

Neumann, Debra Massey Sanchez, Natalie Baquerizo, Anita Jackson, Melly Sutherland, and Brian Rowatt – laughingly kept my administrative life afloat even when the ride threatened to get bumpy.

Those who have worked with Andrew McNeillie and Jayne Fargnoli as editors at Blackwell will know the sort of intellectual support they bring to the relation with their authors. Editors are under enormous pressures in these times not just to sign books but to see them quickly published, to reduce their books to the widest audience they could conjure. Andrew and Jayne work exactly in the opposite direction, knowing that serious books sell. Andrew had the courage to sign the book long before a page of it was written. The book might never have seen its end without his patient support. Brigitte Lee has been the ideal copy-editor, sensitive and suggestive without being intrusive.

My son Gabe insisted on my sustained youthfulness when I might otherwise have fled that state all too fast. I hope some of that sensibility is reflected in these pages.

Above all, the book was composed in and through constant companionship and conversation with Philomena Essed who turned over most every idea, insisted at every turn on conceptual clarity, encouraged lightness where heaviness threatened to take over. Her spirit pervades these pages.

Howard Winant's insightful and wide-ranging book, *The World is a Ghetto: Race and Democracy Since World War II* (Basic Books, 2001), appeared too late for me to incorporate references to it below. Those reading *The World is a Ghetto* alongside *The Racial State* will note the overlap in themes discussed and, more pressingly, some of the key terms employed in our respective analyses: race as constitutive of modernity, the racial world system, colorblindness and racial invisibility, and so on. Indeed, I published an article in 1994 bearing the main title of Winant's book. I do want to emphasize nevertheless that the many divergences between the two texts, both obvious and subtle, are at least as significant as any convergence.

Irvine, California

INTRODUCTION: THE STATE OF RACE THEORY

Racial theory of late has grown awfully weary. It has come to trade in and on a clichéd vocabulary repeated uncritically in journal articles and books, colloquia and classroom seminars, convention panels and collegial conversations. Those of us engaged in critically theorizing racial concepts and racist expressions, formations, and practices should know we're in trouble when the language of analysis assumed all too reflexively turns up unself-consciously on Ted Koppel's *Nightline* and CNN's *Larry King Live*. Making it so superficially onto the world newscasts is a sign not so much of critical acceptance as the blunting edge of appropriation.

In a sense we've been too successful, impressing our students and storming the barricades with an armory of terms that for the most part barely scratches the surface of analytic rigor and critical depth. As with commercial copy, one's publication can only compete for its fleeting moment of instantaneous fame if it incorporates a catchy concept that promotes purchase of the product. We have entered the world of use value, concepts as commodities discardable just as easily as the empty milk carton, and recycled just as reticently. I have taken of late to warning students in my seminars that they will no longer get away with flippant invocations of "racialization" and "sites of contestation," "interrogation" and "narration."¹ The warning produces stunned silence, as though they have been robbed of the only language they have come to know for addressing racial matters and racist conditions. At the same time, concern with and about the latter has disappeared all too quickly before the drunken diffusion of *racial* categories, new domains in the name of whiteness studies, race traitorhood, identity claims, and the romance with hybridity. These are the very domains of analysis the culturalist turn of the past two

decades has seductively prompted, for better *and* worse. Liberalism's dance around race relations at mid-century has given way to the infatuation with racial identities in the dying decades of the millennium. The productive possibilities of that turn seem to have run their course. Time, I suggest, to move on.

To move on not by turning back but to begin to address the lacunae, the noisy and bothersome gaps, around which the culturalist turn detoured all too deftly. That turn, it must be emphasized nevertheless, now allows critical theory to re-turn, to address with fresh eyes two decades of sometimes heady but also often suggestively insightful analysis. One of the most telling evasions in these past two decades of thinking about race has concerned the almost complete theoretical silence concerning the state. Not just the way the state is implicated in reproducing more or less local conditions of racist exclusion, but how the *modern* state has always conceived of itself as racially configured. The modern state, in short, is nothing less than a racial state. It is a state or set of conditions that assumes varied racially conceived character in different sociospecific milieus. So, in one sense, there is no singular totalized phenomenon we can name *the* racial state; more precisely, there are racial states and racist states. Yet it is possible at the same time to insist that there are generalizable conditions in virtue of which the modern state is to be conceived as racial, and as racially exclusionary or racist. It is to these questions that I turn in this book.

