for what could happen next. It is in this sense that science fiction was able to influence so many people, because absurdity is an inherent characteristic.

Above all, popular culture in its entirety, including literature, film, and art, reflected the growing hysteria that encompassed the 1950's. It is interesting to see that as international affairs took place throughout the early part of the 20<sup>th</sup> century, science fiction evolved along with it. Even though the themes expressed in science fiction during the 1950's did not necessarily invent the fear felt by so many in America, they nevertheless exacerbated the tensions between the U.S. and the Soviet Union. It is apparent that science fiction and the anxieties of the Cold War coexisted in a manner that allowed each of them to develop together.

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# **An Examination of the Diminishing Availability of Workforce Housing in St. Mary's County Maryland: Case Study of the National and White Oaks Mobile Home Parks Shutdown**

**Kathleen Kennedy**

## **Introduction**

There is currently a workforce housing crisis in St. Mary's County Maryland. Workforce housing is defined by the St. Mary's County Workforce Housing Task Force to be housing that is affordable to families earning 45% to 110% of median household income; an annual salary range of \$34,065 to \$83,270".<sup>1</sup> This crunch is not unique to St. Mary's, but the historic construction of Patuxent River Naval Air Base has led to significant and largely unplanned growth in St. Mary's County. This growth has caused unique and heightened polarization of standards of living throughout the county. This growth has changed both the look and the feel of a largely rural community. Lower income families looking for workforce housing have hit a scary position where the cost of living is increasing relative to wages and leaving them behind. The changes in St. Mary's county have been well documented by many St. Mary's residents. The overarching theme of much of the literature on St. Mary's celebrates the agrarian and water based living that most residents earned as recently as the mid 1900's.<sup>2</sup>

Throughout the recent history of the county, mobile homes have been the traditional source of affordable housing. The recent closing of two St. Mary's mobile home parks, National and White Oaks, draws attention to the seriousness of the housing crunch problem residents of the county are facing. Ross Adams reports in *The County Times* that St. Mary's County currently has the third largest number of mobile homes in the state of Maryland. These parks represent a large portion of the affordable housing in the area.<sup>3</sup> People living in parks are not necessarily below the poverty line. However, for many, losing the space to put their trailers is an event that could plunge them from self sufficiency to potential homelessness or government dependence. There is a decided lack of intermediate help for self-sufficient people who are struggling to find affordable, safe housing. A change in current policy is necessary to address the workforce housing crisis in St. Mary's County.

## **History**

Poverty in St. Mary's County is not a new problem. As a predominantly agrarian community, residents were exposed to hard times due to weather as well as other social and economic factors. The Great Depression hit this region hard, but the communal and land-based culture of the residents allowed people to survive through hardships. There is a long history of dependence on the land and the water. As the makeup of the county changes, many of the poor are finding themselves left behind as the cost of living increases. The most recent crisis is tied to a lack of affordable workforce housing.

*But Now When I Look Back* is a documentary book that explores St. Mary's County through Farm Security Administration photographs and verbal accounts of life in St. Mary's County at the beginning of the 1900's. Records on governmental social welfare in St. Mary's County are hard to find, but the verbal recollections offer a priceless glimpse at how people lived through poverty and changes in their surroundings.

The community largely served as a family's safety net. People shared and bartered what they could. If a particular family was struggling, the community, other family members, and even the church stepped in. Social welfare programs related to the government and public policy were not as prevalent. Andrea Hammer emphasizes through her picture documentary that since the area was largely agrarian, the poor lived in rundown farmhouses. Most of these people worked hard, farmed their land, and provided sustenance for their families. The water also provided many with a steady supply of staple foods and income.<sup>4</sup>

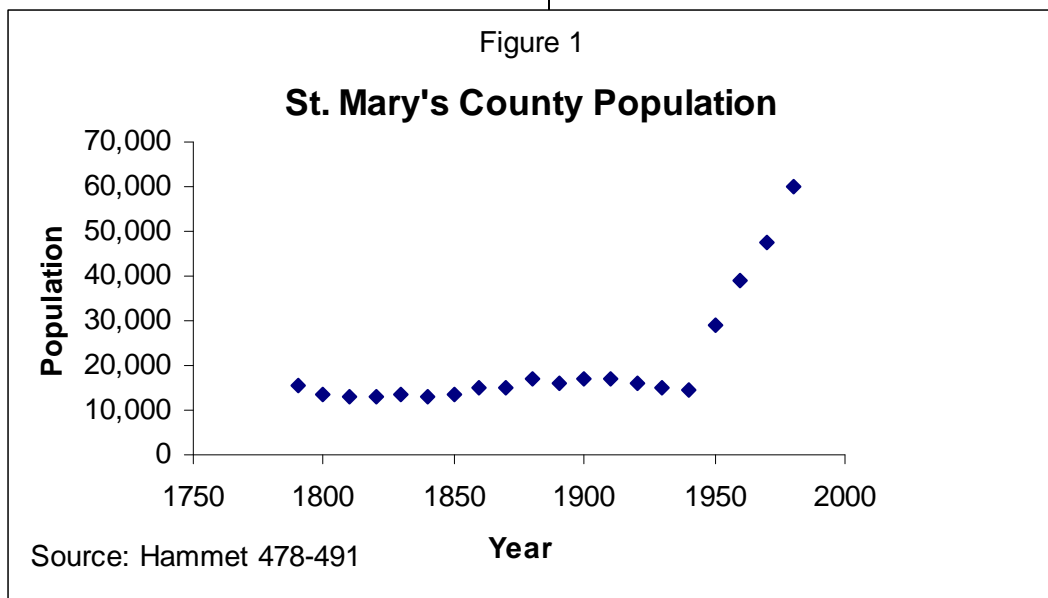
Veronica Biscoe Reid was born in 1915 and lived in the same farmhouse until 1943. In her section from *But Now When I Look Back*, she describes Father Horace McKenna: "He was always for the poor people. He helped people through these co-operations and credit unions and everything else that he could".<sup>5</sup> Though she was young at the time, she did not have as much of a recollection of government sponsored aid as that provided by her community. Later, she does talk about how people began losing land during the depression: "But I'll never forget that time when my people lost all the property, lost all the land... That's Depression time".<sup>6</sup> She describes a government worker, Miss Chappelle, who came down and "[county residents] signed the blanks of this form, you know, about how many they had in the family and what they had and all like that".<sup>7</sup> Miss Chappelle distributed hogs and chickens to those

families that were most in need to ensure that they had enough food. There were also programs that helped some people get their land back. Despite hardships, there was mostly enough food since people could always fall back on the land and the water to keep food on the table. Since the population was so small, there was generally enough housing and land so families had a place to live and survive.

*History of St. Mary's County* offers a detailed and more systematic look at the changes in St. Mary's County after the Patuxent Naval Air Station (NAS) was built in the 1940's. The chapter on NAS begins, "The events of the 1930's had little effect on the county's status quo. The great depression caused hardship and hunger in St. Mary's County, but there were no soup lines as seen in the cities".<sup>8</sup> Since St. Mary's had a history of self sufficiency and self reliance, the depression was not as crippling as it was in the rest of the country. There were also fewer organized programs that addressed the rural poor in the area.

