

Bushido and The Code of Chivalry:

Comparative Historical Research of Medieval Military Mindsets in Multidisciplinary Analysis.

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This paper examines the historical and methodological problems of comparative research of the source of codes of honor and the features of the medieval military classes' mentality, particularly of Japanese samurai and European knights.

To this day relevant questions remain about the uniqueness of the worldview and attitude of people in various enclaves of civilization. The process of globalization, dictating the production of tolerance to the "alien" determines the social order of the scientist - an order for the adequate reconstruction and comparison of various cultures, analysis of their similarities and differences, and the search for the origins of cultural specificity. The social importance of this study is also due to public interest in samurai and knightly ethics. Such interest is often associated with the ability to compare individual values and categories of medieval military culture (such as honor, loyalty, and attitude toward women, wealth, and power) with the modern "codes of honor" of closed communities (their values and norms of behavior).

The scientific relevance of the work is prompted by the historiographic tradition of studying the culture of military classes. I will briefly address the main challenges of the current historiography of this topic. Currently, there are many scientific and popular works concerning samurai and knights culture. But still extremely rare in this area is a comparative analysis of culture made with the involvement of the medieval Japanese and European sources. Even fewer comparative works analyze the folding and the evolution of culture of the military estates: from its origins to the transformation of culture through time. The connection of the warrior codes with the cultural tradition of the entire state, with its socio-economic structure, and the problem of foreign borrowings and the independent development of society is rarely viewed in comparative-historical research on this topic. Also the psychological and emotional side of life of the medieval soldier is relatively unknown in comparative studies. This highlights the importance and novelty of this study.

The scientific literature is still portrayed in a diametrically opposed approach to the study of mentality, which suggests a natural question about the possibility of adequate reconstruction of sheer of emotional mentality. Multidisciplinary methodology makes it possible to test the results, which also determines the scientific novelty and relevance of this work. In my dissertation I discuss issues related to the historical and methodological validity of such comparisons. It also raises a number of questions that occur when comparing samurai and knightly culture. Could it be that one and the same cause led to the appearance of entirely different traditions of military estate in the East and West? Could the phenomenon of culture have completely different origins? Actual comparative-historical analysis of the "The Nibelungenlied" and "The Tale of the Heike" have allowed me to reveal the differences and specific features of the samurai culture and the Western European chivalry in their early form. These sources were chosen because of several reasons. Both works are classic examples of the literature of early chivalric and samurai medium. They both are the continuation of folk epics and legends, expressed now in the writing. "The Tale of Heike" and "the Nibelungenlied," as well as any epic is a reflection of the medium in which they were written, its realities and culture. But both sources are not quite a folk literature but an estate literature - literature of samurai and knights. These transients in the medieval literature are closely related to the development of military estates and land use in Japan in VII-XIII

centuries and Germany in the IV-VII centuries. Therefore, both of these works reflect the stage of formation and accumulation of the moral and behavioral norms that formed the chivalric code and bushido.

An approximate structure of the dissertation:

1. Introduction
2. Historical and cultural interior and basic value orientations of bushido and chivalry
3. Comparative-historical analysis of the mentality within a multidisciplinary analysis
 - a. Death as the most important military ritual
 - b. Humility
 - c. The image of the supreme ruler
 - d. Woman warrior in medieval literature
 - e. Literary features of texts and their meaning
 - f. Verification of the findings and the general comparison of the codes
4. Conclusion

The main goal of my research is to try to identify the differences and specific features of the samurai and Western European knighthood (its literary image) that existed during the folding and heyday of the military estates (with the help of sources) as well as the historical roots of these differences. The main research problems considered in the proposed dissertation are the selection of common (typological) features of the samurai estate and the knighthood as the basis for comparison, analysis of the historiography of the issue, determination of the main directions of analysis, the selection of specific features of the samurai estate and the knighthood, and the attempt of its analysis and search for their cultural and historical roots.

However, such a comparison requires the reasonable basis for comparison, which is related to a number of historical and methodological problems. Thus, there is the problem of the legitimacy of the comparison of Eastern and Western cultures in general. This problem arises from both large-scale historical debate, and the attempt to compare two very different medieval literary works. It is known that historic and calendar time does not frequently coincide, especially when it comes to two distant regions and their vastly different cultures. In this case we can talk about the extraordinary similarity between the processes taking place in Japan in the VII-XIII centuries and Germany in the IV-VII centuries. During this time in both regions the transition from an old to a new order took place, and were developing the land-use patterns due to the relationship of subordination, thus an entire system of these relations developed.