The Race from State Theory

The history of the modern state and racial definition, as I have hinted, are intimately related. So it is surprising perhaps that the theoretical literature on state formation is virtually silent about the racial dimensions of the modern state. And the theoretical literature on race and racism, given the culturalist turn of the past two decades, until very recently has largely avoided in any comprehensive fashion the implication of the state in racial formation and racist exclusion.

This is not to say that there haven't been micro-studies focused more empirically on the racial experiences of particular states such as South Africa (Greenberg 1987; Wolpe 1988; Magubane 1990, 1996; Posel 1991); or on state implication in policies regarding race, for

instance, in the United States or in Britain or in South Africa (A. Marx 1998); or considerable work on the use of state apparatuses like law to advance racially configured projects (e.g., critical race theory, critical feminist theory, LatCrit theory). In contrast to the strong body of recent feminist theorizing about the state (Ferguson 1984; Pateman 1988; MacKinnon 1989; Brown 1995), those thinking about the state in racial terms have tended to delimit their conceptions to the obvious, extreme, and so seemingly exceptional cases like Nazi Germany or South Africa or the segregationist South in the US (cf. Burleigh and Wipperfmann 1991; Solomos and Back 1996: 49–52). Eric Voegelin's provocatively prescient intervention, *Race and State*, first published in 1933 and recently released in translation, offers the hints of an analytic vocabulary. Yet he reduces the relational scope between race and the state – between “the race idea,” “race theory,” and the state – not unsurprisingly, to the case of Nazi Germany and the Third Reich (Voegelin 1933/1997; Voegelin 1933/1998).

There has been little recent theoretical work nevertheless – especially since Stuart Hall's timely intervention in the late 1970s (Hall 1978, 1980) or Arendt's and Cassirer's insightful interventions in the immediate aftermath of World War II (Arendt 1951; Cassirer 1946) – focused explicitly on how the modern state came to be racially conceived, on the historical co-definition of race and the state in their modern manifestations, and on state articulation of racially configured and racist commitments (cf. Joseph and Nugent 1994). It is all the more remarkable then that Stuart Hall, of all analysts, writes a genealogy of the modern state around this time that makes no mention whatsoever of the role of race in its conception or institutional emergence (Hall 1984).

One notable exception to the prevailing oversight may be Omi and Winant's book on racial formation in the United States which includes a chapter explicitly entitled “The Racial State” (Omi and Winant 1986: 70–86, revised in 1995). In light of the wide citation of that book in both its editions it is notable therefore that there is virtually no reference to their chapter on the state.² Omi and Winant at least raise the question sociologically and outline a theory regarding the racial forming of states. Their chapter is helpful in posing the problem, in drawing attention to the central implication of the state in racial definition and management, and in *outlining* a theory about how the state assumes racially conceived and racially expressive

projects. The structure of their proposed theory nevertheless presumes a conceptual discreteness about the state and race that I am concerned here to challenge.

In *The Racial State* I seek to comprehend the co-articulation of race and the modern state. I argue that race is integral to the emergence, development, and transformations (conceptually, philosophically, materially) of the modern nation-state. Race marks and orders the modern nation-state, and so state projects, more or less from its point of conceptual and institutional emergence. The apparatuses and technologies employed by modern states have served variously to fashion, modify, and reify the terms of racial expression, as well as racist exclusions and subjugation.

Thus racial definition is entwined with modern state elaboration from what Dussel calls the “first modernity” in the orbit of Spanish expansion on. Racial definition of modern states is elaborated with the “voyages of discovery” (the very concept bears racial significance) and the debate in the 1550s between Las Casas and Sepulveda over Indian enslavement, through the second “planetary modernity” (Dussel 1998: 11ff.) from the seventeenth century and Enlightenment debates over the constitutions of colonial and liberal states, “national character” and citizenship criteria, to the post-apartheid moment. It accordingly marks contemporary population shifts via extensive migration, policy debates, and legal decisions revolving around colorblindness, the emergence of “fortress Europe” and the American “prison industrial complex.” Indeed, racial configuration fashions the terms of the founding myth, the fabrication of historical memory, necessary (as Charles Tilly insists) to both the discursive production and ideological rationalization of modern state power (Tilly 1994). But it is also the case, especially since the racial project and racist exclusions became obvious in the eighteenth century, that the figure of the racial state – and of particular racist states – was fashioned in part by the resistant response of those it most directly and viscerally affected, namely, the racially characterized, marginalized, exploited, and excluded.