The very nature of the county changed after the Naval Air Station was built. Lexington Park was created for the sole purpose of housing base employees and the support workers needed to keep it running and expanding. The construction displaced many and brought an influx of people into the area. The physical construction began in 1942. In the next nine months, 7,000 people were employed to work on the construction. From 1940 onwards, the population boomed and continued to grow expansively. (Figure 1., Hammett 478-491)

Lexington Park and Leonardtown. These growing cities displaced many of the existing residents and created some resentment. Robert Pogue, a resident in the county since 1940 writes in *Yesterday in Old St. Mary's County* of his recollection of NAS moving in: "The sudden eviction of the people of Cedar Point was one of the most pitiful events ever to occur in our County".<sup>9</sup> He writes that more than 5,117 acres were taken from county residents.<sup>10</sup> However, it also created opportunity. For many of the people who shared stories in *But Now When I Look Back*, the base provided an opportunity to lift themselves out of poverty. Robert Gant recounts the job that he was able to secure on the base: "I started at the A&P making five dollar an hour, and that was good money in '61".<sup>11</sup> The growth of the base was not a certainty, much of the housing created was temporary and ill planned. Many of the first houses were mobile homes. Regina Hammett says in *History of St. Mary's County* that "Cedar Park Trailer Camp was created on the northwest corner of the Routes 253-246 intersection. The trailer camp consisted of 100 family trailers and 150 trailer spaces and was completed in the fall of 1943. In March of 1944, 100 additional trailers were made available".<sup>12</sup> The area was booming but there was little growth-management planning to along with the population explosion. This rapid and unorganized expansion created the perfect setup for the affordable housing crisis that is occurring in the area today - a crisis that is not unique to St. Mary's County.



## Literature Review

Workforce housing poses legislators with an extremely challenging and pressing problem. However, as the housing market booms, many analysts are overlooking the problem of affordable workforce housing. Workers on the local level are feeling the crunch more acutely than many public policy makers who are simply looking at the national homeownership rate of 67.7%. *Affordable Housing*, by Jane Tanner, explains some of the reasons this housing shortage is not addressed or even realized at the national level. There is already a shortage of affordable housing, and much of what does exist is being bought and converted to luxury homes. The data describing the increasing size and price of homes is staggering. Tanner explains, "Starter homes -- small, low-cost houses designed for first-time buyers -- are out of vogue, as new homes get bigger and bigger. In 1950, about 62 percent of all new homes were less than 1,200 square feet; last year only 7 percent were".<sup>13</sup> In addition, the gap between the upper echelons of wages and the lower sector is growing at an ever increasing rate.

Another problem Tanner points out is how quickly affordable housing is being either destroyed or converted.<sup>14</sup> HUD released data showing that their long term plan is to demolish 61,000 public housing units and rebuild 42,000.<sup>15</sup> Private contractors who are not required to provide subsidized workforce housing will rebuild the rest of the housing units. As the purchasing power of the upper income earners in the country continues to climb, developers are scrambling to meet their demands. This means that little affordable housing is under construction, and the existing workforce housing units are being converted to less affordable, luxury houses.

The National Low Income Housing Coalition (NLIHC) stated in its 2005 annual report that "the national housing wage -- the amount a household must earn per hour, working 40 hours a week, 52 weeks a year, to afford a two-bedroom apartment was \$15.78. In 2005, there was no county in the country where a full time minimum wage earner could afford a one-bedroom apartment".<sup>16</sup> Clearly, there is a gap between what people can afford and what housing is available for them to purchase. The conclusion of the NLIHC is that there is a public policy and market breakdown surrounding affordable housing. There is a clear demand, but the purchasing power is not supporting the demand. There is a need for policy that will address this gap through programs targeting the lowest income earning groups in the U.S.

*A Rural Problem* by Paul Rollison focuses on the issue of the growing rural homeless population in America. While urban homelessness is much more obvious, it is not necessarily more prevalent. He states that "rural homeless are less likely to live on the street or in a shelter, and are more likely to live in a car, or with relatives or friends in overcrowded or substandard housing".<sup>17</sup> In addition, Rollison points out some of the differences between urban and rural homeless. He says that in rural areas, homeless are more likely to be families and single mothers with children, working and homeless for the first time.<sup>18</sup> Rollison ties rural homelessness to a lack of affordable housing. Many of the rural homeless are working poor which means they have jobs that do not pay enough to afford the cost of adequate housing for them and their families. Another point made in this article is that many of the rural homeless found in the country have "barriers" to finding housing. Domestic violence, current or past substance abuse, and disabilities, were self-stated reasons for homelessness that Rollison found during his study.<sup>19</sup> When these barriers are coupled with low-paying jobs, people are simply unable to find housing.

*A Rural Problem* focuses on the lack of affordable housing in rural or non-metropolitan areas as a major concern. If people are working and still not able to support themselves and their families, there needs to be some sort of government policy focused on ameliorating the problem. Rollison stresses that the issue of homelessness in rural America is especially disturbing because there are much fewer programs aimed at helping this target group.<sup>20</sup> Federal and state programs are more often located in urban centers and focus on areas where there are high concentrations of homeless people congregating. In addition, Rollison states that "today, the connection between residency and public assistance has reemerged as states and localities worry about providing services that may be a magnet for the homeless".<sup>21</sup> He explains the difficulties associated with tracking the number of rural homeless since they are typically located in areas that are less visible to the general public.<sup>22</sup> In summary, Rollison concludes that social welfare in rural areas is not as well suited to deal with the problem of homelessness due to smaller staffs, less organized programs, and lower funding.

The face of rural homelessness is changing. In *Homelessness Among AFDC Families in a Rural State*, Sandra Butler focuses on the structural reasons that homelessness is increasing in rural areas. The article states that in the 1950's, most homeless people were "white, middle-aged men who were suffering

from alcoholism”.<sup>23</sup> However, by 1993, women were 20% of the homeless population (up from 3%) and between 21 and 37% were families with children.<sup>24</sup> In rural areas, it is even harder to calculate this number because families often live with other families or are hidden due to a fear of authorities taking children away. Most of these homeless families are female-headed single-parent households. The change in the composition of homelessness has been attributed not to individual barriers or problems, but to lack of affordable housing and support services for the rural poor.

Butler attributes various macro level variables to the growing rural homeless population. She cites “lack of decent, affordable housing; the gap between income and median rents; and the increase in households in poverty”.<sup>25</sup> When people are working and cannot earn a wage that allows them to purchase suitable housing, it becomes a public policy issue. This article was written before the Temporary Assistance to Needy Families (TANF) welfare reforms in 1996. However, Butler observes that while TANF focuses on efforts to help lift families out of poverty, which is not necessarily enough to help people purchase housing. If the housing needs are not met, people are not able to work on other aspects of their lives, such as building meaningful relationships, providing for their families, or even improving their personal situation. One of the most staggering findings that Butler cited was that “analysis on 10 variables related to employment showed no significant differences between the ever-homeless and never-homeless respondents” in respect to employment.<sup>26</sup> This is further evidence that many people who are currently holding a job do not earn enough income to afford housing.

