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# Popular Sovereignty in the West

Polities, contention, and ideas

Geneviève Nootens



# Popular Sovereignty in the West

This book is an inquiry into the history of the idea of popular sovereignty as it has been shaped by the struggles between rulers and ruled. It builds on the notion that a thorough analysis of how the idea of popular sovereignty emerges from, and interacts with, a political history of contention within changing polities can help us to draw similarities and differences with our own age.

Providing a historical perspective to the present day, Nootens pays strong attention to the role of democratization processes and to the relationship between meanings conveyed by the idea of popular sovereignty, political contention, and changing representations of the governing relationship. The latter has been undergoing significant transformations in the last decades, and these transformations impact significantly upon people's rights, interests, wealth, and capacity to decide for themselves. In order to understand popular sovereignty in an era of globalization, this book argues that focus should be put on current struggles between rulers and ruled, as well as on current transformations of the relationship between public and private spheres. Understanding the claims involved in current processes of contention over decision-making processes is key to understanding popular sovereignty in an era of globalization.

Making an important contribution to debates on sovereignty, *Popular Sovereignty in the West* will be of interest to students and scholars of modern political theory, sovereignty, and democratization studies.

**Geneviève Nootens** is Professor of political science at Université du Québec à Chicoutimi, Canada.

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# Introduction

This book is not firstly intended to be a work of political philosophy. It is first and foremost concerned with political ideas, and with the social and political contexts that frame and accompany debates on the political. This is not to say that no normative issue related to the justification of how public institutions are organized will be raised; we should be very much concerned with, for example, the lack of public accountability conveyed by many of the processes related to globalization and with the gap between decision-making and the possibility for individuals and people to have a say on significant domains of their lives. I am also deeply convinced that democracy requires, as T. Pogge has it, the equalization and maximization of citizens' abilities to shape the social context in which they live, and that as citizens of the world and human beings, we have a duty to build political institutions and processes that approximate this ideal (Pogge 1997). However, this book's main task is to inquire into the history of an idea – popular sovereignty – as it has been conveyed, developed, and transformed through the struggles between rulers and ruled. The idea of popular sovereignty has been shaped by such struggles, in the course of which people often did not have in mind grand ideals such as democracy, but rather the defense of specific rights and interests and, more generally, the need to protect themselves against oppression by rulers and their intermediaries. Let us think of, for example, people's reaction to pressures upon land and commons in the eleventh and twelfth centuries; late Middle Age Italian cities struggling against the emperor and the Papacy to defend their autonomy; conciliarism as a response to grown centralization in the Church; the Huguenots opposing the French monarchy; significant groups of the English Civil War, such as the Levellers; struggles for the legalization of unions in the late nineteenth century; the many 'Occupy' movements that have surged lately. Some of these actually lead to the development of discourses and theories putting forward normative principles that have played a significant part in liberal democratic regimes – self-rule, equality, and

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the like. But such discourses have roots in concrete settings and contexts in which people feel a pressing need to defend their immediate interests against rulers and elites.

The elaboration of normative justifications of the idea that ‘the people rule’ interact with such struggles, so that they both build on them and influence them. They help to articulate why we should defend the capacity of the people to rule for themselves, to strive for self-determination, and to play an active role in legislation. They do a significant job in clarifying the different ways such a principle can be justified, and the relative merits of different arguments. They also provide justifications as to why the people’s rule is to be constrained by norms and principles protecting basic rights and the dignity of each person. Still, such normative justifications are embedded in contexts marked by tensions, claims, and struggles as to who should take part in government and through which mechanisms, how regimes are to be organized, how the boundaries between public and private matters are to be defined, and, ultimately, how and why shall rulers be responsive and accountable to the ruled. A great deal of those tensions, claims, and struggles bear on material resources, and on how they are to be extracted and distributed. Bodin’s, Hobbes’s, Rousseau’s, Locke’s, or Habermas’s contributions to the framing of the modern idea of sovereignty cannot be understood apart from the main trends, conflicts, and debates of their times. Ideas are shaped by such trends, conflicts, and debates; and as they are developed, discussed, and spread, they also, in return, contribute to design and sustain – or undermine – the overarching regime that frames the adjudication of conflicting claims within a polity.