In *Racist Culture* (Goldberg 1993), I argued that starting in the sixteenth century racial thinking and racist articulation became increasingly normalized and naturalized throughout modern European societies and their spheres of influence. Race was rendered integral to the emergence, proliferations, and reproduction of world systems. The increasingly sophisticated elaboration of liberalism from the late

seventeenth century played a central role in this process of normalizing and naturalizing racial dynamics and racist exclusions. As modernity’s definitive doctrine of self and society, of morality and politics, liberalism has served to make possible discursively, to legitimate ideologically, and to rationalize politico-economically prevailing sets of racially ordered conditions and racist exclusions. Classical liberalism (which includes in its range much of the commitments of contemporary conservatism in the form of neoliberalism) thus was a key element historically in promoting racial reasoning and its racist implications as central to modernity’s common moral, sociopolitical, and jurisprudential sense. And it is not farfetched to suggest that racially conceived compromises regarding racist exclusions – ranging from constitutional endorsements of slavery to formalized segregation, colonial rule and its aftermath, affirmative action, immigration and crime policy – have been instrumental in sustaining a consensual dominance of liberalism in modern state formation over the past century and a half.

I am concerned in this book, relatedly, with the connections between race and homogeneity, the state and racial exclusion, with how they manifest conceptually, theoretically, and materially. I am interested then in mapping the ways in which such racially conceived and configured homogeneity came to be promoted, how racial definition prompted and reinforced such homogeneity, and how the commitment to homogeneity shaped race, as a modern project of state conception and practice. And I will be concerned in turn to exemplify the manifestations and effects of racial homogeneity and racist exclusions, the reach and range of resistances and state responses to them, as well as their instrumentalities, influences, and implications.

In short, this book is about racial states, as a set of projects and practices, social conditions and institutions, states of being and affairs, rules and principles, statements and imperatives. Inevitably, then, it is about the racist expression of states, state-directed racial exclusions, and so about *racist* states. But it is also about the ways in which particular racist states recently have sought to distribute the means and modes of their expression behind the facade of racial dispersal. Racist states have undertaken to deflect resistance by indirection. Contemporary states have sought thus to dissipate the normative power of critique in two related ways. On one hand, they have rerouted rightful anger at the homogenizing exclusions of racist states into the

circuitous ambiguities and ambivalences of “mere” racially characterized, if not outrightly colorblind, conditions; and on the other hand, they have pursued superficial appropriation through uncritical celebration of the multicultural. *The Racial State*, then, is about the tension between racial conditions and their denial, racist states and their resistance, and about the ways homogeneity has been taken axiologically to trump the perceived threat of heterogeneous states of being.

In general, modern states are intimately involved in the reproduction of national identity, the national population, labor and security in and through the articulation of race, gender, and class. The view of the state I am suggesting here, and relatedly of the complex, nuanced, and subtle entanglement (Tilly 1994) of identity processes, cultural and commodity flows, and state institutions, apparatuses, and functions, is clearly more complex than dominant critical accounts of the state. The latter have tended to reduce the state and its apparatuses in one of two prevailing ways. The state is conceived on one set of views as a purely autonomous political realm. Here it is taken as analytically distinguishable from civil society or the public sphere, as well as from the economic processes of the society. On another set of views, the state is considered an epiphenomenon, a reflection and so effect of deeper underlying determinations (like the mode of production, class relations, or the economy).