Another article, *Working to Make Housing a National Priority* by John Bohm, highlights discrepancies in U.S. housing. He states, “America is the best-housed nation on earth” however, “15.6 million households pay more than half their income for housing”.<sup>27</sup> He points out that there are many nice houses in the U.S. However, these houses and nice neighborhoods are out of the reach of many families and individuals in the U.S. today. Housing as 30% of a household’s income is becoming more and more unrealistic. Economic booms often serve to simply widen this gap because the booms are coming at the top levels of our economy.

Piecing together this data on the aggregate creates an extremely dreary picture of rural poverty and homelessness. Butler explains people are not earning enough wages to house themselves.<sup>28</sup> The

NLIHC states even people working full time at minimum wage cannot find housing that is affordable. Couple this with the fact that most of the rural poor that are struggling with housing are generally dealing with barriers, especially domestic violence. When the small supply of affordable housing begins to disappear, it leaves the question: How many of America’s working poor will be homeless in the near future?

St. Mary’s County presents a unique situation where a rural population has experienced rapid growth over the past 60 years due to the Patuxent River Naval Air Station (NAS). *The Social Impact of Military Growth in St. Mary’s County* highlights some of the social changes that occurred after the base became established in St. Mary’s County. The article investigates statistics involving changes in land value, increases in education, increased population density, and changing means of employment. In particular, the authors emphasize changing priorities in land valuation after construction of NAS:

Prior to 1940, wealth in St. Mary’s County took the form of ownership of large, productive farms, mostly growing tobacco. The value of land was measured by its agricultural productivity and by the size of the holding... With the arrival of the naval base, land values were measured in a new metric: usefulness to the base and to its associated relatively high-income inhabitants. Development of nearby fields into subdivisions of duplexes and single-family homes, commercial strips, and, more recently, townhouse complexes, made millionaires out of some formerly cash-poor farmers and fishermen<sup>29</sup>.

The article presents an interesting comparison between Somerset County and St. Mary’s County. Both counties began as similarly constructed rural communities. However, when NAS River was built, St. Mary’s County changed rapidly while Somerset County continued along the rural agrarian path.

The author’s of *the Social Impact of Military Growth in St. Mary’s County* stress how NAS River helped lift St. Mary’s out of poverty into a more industrialized and technologically advanced economy. In fact, they assert that “St. Mary’s County skipped an entire step in the economic transition process from agrarian to industrial to postindustrial”<sup>30</sup>. The article fails to take into account the part of the population that did not manage to make this leap. NAS River offered exciting job opportunities to many, but eventually the work became more specialized and technological. Workers

needed high amounts of training, and most of these highly trained individuals came from outside of the county. While education did increase along with the population growth, many of the highly technical jobs created were filled by opportunistic outsiders. The authors did note that “the children of farmers were pulled into the jobs created by the base... [and] Family farms have been sold off piecemeal to satisfy the enormous demand for new residential construction”<sup>31</sup>. Some St. Mary’s residents were able to secure jobs on the base, but this important shift helped to widen the gap between the richest and poorest residents in St. Mary’s County.

Mobile home parks have been a traditional form of affordable housing. However, there is a nationwide trend of the destruction of mobile home parks. *There Goes the Neighborhood* by Barbara Basler highlights some of the devastating problems associated with mobile home parks being converted to other forms of housing. As these parks disappear, residents are faced with difficult challenges. Many of the lots are rented or leased out, but residents own the homes that are placed on these lots. Contrary to their name, older mobile homes cannot be moved after they have been in one place for too long. These prefabricated homes are designed to be brought to one resting place, secured, and then left. Essentially once the pieces have been sealed together, they become weak and unsound if moved again. Investments become worthless as people are forced to leave their homes in the path of bulldozers coming in to develop a mobile home park. The article states, “Costal areas and other vacation spots are especially hard hit. No one seems to have good numbers but wherever population is booming and land values are rising, older mobile home parks are becoming anachronisms”<sup>32</sup>. This is exactly what is occurring in St. Mary’s County.

The other problem with the destruction of mobile home parks is the loss of a versatile neighborhood that is extremely hard to replace. In *There Goes the Neighborhood* one man points out how many different people find sanctuary in the affordability of a decent house; everyone from “the retired schoolteacher to the cop with a young family to the down-on-his-luck drifter”<sup>33</sup>. While many of these people are not actually living in poverty, losing their home could be the action that pushes them from independence to dependence or destitution. The housing issues facing St. Mary’s County are echoed nationwide. The interesting point is that even though lack affordable housing is a growing, nationwide phenomenon, it passes under the radar of most national political discourse. Clearly, there is a void in public policy.

### **Case Study- Mobile Home Parks in St. Mary’s County**

The U.S. Census bureau states that St. Mary’s County has the third largest number of mobile homes in the state of Maryland. These modest homes have long provided affordable housing for many residents. Historically, land in St. Mary’s has been inexpensive, and the rural atmosphere provided a nice community for mobile home parks. As land values have increased, there is more incentive for private developers to buy the land and put more expensive houses in the place of the mobile homes. This study focuses on two locations White Oak and National Park. Both located off of Rt. 235 in southern St. Mary’s County (Figure 2). Adam Ross writes in *The County Times* that these two mobile home parks were sold in separate transactions during the Spring of 2007<sup>34</sup>. Residents have until April 2008 to vacate their property. Unfortunately, residents face many barriers to relocation. Barriers include lack of space in other mobile home parks, homes that are incapable of being moved, high moving costs, and a void in suitable living arrangements in terms of safety and comfort. If residents cannot move their trailers, they may face ruined credit because most have outstanding mortgages on their current mobile homes<sup>35</sup>.

Newspaper articles commenting on the shutdown of National and White Oaks highlighted some of the economic incentives for private developers to purchase and develop land as well as government efforts to assist dislocated residents. The land purchased in the White Oaks property is prime realty off MD Rt. 235 and was purchased for \$3.9 million by Thomas Builders in Leonardtown.<sup>36</sup> These parks are home to approximately 160 households. To assist with relocation of displaced residents, St. Mary’s County government secured \$385,288 of federal and state funds in August of 2000.

These funds were secured through a grant and were intended to provide residents with a supplement to the \$3,100 relocation compensation paid by developers.<sup>37</sup> This means that families need to meet certain requirements in order to receive monetary support. It is estimated that each family can receive between \$3,000 and \$3,500. However, some families claiming reallocation costs could receive between \$5,000 and \$12,000 for costs such as moving trailers, etc. While this may help families defray the one time costs of moving their trailers, the funds will hardly help families and individuals who cannot find new locations for their mobile homes and must resort to rental property instead.

**Figure 2. Map of southern St. Mary's County**

Source: St. Mary's County Government Website



### Government Assistance for Relocation

There is very little that the government can do currently to protect mobile home owners from development when their homes are located on rented land. As explained by Jenna Johnson in a Washington Post Article, state law guarantees residents of mobile home parks one year grace period to help them find new spots to live.<sup>38</sup> However, when many people are trying to relocate at the same time, this one year seems inadequate.