This book rests upon the idea that such settings, contexts, and struggles have played, and still do play, a major part in the historical paths of the idea of popular sovereignty, and that abstract normative theorizing would benefit from rendering more explicit the significance of contention in the development of such an idea. It builds upon the assumption that a thorough analysis of how ideas emerge from, and relate with, such a political history of contention can help us to draw similarities and differences with our own age. Basically, popular sovereignty has been shaped by struggles between rulers and ruled in the course of which ordinary people – sometimes in class coalitions with elites – have tried to protect what they consider to be their basic interests. Meanings conveyed by the idea of popular sovereignty were, and still are, shaped both by the political struggles opposing rulers and the people – and sometimes, rulers themselves – and by changing representations of the nature, role, and functions of the polity – changes that relate to wider social, cultural, and economic processes and trends. Popular sovereignty takes shape in those processes in the course of which people challenge the scope and nature of the governing relationship

between powerholders and stakeholders. It is through mobilization and contention that, in the West, the idea of popular sovereignty came to be closely associated with democracy and the idea that the people rule. It seems quite appropriate and relevant, therefore, to hypothesize that in the current context, understanding the future paths of popular sovereignty depends upon identifying the relevant governing relationships – some of which do not anymore conform to the nation-state model, nor to the nineteenth and twentieth centuries’ liberal view of the international society – and the types of contentious politics that address such relationships. [Chapter 7](#) suggests a perspective from which such challenges may be tackled.

Let me stress once again that I do not mean to say that normative theorizing, ideas, and principles are not important. They surely are; the notion of individual rights, for example, is a significant contribution to the formalization of the conditions of equal dignity and its respect, and surely democracy as a regulative ideal embodying self-rule and equality plays a significant normative role. Yet, if the argument developed in this book is sound, to have a more precise idea of what popular sovereignty is going to look like in the forthcoming decades, we need to focus on current struggles between rulers and ruled, as well as on current transformations of the relationship between public and private spheres. Contexts, social representations, and power relationships are changing. To merely extrapolate the future paths of popular sovereignty (and of democracy) starting from a normative theorizing rooted in the liberal democratic state of the twentieth century will hardly do, since it may distort our understanding of some current processes, and conceal how and why ‘ordinary people’ are party to new governing relationships, as well as the nature of these relationships. Actually, understanding and theorizing the nature of governing relationships is precisely what we need, if people really are to have a say in public politics.

This book focuses explicitly on the history of the idea of popular sovereignty in the *West*, and follows its paths up to the nineteenth- and twentieth-century processes of democratization in liberal states. Several reasons support such a choice. One relates to the subject matter itself: the idea of popular sovereignty has a long history in the West, and its current meanings and impact could hardly be understood without an investigation into such a history. That does not mean that there do not exist other traditions, societies, and cultures in which representations of the ruling relationship incorporate the idea that somehow people are to have a say and to be part of the making of public politics. As Sen has powerfully argued, democracy has global roots, and freedom was not invented in the West (Sen 1999, 2003). However, the fact that there may be other ways of

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relating people's consent to the ruling relationship – ways that may be, in some respect, very similar to how the idea developed and was embodied in the West – does not downplay the significance of the Western experience in that domain.