Catharine MacKinnon (1989) rightly dismisses this epiphenomenalism of the state and of liberal theory’s view that the law is society’s text, its rational mind. The law and the state are not simply rationalizations of dominant social relations. MacKinnon argues that this epiphenomenalism hides the state’s gendered/sexual definition from view. But in critiquing these forms of Marxist and liberal epiphenomenalisms of the state, MacKinnon explicitly reinstates an epiphenomenalism of her own, by making the state reflective of – reducible to – sex/gender interests. The state in her view simply rationalizes male power (MacKinnon 1989: esp. 161). This again views the state and law as nothing else than instrumental to interests set elsewhere, a set of institutions and texts whose nature is imposed upon it from outside itself, from a defining condition external, prior in ontological logic, to the state. Thus MacKinnon, like almost all Marxist and liberal theorists, fails really to theorize the nature and definition of state constitution in itself. She continues to share with

these views the image of the state as an unmarked medium, a set of institutions themselves abstractly neutral, autonomously fashioned, that get taken over, invaded and invested with content or interests by groups vying for and expressing power. Autonomy theory and epiphenomenalism collapse, necessarily seeking each other out. Like others, MacKinnon imputes specificity to a state whose constitution is taken to be autonomously defined only by indirection, only by theorizing what it is the state reflects, what it is supposedly an epiphenomenon of.

State Projects and State Powers

I offer here the outlines of a contrasting working account of the state. I will be concerned in the pages that follow to render this account more complex and nuanced both in its historical emergence and its conceptual expression. The state, as I suggest above, is conceived usually either as instrumental to interests set outside itself (economically, popularly, legally) or as representing its own (inherent) interests as a uniform coherent entity. The line of argument I adopt here suggests by comparison that the state is inherently contradictory and internally fractured, consisting not only of agencies and bureaucracies, legislatures and courts, but also of norms and principles, individuals and institutions. This picture is rendered more complicated by virtue of the fact that it must include also those private or semi-private institutions and social agencies contracted by the state that mediate as they represent and reproduce state commitments or interests.

In short, there is no singular modern state, and no singular racial state. Modern states and racial states are deeply intertwined, the conditions of the latter bound up with possibilities of the former, the histories of the former at once accountable in terms of the projected spatialities and temporalities of the latter. Modern states are racial in their modernity, and modern in their racial quality, their raciality. And in that sense any modern racial state is at once a gendered state, and vice versa, its racial and gendered conditions expressed in and through the terms of each other. The modern state is racially conceived and expressed through its gendered configurations, and it assumes gendered definition and specificity through its racial fashioning.

Representatives of the state – state workers and agents – in a loose sense form a class, one itself internally diverse, fractured, its members' interests oftentimes inconsistent, but in modern terms invariably racially patterned. Struggles over state formation and control are shaped in part by the powers and positionings of such a "bureaucratic class," and so too by the racial interests they represent explicitly or implicitly. Sometimes such class members are in contest, often in collusion with other contestants for state power, and occasionally they stand aside, seemingly neutral though more than likely biding their time to determine the victor with whom they will collaborate, serve, or compete. The modern state obviously occupies (or more temporally cast, has occupied) a more or less discrete space. Only a little less obviously, it fashions differentiated internal spaces, ones conceived deeply in relatedly racial and gendered terms. These differentiated spaces are made possible most clearly through policies and laws (for example, the law of trespass, whether or not racial covenants or redlining are tolerated through mortgage and tax policies, but also through welfare policies). They are a product relatedly of the significance the state licenses to such spaces by way of its policies and stances, its bureaucracies and representatives. These various features of the state, fractured and at odds with each other though they often may be, are held together loosely by a logic of the state at odds with itself (if indeed there is a coherent whole it can be at odds with) (cf. Brown 1995: 166–96). This internal fracturing of the state is a product in part of the tension between the state's instrumentality, its serving interests defined external to itself, and the inherent logic of state formation, bureaucracy, and exercise.

It becomes possible in light of this picture to define the state as a more or less coherent and discrete entity in two related ways: as state *projects* underpinned and rationalized by a self-represented history as state memory; and as state *power(s)*. Indeed, one might render this picture more internally coherent by suggesting that the state's capacity to define and carry out projects as well as its capacity to authorize official narrations of historical memory rests on the state's prior claim to power: the power to define the terms of its representations (obviously including legal terms), and to exercise itself and those over whom authority is claimed in light of those terms.