As mentioned above, the Housing Authority of St. Mary's County was able to secure a federal and state grant to help residents relocate. At a meeting held on September 24, 2007 in the Lexington Park library, the local Housing Authority attempted to explain to residents how they could receive financial help for their quickly approaching moves. Dennis Nicholson, from the Housing Authority, struggled to explain to residents that he could not help them stay in their current location and that he could not give them legal advice. What he could do, he said, was help them secure funds from the grant. Packets detailing the intricacies of the grant were distributed to residents. Mr. Nicholson explained that the grant was supposed to supplement the compensation m

money received from the developers. He was apologetic when outraged residents voiced their fears and doubts at being able to find suitable replacements to their current housing. Mr. Nicholson estimated that each family can receive between \$3,000 and \$3,500. However, some families claiming reallocation costs could receive between \$5,000 and \$12,000 for costs such as moving trailers, etc. This money could almost fully cover simple moving costs which were estimated to be between \$4,000 and \$8,000. However, families facing road blocks bigger than simple moving costs found that this money probably would not cover even a fraction of their real costs.

There were several caveats that residents appeared to really struggle with. Firstly, the income requirements were too low for many of the residents to access funding. One resident, when asked how he felt about the income requirements stated, "It sucks!". Another person said, "I'd have to quit my job to get the money". Also, residents do not get any portion of the grant money if they are above the income requirements. There is no graduated scale -it is all or nothing. Unfortunately, the general sentiment at the meeting was that the grant money offered too little and was not accessible to a large portion of those in attendance. Residents complained that their incomes

were too high to receive help. While some of the residents have jobs that pay more than the income requirements, they do not have large amounts of money to spend on forced relocation.

Another major problem facing many residents was substandard trailers that could not be moved to other parks. When mobile home parks are admitting new residents, they often impose standards on the incoming homes such as age limits and requirements about heating. Residents found that their most parks did not allow Kerosene heaters. The furnace conversion cost from Kerosene to Propane was approximately \$3,500. Finally, residents expressed the problem that many of the 18 nearby parks are not nearly as nice as the ones that they must vacate. Residents claimed that other parks were crime ridden and dangerous.

There were also some logistical problems associated with receiving the grant money. As of the date of the meeting, the housing authority did not have possession of the grant money. They needed to forward the money onto residents. Also, the developer that purchased the land had not given compensation money to many of the residents, but receipt of the grant money hinges on receiving the compensation first. In order to receive the grant money, residents need to have a clear moving plan. People who had already moved were not guaranteed re-compensation. The grant was a final attempt on the part of the housing authority to help displaced residents. However, it was sought before many of the actual problems of relocation 160 households came to light. These problems have resulted in restrictions that limit its effectiveness. The government response to the crisis, represented by the grant guidelines, is lacking in accessibility and logic.

### **Interviews**

In order to more thoroughly understand of the problem facing St. Mary's County residents, interviews were conducted with various county officials and employees. These included interviews with individuals who had connection to the workforce housing crisis and the residents affected by the predicament.

*Harry Knight, Permits Coordinator 10/09/2007*

On October 9, 2007 an interview was conducted with Harry Knight, the Permits Coordinator in the Land Use and Growth Management department of the St. Mary's county government. Mr. Knight provided valuable insight into some of the legal regulations regarding mobile homes and mobile home parks in the county. Mr. Knight explained that

on an individual level, it is very hard to move mobile homes from parks because they can only be placed in Rural Preservation (RP). RP areas can only have one house for every 5 five acres. This is prohibitively expensive for many displaced residents from mobile home parks.

New mobile home parks can be built in Residential high density (RH) and Residential low density (RL) areas. However, they are generally permitted as part of a planned unit development which often includes office buildings, residential buildings, and commercial buildings. Private developers are not coming forward because they can get greater returns on their investments with other forms of development. In addition, there is a \$10,000 fee involved in applying to get the permit to build a new mobile home park. This would make it difficult for a group of residents to band together to create a new mobile home park without the barrier of purchasing the land.

Mr. Knight did point out several "tools" – in the form of zoning ordinances – which the permits department can use to encourage workforce housing. These ordinances can allow an increase in density which allows developers to create more overall units if some of them are designated "workforce housing". He also added that his department is really a regulatory agency and they can steer development with incentives but cannot tell people how to develop. They have more "carrots" available than "sticks" in terms of workforce housing development.

*John Savich, County Administrator- 10/11/2007*

John Savich is the current St. Mary's County Administrator. He is also the former director of economic and community development in the county - granting him significant experience with land development and some of the housing issues faced by St. Mary's County. He pointed out that the county government currently sees mobile home parks as poor investments in terms of subsidized housing. Instead, he argued duplexes and apartments were better housing options especially for multi-family residences. Mr. Savich stated that he did not see a large community-wide argument for more trailer parks, and does not feel there is public demand/need/concern. He is also concerned with their lack of long term financial viability, the possibility that trap people into a bad long term investment. During the interview, Mr. Savich discussed the families facing displacement, but he did not want to alleviate the problem by building more mobile home parks. Instead, he hopes that families and individuals can find alternative forms of housing.

This comment raised questions about how families will overcome relocation challenges.

The government is currently taking several to alleviate the workforce housing crunch and induce private and public business to provide more affordable housing to county residents. These steps are intended to reduce development costs of an individual or company seeking to provide more workforce housing. The first step is searching for donated land. After that, the county board of commissioners can waive the impact fee which is currently \$4,500 per development. Another option available is to postpone property taxes, or to offer reduced property taxes for a certain period of time, in lieu of payment. This helps reduce the upfront costs and initial investment for developers.

Mr. Savich explains that the problem with criticizing efforts made by the local government is that it has limited resources. He said there are currently no funds-generating systems, which make funding for public housing next to impossible. Instead, there are voucher programs that are federally funded, issued and implemented. The state government acts on the principle that they do not owe everyone perfection but also do not want to contribute to downward spirals in people's lives or allow their constituents to fall through the cracks. He asserted that the government's job is to level the playing field for people, especially those working and only meeting a percentage of median the income. His view was that government really wants to shift public responsibility to the more efficient private the sector.

*Alice McCreight, Social Worker, St. Mary's County-11/20/2007*

Alice McCreight is a social worker in the family services department of the Department of Social Services, Lexington Park office, in St. Mary's County. Her department has several goals: try to keep families together, help them towards self sufficiency, and provide emergency and longer term assistance to families in need. Ms. McCreight finds that housing is one of the biggest struggles county residents face. There is polarization of income levels. This pushes up the overall cost of living, making life difficult for people on the lower end of the income spectrum.

Ms. McCreight explained that the naval base does provide jobs in the county, but they are generally highly technical and do not really help low income families. She draws direct connections between the population boom when the base was constructed, and a disorganized Department of Social Welfare. The county grew overnight and the small organized welfare programs could not keep up. This

means that today, the department is playing catch up to 50 years of growing wage gaps and poverty. The high paying naval base jobs accent the vast gap between the high cost of living and the working poor in the county. She said that this gap puts many families at risk for encountering unaffordable housing.

During the interview, she said that section 8 vouchers are a family's best option for assistance with housing purchases. Section 8 vouchers are distributed by the Housing Authority and there is no time limit. However, there are requirements families need to meet in order to continue receiving their vouchers. One of these requirements is to fax a weekly pay stub to the Housing Authority. If a family fails to submit their pay stubs, they lose their voucher for three years. These three years, says Ms. McCreight can be the time period that throws a family into homelessness. Another problem is that the formulas for assistance are confusing and many families find the program inaccessible.