There have been, in late Western political theory, ways of interpreting popular sovereignty that intend to depart markedly from the meanings it had in dominant views, particularly of a liberal brand. Significant views have been developed by people working from the perspective of gender studies, of post-colonial ones, and of a genealogical approach *à la* Foucault. The works of J. Tully (2008), W. Connolly (2004), and R. Prokhovnik (2007), for example, illustrate the fruitful prospects of perspectives challenging the dominant trend of liberal democratic theory. The current book, although recognizing the significance of 'thinking and acting differently' (to paraphrase the title of an essay by Tully), intends to contribute to an 'internal critique' of liberal democratic theory, and particularly of its very much implicit reliance upon the modern territorial state. Such reliance tends to make liberal democratic theory blind at once to its own contingency and to the significance of the empirical processes that actually nationalized and democratized liberal states. It also may distort its analysis of the actual possibilities and paths of democratization at supra- and trans-state levels. The significance of liberal democratic theory, as well as its scope and impact, justifies having a closer look at such flaws from a point of view anchored in its own development and that may impact on its own justificatory framework. As to a broader theorization of 'sites of struggles', however, I wish to leave the options as open as possible – although I of course acknowledge that any such interpretation of social processes depends upon a larger ontological and epistemological framework.

The fact that in the West popular sovereignty has come to be embodied in a liberal democratic conception of the people's rule does not mean that other approaches and perspectives could not have provided for different, and eventually more 'emancipative' – whatever this may mean – views of the people's political power, consent, and participation to rule. Yet, it is also very much obvious that up to now, people have fared much better under democratic regimes than under non-democratic ones. As C. Tilly has stressed, democracy is more beneficial to ordinary people than other kinds of regimes, amongst other things because it provides for a more extensive redistribution of resources and creates systems of extraction and allocation that are more responsive to popular control (Tilly 2007: 117).

Finally, let me stress that the proposed interpretation of the history of the idea of popular sovereignty is not intended to suggest that there is any teleology involved, in the paths that led from the Roman notion of *lex*

*regia* to the idea that the people actually rule. In other words – and notwithstanding the fact that people do fare better under democratic regimes – I do not mean to argue that there has been a gradual and progressive development that would have led to some kind of universal emancipation embodied by contemporary liberal democracy – although liberal rights are, from my point of view, a significant achievement with regards to the realization of individuals’ equal dignity. The idea of popular sovereignty has conveyed different meanings, historically, ranging from the notion that the people have somehow consented to be ruled but by the same act have alienated their power to do so, to the one that law is legitimate insofar as it is the product of the people’s decision-making – namely, democratic self-rule.

The history of popular sovereignty is at once the history of an idea and the history of significant struggles between rulers and ruled in the course of which ordinary people try to protect what they see as their basic interests. It is precisely that intercourse that is the main concern of this book. Such an investigation makes it very clear that in order to understand popular sovereignty in an era of globalization, we have to look to current struggles between rulers and ruled, as well as to current transformations of the relationship between public and private spheres. This is why the book’s main focus is not normative models of democracy, although it is to correlate with a number of normative claims. I do not want to start with a peculiar justification of popular sovereignty and then propose ways of institutionalizing popular control and participation on processes of decision-making that would require current processes of contention to conform with popular sovereignty as it was embodied in the modern nation-state. Rather, I insist that we should get a clearer view of the claims involved in current processes of contention over decision-making processes. In terms of democratic political theory, hence, I suggest focusing much more on processes of democratization than political theory usually does. Lessons are to be drawn from historical paths that emphasize the significance of contentious politics, and particularly the struggles opposing ‘ordinary’ people to elites and rulers as well as the issue of the loci of decision-making. The different meanings of popular sovereignty – that invariably involve the nature of the governing relationship and the issue of ultimate authority – depend upon different configurations of the relationships between beliefs concerning the source of political authority, arguments about the way(s) such an authority is to be exercised, and representations of the nature of the polity.