By the "power theory of the state" I do not mean principally the power of the state, as though the state invokes power (which of

course it has). In that interpretation the power is conceived as separate from – established or existing independent of – the state. Rather, I want to insist that the state acquires its specificity as a state by virtue of being constituted in and through powers (a range of powers) which the state at once embodies. Power is to the state and the state to power as blood is to the human body. (I intend this metaphor fraught with all the nuances and implications imaginable: the discursive relations between race and blood, kinship and genealogy, historically conceived – as in blood lines; the relation of blood and body to dis-ease but also to life lines; the typing of blood; transfusions and infusions; the ritualized practices around blood; on the other side, the corporeal embodiment of a polity that modern political theory conceived; and so on.) I am conceiving the state thus as a state of power, a more or less specific codification and definition of power(s), its (or their) institutional specification. The state thus conceived is a state of power the existence and elaboration of which is a necessary condition, one might say, of the possibility of invoking the power(s) of the state.

It is in virtue of this specification, the codification of the state, that the state acquires its instrumental powers. The state qua state has the capacity to exclude (to which the law is instrumental), and it has this capacity to exclude whether within or from the state: what would a state be that were not so enabled? The state has the power by definition to assert itself or to control those (things) within the state, in short, the power to exclude from state protection. In these senses, the modern state has readily lent itself conceptually to, as it has readily been defined by, racial (and gendered) formation. For central to the sorts of racial constitution that have centrally defined modernity is the power to exclude and by extension include in racially ordered terms, to dominate through the power to categorize differentially and hierarchically, to set aside by setting apart. And, of course, these are all processes aided integrally by the capacity – the power – of the law and policy-making, by bureaucratic apparatuses and governmental technologies like census categories, by invented histories and traditions, ceremonies and cultural imaginings.

The modern state, it might be said, founds itself not just on exclusions, those absences that render invisible, but on the internalization of exclusions. Thus inclusions, those privileged by and in the modern state, assume their privileges in virtue of the exclusions the state at once renders possible conceptually and technologically. Exclusions

accordingly become internal to the possibility of inclusions, the latter predicated upon the realization of the former. State apparatuses sew the variety of modern social exclusions into the seams of the social fabric, normalizing them through their naturalization. So social exclusions in terms of race (complexly knotted with class and gender, not to wax too mantric about the principal forms of the modern modes) become the mark of social belonging, the measure of standing in the nation-state, the badge of social subjection and citizenship.

This power of delimitation through exclusion, and of empowerment through inclusion, interactively definitive of the modern state and its degree of self-determination, offers the artifice of internal homogeneity to a state's population. Here race and nation are defined in terms of each other in the interests of producing the picture of a coherent populace in the face of potentially divisive heterogeneity. Heterogeneity is definitively placed outside the state, excludable in virtue of being the antithesis of homogeneity, of state belonging. At the same time this localism makes possible in racial terms the pretense of a transnational global community (Balibar 1990). European heritage, as racially defined, becomes the modern passport to global access, commercially and recreationally, residentially and geopolitically. The apparent rootedness of modern colonial settlement, ordered and seemingly structured, gives way to the circuits of late modern flows, disorderly and seemingly anarchic. In either case, I will argue, their possibilities are realizable only in virtue of contrasting configurations of racially conceived states at their "center."

In light of this trajectory of analysis, is there the possibility of a post-racial state, and post-racial theorizing? After racial theory, as after theory generally, there is still always theorizing. Theoretical assumptions are depthless and ceaseless, as integral to the processes of thinking and conceptualizing as the terms and concepts through which thinking itself proceeds. And *going* after racial theory, taking it on as a critical project, is as necessary to resistant struggles against racism as more recognizable material forms. The one entails the other necessarily. The paradox is that a critical racial theorizing is framed, at the surface of its expressibility, by the possibility of it thinking its object, by the very terms it takes as its critical object. It is this conceptual knot I am concerned in this book to tug – not, hopefully, to tighten the strands of a self-absorbed and delimiting theoretical practice but by stripping away the threads to uncover the deep and changing ways

modern lives have been racially shaped and ordered at state behest. The questions posed at the outset are those that will continue to haunt us at the close of the book, their underlying assumptions and implications more clearly comprehended hopefully, their contingent necessity admitted, the necessary contingencies of their material conditions challenged. Whether like Wittgenstein's philosophical questions they evaporate in the wake of the analysis remains to be seen less as a function of the analysis as of the materialization of the conditions to which the analysis can only point. But in the end that perhaps is all analysis alone can hope to achieve.