Ms. McCreight said that one of her biggest issues is trying to work within her limited selection of possible options. Often, she feels that responses to crisis situations are inefficient and are not best for long term solutions. One example she gave was funding people in crisis centers. Obviously, the department would rather pay for a family to stay in a crisis center for a short period of time instead of going homeless. However, she has one woman with two children who have been in a crisis center for two months at a cost of \$1,000 per month. Instead of sinking money into a crisis center, she says she would rather help people find housing and subsidize purchasing or renting a home.

#### *Response of White Oaks and National Residents*

While no direct interviews with residents were organized, the author was able to speak with residents and hear their opinions on several occasions. The first was at the explanation meeting held by the Housing Authority at the Lexington Park Library in September 2007. Many residents expressed sadness at being uprooted from their community. They have established relationships and routines. Several residents had children who were going to have to move to different schools and leave their neighborhood playmates. Disruptions such as these are not good for children, and residents worry that they will not be able to move into a place with such a nice atmosphere.

Contact information for the author was handed out and one resident responded through an e-mail

explaining her plight. She said that she has a mortgage and actually took out a second loan to do major repairs to their unit. However, when looking for another place to live, she was told that her home may be too large to move into other parks. Her statement was, "We cannot afford to continue paying for this, and then pay rental fees for another place". The issue of mortgages is an extremely difficult one to address. John Savich, the county administrator, explained that mobile home parks may not be a good option for the future. However, this does not help current residents who cannot find new spots for their homes, cannot find affordable rental properties, and are still responsible for outstanding mortgages.

Another opportunity for observation of resident's reactions was at the County Commissioners meeting on October 23, 2007, where they discussed legislation proposed by county residents. A bill (that was later rejected by the Commissioners) had been submitted which would have given mobile home park residents, Non-Governmental Organizations, the Housing Authority, or tenant organizations a limited right of first refusal when mobile home park property is going to be sold. This would give residents a chance to purchase land before it was sold to an outside developer. The argument was that White Oak and National have spotlighted the need for change and mobile home parks offer a perfect non subsidized, affordable housing option for county residents. Since the White Oaks property sold for \$3.9 million, it is unlikely that residents would have been able to afford the property, but it is a step in the right direction.

These residents did not necessarily go to the meeting to support the right of first refusal legislation, but they did emphasize that residents are in a difficult situation. The lack of organization and communication skills at the meeting demonstrates one of the challenges surrounding workforce housing. These people are busy, working individuals. They are contributing members of society but do not necessarily have the resources or political influence of other residents in the county. When they are in trouble, there are very few groups willing to speak up in support. At the first library meeting, more than one resident said that "they", meaning the government, has no problem approving new million dollar developments but will never approve more mobile home parks. These residents feel ignored and persecuted, and when one looks at their dilemma, it is not hard to understand why.

### **Potential Solutions/Suggestions**

The first step in making suggestions in public policy is to address the problem that needs to be fixed. Although the mobile home parks in the area are currently providing quite a lot of workforce housing, they do appear to come with their own challenges and leave residents vulnerable to displacement. Instead, it seems that the government should support the construction of more permanent workforce housing in the area. The next question is how the government should be responsible. Should government institutions fund construction directly? Is encouragement of private developers through incentives or restrictions more viable? Should the government bridge the gap ability to pay and the market rates?

Alice McCreight, the social worker for the Department of Social Services in St. Mary's County, also has an idea for legislation. Her idea is to create a service within her department that searches out reasonably affordable housing in the area and then help create a relationship between landlords and clients. The department will supplement the amount of money between actual rent and the amount a client can afford. Ms. McCreight's reasoning is that since the government pays for very expensive crisis shelters that do not help push clients towards self sufficiency, this program, if implemented may save the county money and help establish more permanent housing for community residents.

Other suggestions for policy changes include establishing more communication between the Housing Authority and the Department of Social Services. Since social workers like Ms. McCreight often meet clients after they have lost their housing vouchers from the Housing Authority, an earlier alert from the Housing Authority for at-risk clientele may keep people from falling into crisis. In one study, Edward Banfield, a Harvard University government professor, suggests that, "poverty is really a product of 'present-orientedness'... individuals caught up in the culture of poverty are unable to plan for the future, to sacrifice immediate gratifications in favor of future ones, or to plan for the future".<sup>39</sup> If this is the case, an individual in this situation has little concrete idea of why they lost their voucher and the three-year wait period will probably just be a time of regression.

Targeting developers is another angle of attack. As development booms in the county, there needs to be more of an incentive to build workforce housing. If developers are tearing down current workforce housing, they should be required to include

affordable housing in part of their new development. Since, as John Savich pointed out, there is no government revenue for housing, a fee should be established to fund construction of affordable homes. Another idea would be to help make some of the current mobile home parks more inviting to live in. If displaced residents do not want to move to other parks because of “crime and drugs”, the government should attempt to eradicate these dangers.

Finally, the transportation and social welfare infrastructure of St. Mary’s county is nearly non-existent. The county has been growing rapidly for years, but these services have not kept pace. There are many service-based industries that are essential to support of NAS and the area residents. The county needs to be able to support these service industries, but this means that there need to be residents who fill the jobs – many of which provide only a modest salary and involve shift work. Potential service-industry workers face barriers such as lack of transportation and adequate child care services. Ms. McCreight commented that people could receive government supported childcare. However, finding certified caregivers who work around the parent’s scheduling is difficult. This issue, which is not unique to St. Mary’s County, should be addressed at the government level and policy makers should examine these problems and strategically start supporting these vital services.

It appears that now is the time to act to influence policy changes. There are county residents who are being displaced right now. They will need somewhere to move. Since there is a market failure in the area of workforce housing, a government remedy is justified. The problem is also complicated by the vast array of barriers facing each person. Issues range from basic moving costs, paying off existing mortgages, finding new property, as well as mental and emotional stresses that come in conjunction with uprooting a family. As the earlier articles suggested, this is not a problem unique to St. Mary’s County. Growth in the county has been somewhat unusual, but sprawling suburbs and growing rural poverty is becoming more commonplace nationwide. Perhaps if smaller county governments can initiate successful remedies, the federal government will follow suit. The policy answer will not be simple, and there will need to be a fair amount of flexibility in both the application and scope of any policy.

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## **An Operational Review of and Prescription for the United Nations Office of Sport for Development and Peace (UNOSDP)**

**Michael Rohrs**

In the last seven years, sport and politics has emerged as a legitimately independent discipline within political science. Until recently, the marriage of sport and politics was largely dominated by discussion of the Olympics. However, sport, ranging from the recreational to the professional, as one of the world's most prolific and universal cultural phenomena, has been elevated from the realm of isolated popular culture to become an effect and affecter of global politics. While political scientists have long scrutinized sport's tendency to be used as a vehicle for sectarian and nationalistic violence, various supra-national organizations and NGOs have begun to look towards sport's constructive qualities; that is, the fact that sport transcends cultural boundaries and unites men.