The first two chapters of the book are devoted to the history of the idea of popular sovereignty up to the seventeenth century. [Chapter 1](#) focuses on how the notion of popular sovereignty appeared and was revisited, from

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the Middle Ages to the early modern period. It emphasizes the main ideas involved in discourses and debates on the people's public power during that period. Beginning with medieval references to the Roman notion of *lex regia*, it ends with Locke's argument about the consent of the general community as composed of individuals endowed with natural rights. During this period, the idea of popular sovereignty was deeply transformed by political, social, and economic processes: from the idea that the people must have somehow consented to the authority of the ruler, it came to embody the idea that the people retain their authority, which they may reclaim if a government is tyrannical and which reverts to them when governments are dissolved. [Chapter 1](#) does not pretend to sketch a novel, original thesis about the origins of the idea of popular sovereignty; it builds upon major works in the field of the history of ideas and political thought. Yet, it is an important part of the book, since it lays out a clear picture of the origins and transformations of the idea of popular sovereignty up to the early modern period, and helps to understand the contexts and debates that shaped it, up to that period.

[Chapter 2](#) focuses on the relationships between the ruler sovereignty, popular sovereignty, and state sovereignty in the context of the emergence of the modern conception of the state as a governmental authority differentiated from both the people and office-holders. Emphasis is put on the issue of ultimate authority in governing orders, and on the tensions between the early modern theory of popular sovereignty and the counterthesis of absolute regal power. The latter was reinforced by a new conception of the state as the locus of legislative sovereignty and as distinct from both rulers and ruled. The focus on how the question of ultimate authority in governing orders evolved in the sixteenth and seventeenth centuries is important, since the idea of popular sovereignty involves the nature of the governing relationship and the issue of ultimate authority. Together with [Chapter 3](#), [Chapter 2](#) raises the issue of the relationships between claims to authority from people(s), rulers, and governmental institutions in the modern notion of sovereignty as a specific conception of the governing relationship.

[Chapter 3](#) is devoted to the notion of (state) sovereignty as a distinct institution having specific functions in modern polities. Modern sovereignty relates to a distinctive way of claiming ultimate authority within and upon a territory. Yet, the focus on the claim to ultimate authority leaves open the issue of the source and legitimacy of such authority, as well as of the nature of the governing relationship. This justifies examining some theses that – wrongly, from the point of view of this book – make popular sovereignty dependent upon the very existence of the modern state. Addressing the issue of the relationship between state sovereignty

and popular sovereignty is an important task in the current context, since the significant debates on state sovereignty have not had any major counterpart in reflections on popular sovereignty, up to now. One reason for this surely rests with the very close identification of popular sovereignty with democratic self-rule, in modern political theory. Yet, both popular sovereignty and the governing relationship embodied by the modern state are liable to change when the objects, claims, and scope of contentious politics – that all bear upon the boundaries and nature of the polity – are transformed.

[Chapter 4](#) tackles the issue of the embodiment of the people as the source of political legitimacy in the nation. The people as political agency takes a new turn in eighteenth- and nineteenth-century Europe: it is now a collective political agency which retains and exercises its sovereignty as a nation; and this body politic is seen as being made of individuals who also are increasingly conceived of as autonomous agents, and as equals.<sup>1</sup> Those developments make even more complex the issue of the relationship between state sovereignty and popular sovereignty, because most states consolidated as nations, and the two are often assimilated, as in the model of the nation-state. But the two should be kept conceptually and analytically distinct, not only because they designate different phenomena, but also because state sovereignty and popular sovereignty do not have the same origin. State sovereignty originates in the Roman notion of *Imperium* and its correlates, whereas popular sovereignty can be traced back to some medieval interpretations of the Roman notion of *lex regia*, as explained in [Chapter 1](#).