Outline

In chapter 1 I suggest that the deeply racial character of the modern state from the moment of its emergence is a response to a dilemma that is as much the mark as the product of the modern moment. At precisely the time rapidly emergent and expanding social mobilities produced increasingly heterogeneous societies globally, social order more locally was challenged to maintain homogeneity increasing and assertively. The racial state, I argue, is key to understanding the "resolution" to this modern dilemma. In a sense, the "motility of race" (Stoler 1997) served as a perfect reflection and mold of dramatic demographic mobility, the former the foil of and for the latter.

The following two chapters unfold how, in accounting for the modern state, prevailing political theory in the European mold is at once racially predicated. I am concerned here with how different assumptions about modern state formation articulate different forms of racial statehood, and how different empirical foci of state theorists prompt differing traditions of racial conception in state theory. In particular, chapter 2 distinguishes between two traditions of theorizing the racial state. One tradition, which I call "naturalist," runs from Hobbes and Pufendorf through Rousseau and Kant to Hegel; the other, a revisionary tradition, runs from Locke to Comte, Marx, and Lord Acton. I call this "historicist" or "evolutionary." Chapter 3 exemplifies the distinction between these traditions in the revealing exchange between Thomas Carlyle and John Stuart Mill on "the Negro problem."

In chapters 4 and 5 I turn to a more direct and sustained theoretical elaboration of concepts and distinctions invoked in the first three

chapters. Here I discuss different forms of racial rule, most notably under the colonial condition, distinguishing between governmentalities and subjectivities predicated upon assumptions of inherent superiority and inferiority, on one hand, and claims of historical immaturity and un(der)development, on the other. Chapter 6 examines the centrality of law to the shift from earlier dominance of naturalist forms of racial rule to the later command of historicist forms, and the force of law conceptually and instrumentally in shaping modern racial states generally. In chapter 7, I identify the modern state as one conceived in terms of the crucible of whiteness and its critical resistance. It is here that I enter accordingly into critical reflection on the notion of power that such states embody. Within this context I elaborate a theory of the racial state in terms of its representing racially conceived sets of powers. These four chapters thus examine the various technologies and cultural expressions of racial rule, the key administrative technologies of racial configuration in public policy, most notably those concerned with census taking, affirmative action, immigration, and crime. In chapter 8 I argue that a rhetorics of racelessness increasingly has come to mark the past half-century or more. As a central component of the neoliberal conceptual representation of globalization, racelessness serves to extend the routinization of racial states of being as a sort of civic religion behind the facade of privatized preferences.

The book closes by drawing together the principal themes of the analysis in terms of a critical discussion of race and democracy, and the possibilities for reconsidering racial definition and reconceiving citizenship and social life outside the frame of racist exclusions.

NOTES

- 1 "Racialization" is now liberally used in formal analysis and informal conversation, usually with no attempt to distinguish between its ambiguous meanings. Thus it might characterize in some contexts simply the attribution of racial meanings or values to social conditions or arrangements, or the distinction between social groups in racial terms. In other contexts it is used to impute exclusionary or derogatory implications to social conditions thus characterized. Almost no one now uses it in the manner first used by Fanon, who contrasted "to racialize" with "to humanize" (Fanon 1968: 86).

- 2 Etienne Balibar, most notably in his focus on issues of nationalism and nation formation, offers useful distinctions concerning race and the state, but he too provides no sustained analysis of the racial forming of the modern state (Balibar 1991c; Balibar and Wallerstein 1991). There have appeared recently a couple of books on the state, race, and culture (Bennett 1998; Lloyd and Thomas 1998). Helpful on the intersection of these phenomena, it is notable that their focus is culturally fashioned and driven. Thus while they theorize aspects of racially conceived states, they fail to address comprehensive accounts of the founding, framing, and forming of modern state making per se.

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