In a particularly poignant address on the potential of sport as a catalyst for international development and peace brokerage, delivered to the World Association of NGOs Annual Congress held in Toronto this past November, Dr. Peter Donnelly, Director of the University of Toronto's Centre for Sport Policy Studies, quoted former South African President, head of the African National Congress (ANC), and civil right's activist Nelson Mandela as saying,

Sport has the power to unite people in a way little else can. Sport can create hope where there was once only despair. It breaks down racial barriers. It laughs in the face of discrimination. Sport speaks to people in a language they can understand.... [It is] probably the most effective means of communication in the modern world.<sup>1</sup>

The United Nations agrees. In their *Towards Achieving the Millennium Development Goals: a Report from the United Nations Inter-Agency Task Force on Sport for Development and Peace* the U.N. outlines sport's potential to have a positive impact on personal development and education, socio-economic improvement, and international peace initiatives. In a brief, over-arching statement on the positive impact that sport has on society, the publication cites,

Sport has an important role in all societies. Sport is critical to a child's development. It teaches core values such as cooperation and respect. It improves health and reduces the likelihood of disease. It is a significant economic force providing employment and contributing to local development. And it brings individuals and communities together, bridging cultural or ethnic divides. Sport offers a cost-effective tool to meet many development and peace challenges...<sup>2</sup>

The Inter-Agency's report then goes on to explicate how sport specifically contributes to and bolsters each of these three individual areas of development and peace. Regarding personal human development, the U.N. reports,

Participation in sport has significant physical benefits, contributing to people's ability to lead long and healthy lives, improving well-being, extending life expectancy and reducing the likelihood of several major non-communicable diseases... Sport also provides psychosocial benefits, such as fostering social integration and teaching coping mechanisms, as well as psychological benefits, such as reducing depression and improving concentration.

Regarding economics,

The economic potential of sport is highlighted by its economic weight, resulting from activities such as the manufacture of sporting goods, sports events, sport-related services and the media... Sport can also be an engine for local economic development and job creation.

And finally, regarding international peace efforts,

From international events to the grass roots, sport brings people together in a way that can cross boundaries and break down barriers, making the playing field a simple and often apolitical site for initiating contact between antagonistic groups... The skills and values learned through sport are many of the same skills and values taught in peace education to resolve and prevent conflict and create conditions

conducive to peace, from the interpersonal to the international.<sup>3</sup>

On the other hand, however, as noted by both Donnelly and the United Nations, sport has historically not been a purely positive social phenomenon, nor is it the perfect solution to attaining global development and achieving international peace. Donnelly writes,

Sport has been used to promote ideological conformity, militarism, aggressive forms of nationalism, and inequitable attitudes about gender, race and disability. Sport has been considered as a model of and a metaphor for war.<sup>4</sup>

Likewise, the United Nations' Inter-Agency report recognizes,

It should be acknowledged that sport, like many aspects of society, simultaneously encompasses some of the worst human traits, including violence, corruption, discrimination, hooliganism, excessive nationalism, cheating and drug abuse. However, these negative aspects of sport by no means outweigh its potential positive benefits.<sup>5</sup>

Sport is neither the beginning of, nor the end of international development and peace efforts. It will not provide the spark that spontaneously brings historically warring cultures to an amicable agreement, nor is it the secret ingredient to the recipe that cures world hunger. Sport is, however, one of the most widely accessible media for cross-cultural communication, and a sharp tool for cutting through the historically impervious barriers that have so often blocked the advantages of positive political and humanitarian efforts worldwide. Unfortunately, its full potential had yet to be utilized. Just after the turn of the century, however, the United Nations finally made sport a priority member of its mission to promote world-wide development and peace.

In 2001, as an extension of the U.N. Office for Development and Peace, Secretary General Kofi Annan created the position of Special Advisor to the Secretary General on Sport for Development and Peace. He nominated former Swiss President Adolf Ogi. In 2002, to help him with an understandably daunting mission, Ogi created the United Nations Inter-Agency Task Force on Sport for Development

and Peace in Geneva, Switzerland. In 2003, following a round-table discussion in Salt Lake City after the Olympics, the new office put forth, *Towards Achieving the Millennium Development Goals: a Report from the United Nations Inter-Agency Task Force on Sport for Development and Peace*.<sup>6</sup> This report was developed by the Inter-Agency in conjunction with the United Nations Children's Fund (UNICEF) and Mr. Johan Koss, who is Secretariat of the Inter-Agency Task Force, founder of the Canadian based sport-for-development NGO Right to Play, and a four-time Olympic gold medalist and world record holding speed skater.

In 2004, to further assist Mr. Ogi, the United Nations created the U.N. New York Office of Sport for Development and Peace, headed by Dr. Djibril Diallo. Later that year, a round-table forum in Athens, including the New York OSDP and Koss' Right to Play, called for the creation of the Working Group on Sport for Development and Peace of the United Nations Communications Group (UNCG). Then, by resolution 58/5, the UN General Assembly declared 2005 as the International Year for Sport and Physical Education, for which the General Assembly asked the UN Fund for International Partnerships "to assume new responsibilities on sport-for-development-and-peace."<sup>7</sup> From there, the International Group of Friends of Sport for Development and Peace was initiated, followed closely by the Sport for Development and Peace International Working Group (SDP IWG), which again published a report advocating international employment of sport-for-development-and-peace among foreign policy initiatives. This particular report, entitled *Sport for Development and Peace: From Practice to Policy*, "examines diverse national approaches to sport-for-development-and-peace...and encourages members 'to harness and integrate the tremendous power of sport into broader national development-and-peace strategies."<sup>8</sup>

Finally, the UNOSDP formed the International Platform for Sport and Development; a website which aims, "to serve as an umbrella organization for various groups and initiatives focusing on the role of sport in development."<sup>9</sup> The website platform is by far one of the most obviously proactive methods of the U.N.'s sport-for-development campaign. It brings together those who are passionate about sport-for-development and stimulates public discussion, out from underneath the U.N.'s round-table, and makes sport-for-development discussion accessible to candid comments and democratic debate. Sadly, participation in the discussion board has been meager

at best.<sup>10</sup> So, in order to build on all of this ground-work, what is the next step?

In general, sports initiatives to date have been ad hoc, informal and isolated. The time is ripe to develop a coherent and systematic strategy for increasing the use of sport within the United Nations. A common framework needs to be established that draws together sport-related initiatives and actors across the different sectors.<sup>11</sup>

In February 2001, Secretary General of the United Nations Kofi Annan created the position of Special Advisor on Sport for Development and Peace. A year and a half later, in July 2002, Annan convened the inaugural United Nations Inter-Agency Task Force on Sport for Development and Peace. In March 2003, the Interagency Task Force published the *Report from the United Nations Inter-Agency Task Force on Sport for Development and Peace*, to analyze the potential contribution that sport can make towards achieving the United Nations Millennium Development Goals (MDGs).<sup>12</sup> Now, four years, three Olympic Games (summer and winter), and three World Cups (men's and women's) later, the time is ripe to review the performance and operation of the U.N.'s strategy for increasing the use of sport as an agent of international peace and development, as well as examine the common framework that supposedly draws together initiatives and actors across the sporting and political world.

The United Nations Office of Sport for Development and Peace (UNOSDP) is well-intentioned but full of empty promise. For all of its well-meaning rhetoric, worldwide resources, governmental and non-governmental connections, the UNOSDP is inefficient and ineffective. It is creating smoke but making little progress. Based on the 2003 report, the discrepancies between the UNOSDP's goals and their actions are glaringly apparent.