Such a distinction is a useful reminder of the fact that in the current context as well, challenges to democratic rule shall be kept distinct from challenges to state sovereignty. A rather naive view assumes that challenges to popular sovereignty are subordinated to challenges to state sovereignty, and seems to forget that the modern democratic state was not ridden of conflicts between political and economic interests, particularly between elites and ‘ordinary’ people. Significant processes of contention continue to oppose ordinary people to ruling classes and economic elites, in the current context, and although democratic regimes are supposed to be ones in which ‘the people rule’, some decisions and processes in which rulers participate seem quite estranged to the ‘common’ good. [Chapters 5](#) to [7](#) therefore are dedicated to contention and challenges facing both the representation of the polity as one nation, and the people’s control over processes of decision-making. [Chapter 5](#) recalls that the embodiment of the modern notion of popular sovereignty in liberal democratic regimes has depended upon actual popular struggles for inclusion in the body politic, the enlargement of franchise, and basic individual rights. C. Tilly’s

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analysis of popular contention in Great Britain during the 1754–1834 period is used to illustrate the processes of contention that contributed to the democratization and nationalization of Western liberal states, from the eighteenth century to the twentieth. It is appropriate to tackle such processes because popular sovereignty came to be closely identified with democratic self-rule, during that period. Tilly's analysis shows how popular contention changed national politics, and how, in the course of such processes, Great Britain moved from a situation of indirect rule to a situation of much more direct rule. Moreover, his analysis points to components of contentious politics that are useful for identifying the forms and prospects for popular sovereignty in our own era: the relationship between contention and public politics; the relationship between actual loci of decision-making, repertoires of contention, and the objects of claims; the continuous struggles opposing ordinary people to elites and powerholders; the interplay between contentious politics on the one hand, and discourses and representations on the other. In other words, it supports the idea of refocusing analyzes of popular sovereignty and democracy on processes, rather than static ideals, and helps in getting a clearer picture of the current transformations of the nature both of politics and of the governing relationship.

**Chapter 6** goes back to the issue of the nation, and explains how plurinational societies challenge the idea that it is the unified, relatively homogeneous nation that is the indivisible beholder of popular sovereignty. Such societies are made of multiple demoi and of minority nations that claim to be invested with a constituent power of their own. Hence, they challenge the indivisibility of the constituency that is key to modern doctrines of popular sovereignty. The latter assumption – namely, the one of the indivisibility of the constituency – plays a major part in institutions and practices that are fundamental to liberal democracy; let us think, for example, of the 'one person, one vote' principle. Yet, this assumption impinges upon minority nations' claims to self-rule, and severely restricts a more thorough reflection on the heterogeneity of the nation and the state. So the issue is not merely one of the relationships between policies and of how state sovereignty is perceived in different countries, for example, in federal v. unitary states. It also pertains to the impact of heterogeneity on the 'indivisibility assumption'. I will suggest that M. Loughlin's assertion that state sovereignty as a representation of the autonomy of the political cannot be contested is misguided, because the sovereign state is not the only possible way of embodying collective political agency, and because the public/private distinction that is core to modern politics is currently undergoing significant changes that bear upon collective political agency and its representations.

The issue of popular sovereignty is closely intertwined with that of the nature of the governing relationship and of the nature of the authority

exercised by the people. Its development has been shaped by political, social, economic, and cultural struggles between, on the one hand, rulers themselves, and, on the other, rulers and the people. It has also been shaped by changes in social representations of the nature, role, and functions of the political community, including the nature of what is deemed to be ‘public’ and of its relationship to what is not. [Chapter 7](#) therefore turns to the transformation of the governing relationship characteristic of the current era of globalization. It stresses that there is a multisited structure of governance that embodies a different type of governing relationship, characterized amongst other things by the growth of ‘private’ forms of authority, the marketizing of public functions, and differentiated regimes of rights. Such a governing relationship must be recognized as such: international regimes are political systems of rule. Citizens, social movements, and NGOs are engaged in contentious politics opposing them at once to economic elites, states, and global regimes of governance in a system of rule that may be described as ‘fragmented tyranny’. This does not mean that there is one, global civil society. But it is precisely such contentious politics, and the governing regimes it opposes, that must be scrutinized if one wants to really understand what stands out, for the people’s capacity to rule for themselves, of this never-ending bargaining over rights, wealth, and resources, in our own era.

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