A question of the validity of the comparison is parsed in details in the introduction of the dissertation. Key similarities of the behavioral standards of samurai and knights are analyzed. By analyzing these similarities I define several typological characteristics to justify such a comparison. I consider the literature to analyze the methodological approaches used by previous researchers. Such an analysis is necessary for the formation of our own methodological base taking into account the shortcomings of researchers' approaches remaining gaps and lacunae in the study of the issue. In my published articles "Comparative historical study of the 'Tale of the Heike' and 'The Nibelungenlied': Basis for comparison," [1] and "Bushido and Chivalric Virtue: A Comparative Analysis of 'The Song of the Nibelungs' and 'The Tale of Heike'" [2] I highlight the overriding typological properties of the military estates and define the main directions of comparative historical research of the mentality (mindset and culture) of medieval military estates.

Special attention is devoted to a study of the historical situation and the specifics of the historical development of the regions allowing us to connect the transformation of the behavioral and ethical norms of bushido and the chivalric code directly with the development of the region and its socio-historical processes. On this basis we can make an attempt to explain the causes of the specific features that exist in the Bushido and chivalric code. This question is the subject of a chapter of the dissertation titled, "Historical and Cultural Interior and the Main Value Orientations of Bushido and Chivalry." This chapter's focus is to analyze the origins of samurai estate and knighthood, as well as an etymological analysis of the terms that denote the members of the medieval Japanese and European military estates. A content analysis of the text of the original manuscript "A" of "The Nibelungenlied" was conducted to deepen the analysis of the terms reflecting social structure. Using it I discovered which of these terms are used more frequently in the text of the "Song of the Nibelungs." On the basis of this data I try to draw certain conclusions about the social structure of medieval society in Germany.

My research is a comparative historical study of mentality itself, which is the subject of the chapter, "Comparative-historical research of the mentality in the focus of multidisciplinary analysis." This chapter is thematically divided on certain lines of the comparison of culture of military estates: 1) the attitude toward death and customs associated with it; 2) humility as a specific rule for the samurai; 3) the image of the supreme ruler in the military estates; 4) the image of woman warrior in medieval literature; 5) the epic of military estates, their language, and literary features. The lines of comparison may be supplemented during the work on dissertation. Thus, the possible direction of comparative historical research of the undertaken sources can be a study of how the hero is presented in "The Tale of the Heike" and "The Nibelungenlied," and how a hero is depicted in the Japanese and German traditions. In this regard it is possible to consider the assessment of victory and defeat in the literature of medieval military estates. The concepts of cunning and wit in the Japanese and German traditions also require deeper analysis. A possible direction of research may also be a study of the religious institutes in Japan and Germany, and their influence on the formation of values and norms of bushido and chivalric code.

In two recent publications "The Differences in War Rituals Between Knights and Samurai: Specific Cultural Features or Misconceptions?" [3] and "Submission to Authority and Social Norm in Medieval Military Estates of Japan and Germany," [4] I presented the results of comparative analysis. In particular I analyzed rituals associated with death and the perception of death in the military estates, such as decapitation and drinking the blood of the enemy. The most detailed results are presented in an article entitled, "Submission to Authority and Social Norm in Medieval Military Estates of Japan and Germany" [4] written in collaboration with Professor I.Yu. Nikolaeva. We discuss some of the value orientations of the culture of military estates in medieval Germany and Japan. Revealing the differences, we make assumptions about the origins of humility and attitudes concerning suicide using different methods in complex.

The historiographical base of dissertation is made up of monographs by such well-known researchers as: Hiroaki Sato, Ivan Morris, Archibald Lewis, Winston L. King, Alexander Mescheryakov, Boris G. Mogilnitsky, Aron Gurevich, Nikolaj I. Conrad, Andreas Heusler, Philippe Ariès, Ernest Lavisse, Alfred Rambaud, James George Frazer.

[1] Serkova, Olga. "Comparative historical study of the 'Tale of the Heike' and 'The Nibelungenlied': Basis for comparison." The dialogue of cultures as a historiographical problem: students' seminars' (Department of History, TSU) sourcebook. Tomsk: Tomsk State University Press, 2009. P. 45-48.

[2] Serkova, Olga. "Bushido and Chivalric Virtue: A Comparative Analysis of 'The Song of the Nibelungs' and 'The Tale of Heike.'" *Problems of History, International Relations and Documentation: National Youth Conference's Sourcebook #7*. Tomsk: Tomsk State University Press, 2011. P. 67-69

[3] Serkova, Olga. "The differences in war rituals between knights and samurai: specific cultural features or misconceptions?" *Student and the future of Russia: Abstracts from the 14th Russian Student Scientific Conference*, Samara: The Modern University for the Humanities (MUH) Press, 2011. P. 147-150

[4] Serkova, Olga and coauthor Irina Nikolaeva "Submission to authority and social norm in medieval military estates of Japan and Germany." *Dialogue with time. Intellectual History Review*. 38. Moscow: IWH RAS, 2012. P. 227-240