Tim Carlsgaard, co-creator of the 2001-2003 U.N.-sponsored humanitarian campaign "Basketball and Football Without Borders", discussed the UNOSDP's efforts saying, "The U.N. always thinks of having a conference to talk about it, to make people more aware [of the issues.] Stop talking about it and put some events together."<sup>13</sup> Carlsgaard's comments highlight the U.N.'s habit of constant delegation. The laundry list of U.N. offices and special advisors designated towards their sport-for-development program, merely gives off an impression of activism.<sup>14</sup>

The Inter-Agency report clearly states their chief finding as, "...well-designed sport-based initiatives are practical and cost-effective tools to achieve objectives in development-and-peace."<sup>15</sup> My research has shown that the UNOSDP is neither practical nor cost-effective. The loudest and most convincing criticisms are voiced by the grassroots NGOs, who believe that the U.N. is squandering resources, both monetary and otherwise, that grassroots organizations can only dream of having at their disposal.

The Report recommends that the UNOSDP,

Take a leadership role in fostering dialogue between the worlds of sport and development at the national and international levels in order to facilitate the development of innovative partnerships involving sport-for-development.

It also recommends that the Agency,

Consider creating a 'global network on sport-for-development' to facilitate partnerships between the UN system and sport-related organizations, including sports federations and associations, the International Olympic Committee (IOC), sport-related humanitarian NGOs, the private sector, athletes and teams, and volunteers.

And finally,

Urges United Nations system partners, including private sector partners, sports organizations, and civil society, to generate in-kind and financial support for sport-for-development-and-peace.<sup>16</sup>

In addition to those mission statements printed in the U.N.'s promotional literature, in an interview, President Ogi's office further laid out the mandate of the Special Advisor and the UNOSDP. His office stressed that Ogi is commissioned to act as an:

Advocate to promote sport as an instrument in accomplishing specific development goals, as a catalyst, encouraging innovative ideas to introduce sport into existing and new development-and-peace programs, and as a convener bringing together key actors within and outside of the United Nations to promote more concerted responses, with the aim of

using sport to address global problems and to improve the lives of individuals throughout the world.<sup>17</sup>

The UNOSDP has done a decent job with media advocacy; however, they've done so at the direct expense of resource mobilization, soliciting of private sector partnerships, and economical in-kind and financial support obtainment and utilization.

How and why is the office so focused on and committed to one aspect of sport-for-development and so out of touch with the others? The UNOSDP is more bureaucratic than it is philanthropic. UNOSDP operations are geared towards media attention first and the humanitarian campaign second. The media's primary role is illustrated by the strategies and techniques employed in the U.N.'s quest for sport-for-peace advocacy. The UNOSDP gives prominent attention to awareness techniques, towards which it allocates many of its resources including: poster campaigns, pamphlet-wielding information booths, "pre-match and half-time forums" at professional soccer matches, and public service announcements. These techniques are emphasized in the name of "sending a message." Sport is a viable vehicle for social and political development and peace in the world. However, the ends are of little consequence without the proper means of pro-action.

The most stunning example of the media-saturated campaign championed by the U.N. in their literature is the Honduras based NGO, Comvida, which seeks to cease the spreading of AIDS. Comvida organizes "mock games prior to National [soccer] matches featuring players like 'Knowledge' and 'Condom' as well as 'Infected Syringe' and 'Infidelity', representing 'Death United'." Sporting festivals, high profile "charity" events, and dedicated "Days" such as "World Health Day 2002" consistently dominate the UNOSDP's time, energy, and budget<sup>18</sup>. Consider the prototypical UNOSDP operation; it held a conference and declared 2005 as the "International Year for Sport-and-Development." During this time, the UNOSDP did much discussing, publishing, and broadcasting, but a paltry amount of field work in 2005.

A second example is the U.N.'s favorite-son method for sport-and-development, the use of the media and athletes as Goodwill Ambassadors to attract media attention. World-renowned professional athletes attract cameras and microphones, and people listen when they talk. In order to get their ideas out to the public, the UNOSDP has deeply tapped into this resource.

The popularity of sports stars allows them to effectively reach diverse audiences, as well as attract the media's attention. In addition to raising awareness about issues, athletes serving as spokespersons can generate the interest of fellow athletes and team members, and contribute to resource mobilization efforts.<sup>19</sup>

The UNOSDP has employed some of the biggest international names in professional soccer to be their mouthpiece. Brazil's Ronaldo and Kaka, and France's Zinedine Zidane are plastered across the UNOSDP website and featured in their promotional literature. In August 2006, FC Barcelona and Brazil's Ronaldinho, arguably the most decorated football player in the world, became a U.N. Goodwill Ambassador. According to the U.N.'s International Year of Sport website, Ronaldinho gave the following, media-friendly, scripted statement upon joining the U.N.,

I am extremely honored and excited to lend my support to United Nations Sport for Development and Peace initiatives. Sport is a universal language that has no barriers. Football has obviously provided me with a wonderful life, and I believe it is now my mission to give something back and to help youth understand that the power of sport can help them achieve their dreams.

Dr. Djibril Diallo, Director of the U.N. New York Office of Sport for Development and Peace blandly added, "We thank Ronaldinho for helping win the match against poverty.<sup>20</sup>" The appeal of high-profile professionals is that many people around the world, regardless of race or creed, admire and emulate professional athletes. The UNOSDP however, uses its Goodwill Ambassadors to mask its lack of substantive operations.

Amidst the constant barrage of critical punches, there does exist a praiseworthy endeavor and deserving "job well done." The U.N. is doing a noble job of acting as concierge and host to the conference of passionately like-minded sport-for-development people and organizations, both governmental and non. In an interview with Mr. Ori Winitzer, the founder of Soccer for Peace, a small sport-for-development NGO with programs in Israel and Scotland, he expressed his gratitude for being part of

such a lucrative and engaging cooperative environment saying,

I can say, from personal experience, that [the United Nations Office of Sport for Development and Peace] have done a good job in organizing conferences in Magglingen, Switzerland (2003, 2005). I have had the good fortune of attending both at which I have met many like-minded people. As this is a relatively new field, I think there is value in aggregating so many organizations in one place; exchanging best practices, discussing partnerships, and so on.<sup>21</sup>

This is the idealistic essence of the United Nations in practice. The U.N. has the resources and reputation to foster international and inter-organizational collaboration like none other; however, this is truly as far as its sphere of influence extends. The UNOSDP may act as a catalyst for sport-for-development conversation, but they should be acting as a facilitator, providing the means for *sport* to act as a catalyst for health, peace, and social reform.

As a powerful channel to communicate messages, sport can also be an arena to promote United Nations goals for development and peace. Whether a one-time event or a longer-term campaign, sport provides valuable opportunities for both advocacy and the mobilization of communities.

A stark duality exists between the United Nations and NGOs: both have the ability to be an immensely compelling advocate for using sport for social change. Small NGOs are less bureaucratic, more mobile, more politically independent, and more proportionately productive. However, they are often overmatched by larger organizations. Soccer for Peace is, for example, to use Winitzer's metaphor, "a mom and pop business to the U.N.'s IBM." The U.N. is globally influential, well-connected, and has the ability to open doors to resources. The U.N. desperately needs to move away from one-time, ostentatiously media-friendly events, and quickly construct hands-on, sustainable "longer-term campaigns"<sup>22</sup>. One way to do this is through private partnership. Despite prominence in the U.N.'s promotional literature, the U.N.'s sport-for-development network is significantly deficient of private partnerships<sup>23</sup>. The key is capitalism. To

build directly off of the words and ideas of Mr. Winitzer: the U.N. needs to adopt the business of well-intentioned philanthropy.

I am a capitalist and believe in the power of private enterprise and individual philanthropy to effect good in the world. I believe that the more people treat such organizations as businesses, the more results we will see<sup>24</sup>.

Money is the motor of humanitarian campaigns. Unfortunately, world-wide humanitarian work through sport is very much a competition between Governmental and Non-governmental organizations. While sport-for-development is new in the conflict resolution and social developmental realm, the number of activists are relatively few and the competition for resource allocation and fundraising is fierce. "Fundraising is really hard work. We still derive most of our funding from individual donors...which literally entails asking people for donations of \$100" Winitzer said. In terms of cost-effective analysis, Winitzer talks passionately and anxiously about his ability to raise funds and how much he could do with very little capital.

If I have \$10,000, I can probably put together a modest, albeit high-quality program. If I had \$1,000,000, I could probably do something huge, addressing more campers, more frequently, and across a wider area. Multiply that by ten and the possibilities start getting very exciting.<sup>25</sup>

The UNOSDP has shown little initiative for fundraising or attracting in-kind donations. Carlsgaard expressed particular frustration in this regard. "[Ogi] has been a bit naïve. He didn't want to raise any money, just push the topic [of sport-for-development] at the events. [Ogi] used to love to talk about the beauty of sport...but was too lazy to raise money." Carlsgaard however, said in Ogi's defense, "It wasn't all his fault." The U.N. only originally gave him one staff person and a limited budget.<sup>26</sup>

The UNOSDP readily acknowledges the necessity of and its intention to partner with the "private sector." The 2003 Report mentions the "private corporate sector", but fails to expand into the implementation of fundraising.

Resource Mobilization: Partnerships provide a strategic approach to resource

mobilization, both for and through sport. They are an effective way to fund development initiatives for specific issues, and are useful instruments for government initiatives. Ways to mobilize resources include: engaging sports organizations and athletes or forging partnerships and with the private sector. Corporate philanthropy efforts are particularly effective if working with sponsors of major sporting events or focusing on cause-related marketing or other creative initiatives.<sup>27</sup>

The U.N.'s literature addresses private-corporate sponsorships, yet fails to expand into specifics. For instance, the Inter-Agency's report states,

The creation of a common framework on sport-for-development-and-peace would draw together the full spectrum of actors involved with sport, including government (e.g. ministries for youth, sport, health, finance and others), sports organizations (e.g. sports federations, NOCs, national football associations, sports clubs), sport-related development NGOs, and the private sector.<sup>28</sup>

What does "the private sector" refer to, and where are the examples? Although this may seem to be a minute criticism, it highlights the holes in the UNOSDP's operation. In essence, the report puts all of the necessary checks in their proper boxes; however, a closer reading reveals significant loopholes even in their promotional literature. These errors in information directly infect the actualities of the UNOSDP's efficiency and effectiveness.

The closest that the Inter-Agency gets to specifics of its private sector partnerships is the mention of "small and medium-sized enterprises" (SMEs)<sup>29</sup>. The UNOSDP's ambiguity in their literature and vague corporate references give off the impression that there is a conflict of interest between the U.N. and rich multi-national corporations with money to spend, be it ideological or otherwise. Without these partnerships however, there are millions of dollars left unspent on social-development-through-sport.

The United Nations Office of Sport for Development and Peace is merely providing lip service towards "realizing the potential of sport as a

tool for development and peace"; their potential grasp is capable far beyond their attempted reach. I understand that the U.N.'s sporting mandate clearly states that they intend to "incorporate sport into the framework of the U.N. and its offices," but creating such offices and then figuring out how to incorporate them into the sport-for-development framework is counter-productive. According to Ingrid Beutler, editor of the *Report on the International Year of Sport and Physical Education 2005*, the United Nations Office of Sport for Development and Peace and all of its task-specific branch offices are non-operational. They cannot be directly compared to any sport-for-development NGO because "none exist that have the same mandate as the Special Advisor on Sport for Development and Peace." The UNOSDP has enjoyed some success in their mission to advocate and integrate sport-for-development into the global system. It's now time for it to take a more hands-on approach. The UNOSDP should be fully operational.

In order to be an effective and sustainable operation, the UNOSDP must move beyond superficial media campaigns, conferences, and half-time shows. Supporting a community based NGO towards AIDS prevention by personifying birth control and drug paraphernalia is not the most efficient or effective way. Instead, the UNOSDP needs to redirect resources and funds away from publishing literature, pamphlets, posters, and manuals, and towards camps.

Partnership with rich, private corporations is the key to raising those funds. Former President Ogi needs to solicit Swiss, as well as sport-related multi-national, corporations for financial contributions, be it in cash or in kind. The list of UNOSDP partners on both its website and on the final pages of the Inter-Agency's report are distinctly devoid of sport-related corporate giants like Nike, Adidas, Puma, Gatorade, etc... The sport-related possibilities are virtually endless. Consider Under Armour for example; it is still a relatively new corporation, publicly traded for the first time late in 2005, with a revolutionary product line and unbound potential. The future rise to multi-national status of Under Armour Inc., should include partnership and advertising with sport-for-development worldwide and the UNOSDP.

Aside from the sport-related conglomerates, some of the richest corporations in the world are based in Switzerland. Six of the top 100 richest companies in the world are Swiss. Swatch watch corporation has a market value of \$11 billion, UBS Financial's market value is over \$116 billion, and

Nestle's is over \$142 billion. All of these companies were listed in the top 100 richest companies in the world in 2007, they're all Swiss, and they all have money to give.<sup>30</sup>

The United Nation's Office of Sport for Development and Peace is a powerful weapon against the world's most pressing socio-political issues. It needs to take a more active approach to sport-for-development-and-peace in the world, and start to practice more efficiently what it has been preaching through the media. With a new focus and some additional funds, the United Nations Office of Sport for Development and Peace can significantly contribute to achieving the Millennium Development Goals by 2015.

In keeping with the format of their 2003 Report's "key considerations", I would suggest to the United Nations Office of Sport for Development and Peace:

Key Considerations Regarding a Practical, Cost-Effective, and Sustainable Sport-for-Development-and-Peace Program for the United Nations Office of Sport for Development and Peace: Neo-Sport-for-Development-and-Peace Humanitarianism

- A new mandate: The UNOSDP needs to be proactive, to act as a facilitator, providing *sport* to as a catalyst for health, peace, and social reform.
- Less vainglorious bureaucracy: The UNOSDP needs to push back from the round-table, out from behind closed doors, and onto the pitch of playing fields in socially, politically, and economically torn countries.
- Benevolent capitalistic philanthropy: The UNOSDP should work to partner with rich private enterprise. It needs to solicit for cash and kind donations in exchange for advertisement and reputation.
- The UNOSDP and its corporate partners should work as if it can't afford not to: Adopt an NGO-esque work ethic. It is imperative for the UNOSDP to combine the vastness of the U.N.'s network and resources with the per-head cost efficiency of grassroots organizations.

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