

BIBLIOGRAPHY

DISSERTATION ABSTRACTS*

Allard, Francis Yvon. Ph.D., University of Pittsburgh, 1995.
Interregional Interaction and the Emergence of Complex Societies in Lingnan During the Late Neolithic and Bronze Age. UnM: AAI9601225.

This study focuses on the emergence of complex societies in Lingnan (which includes the provinces of Guangdong and Guangxi in southeast China) during the late Neolithic and Bronze Age (3000–200 B.C.) and the role which interaction with northern areas may have played in this process. Five instances of sociopolitically complex societies are recognized in Lingnan: northern Guangdong (Shixia Culture) and western Guangdong during Period I (3000–1400 B.C.); southern Guangxi and eastern Guangdong (Fubin Culture) during Period II (1400–600 B.C.); and much of Lingnan during period III (600–220 B.C.). The aims of the study are threefold: (1) to characterize more precisely than before the nature of interaction with northern regions; (2) to determine how the “elements” of interaction played a role locally in the process of hierarchization; and (3) to detect how different types interaction may be associated with differences in different types of trajectories, paying special attention to the stability of social systems. Spatial, chronological and artifactual data is used to show that interaction with northern areas played a role in most instances of complex developments in Lingnan at this time, although existing local populations “recruited” these elements of interaction rather than reacted passively to northern impact. In most instances, interaction is indicated by the presence of few northern artifacts (obtained through a “down-the-line” exchange system) and local copies of such goods. By Period III, more directed relations link Lingnan with the Chu state to the north. It is suggested that in most instances, copies of northern goods are used in display and competition for power by would-be leaders. When northern stylistic innovations become unavailable to societies in Lingnan as a result of political/cultural change in central China, these societies are seen to experience a decrease in social complexity. It is suggested that continued and gradual development in the scale and hierarchical complexity of social systems is associated with a leadership in control of subsistence activities rather than one which relies on display and mystification for the support of the population. In

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the latter case, the system remains at the mercy of perturbations in the source of artifacts and ideas.

Bensky, Daniel. M.A., University of Washington, 1996.

Dialogues on the Processes of Life: Selected Translations from the Huangdi neijing.

The *Huangdi neijing* (*Yellow Emperor's Inner Classic*) is the earliest known text in the received tradition of medicine in China and the most influential. The introductory sections provide some background to this text, an overview of its textual history, and the methodology of this translation. The core of the thesis is made up of annotated translations of four chapters from the book. These chapters were all chosen because they contain some information on the concept of "purpose, will, or ambition" (*zhi*), as well as being representative of the different types of material in this text. The discussion focuses on the following issues: textual comparisons between the various redactions of the *Huangdi neijing*; medical questions such as the causes of disease, body-mind relations, and how to approach difficult terminology; and the concepts of consciousness in early China.

Chen, Ning. Ph.D., University of Pittsburgh, 1994.

Concepts of Fate in Ancient China. UnM: AAG9431509.

The purpose of this study is to shed light on the complexity of various concepts of fate held by the educated elite in ancient China. Since the Chinese spoke of fortune and misfortune in either mutable or immutable terms, this study divides their concepts of fate into five categories: amoral transcendental-immanent, moral transcendental-immanent, amoral transcendental, moral immanent, and amoral immanent. Not excluding other factors, this essay places special emphasis on ideological factors responsible for the formation of these concepts and discusses the issue chronologically. Arguing against the view that the concept of blind fate (the amoral transcendental) already existed in Shang times or earlier, this study, based on the features of the Shang faith system (the amoral transcendental-immanent) and on the anthropological theories of religion, maintains that the Shang system could not generate that concept that was formulated in the late Western Chou to solve the problem of theodicy created by the Chou notion of the Mandate of Heaven (the moral transcendental-immanent). It is also stated that the moral immanent and the amoral immanent came into existence in the Eastern Chou as the result of ideological conflicts. By focusing on the concepts of fate, this study opens a new aspect of what major schools of thought agreed and disagreed about. The following are some major findings. The concepts of fate held by major schools of thought

were related to their views of the problem of theodicy. In Confucianism and Legalism the discrepancy in explaining man's fate appeared on different levels rather than on different occasions. In Taoism and early Confucianism, there was a strong emphasis on the unpredictability of man's fate which squared with their indifference towards the practice of divination and the *Book of Changes* which became a Confucian classic in later times.

Chung, Yiu-Kwong. Ph.D., City University of New York, 1995.

I Ching Compositional System: The Symbolism, Structures, and Orderly Sequence of the Sixty-Four Hexagrams as Compositional Determinants. UnM: AAI9525241.

I Ching has exerted a living influence in China for over three thousand years, and interest in this enigmatic archaic text has been spreading in the West. As one of the five Confucian Classics, *I Ching* has gradually come to be known not as a book of divination but as a book of philosophy that reveals the formation of the universe and basic laws of nature. In the twentieth century, composers such as John Cage, Isang Yun, Wen-chung Chou, and Xiaosheng Zhou have shown a growing appreciation for the *I Ching* and have composed numerous works based on their understanding of it. This development has captured the interest of this author and inspired him to formulate a compositional system based upon the structures, orderly sequence, and symbolism of the sixty-four hexagrams. The objectives of this study are threefold: (1) to present a basic introduction to the *I Ching*, explaining its origin, authorship, structure, and the basic concept of I; (2) to present this author's compositional system—called the "I Ching Compositional System" (ICCS)—and its use of the structures, orderly sequence, and symbolism of the hexagrams; (3) to illustrate this system by analyzing the author's orchestral piece *Under the Red Eaves*. This author's compositional system is essentially the study of a flexible compositional process and creative musical construction rather than a mechanical and rigid system. In the ICCS, the composer first determines the background structure and then constructs middleground layers and foreground fabric. The foreground fabric is in fact the composer's musical interpretation of the interaction of two primal musical ideas representing *yin* and *yang* elements. The procedure of the *yin-yang* interaction throughout the composition is guided by the composer's interpretation of the Judgments, Commentaries, and Orderly Sequence of the hexagrams. In sum, composition by the ICCS is the universe in miniature: music is the microcosm, Nature the macrocosm.

Cook, Scott Bradley. Ph.D., University of Michigan, 1995.

Unity and Diversity in the Musical Thought of Warring States China. UnM: AAI9610102.

This study is about the musical thought of one of the most diverse and turbulent ages in Chinese history: the Warring States (Zhanguo, 475–221 B.C.) period of the Eastern Zhou dynasty. It is concerned with musical thought in two senses of the word: what the ancients thought about music—the role it played in shaping the self, society, and the natural world; and what was musical within the world of early Chinese thought itself—how beneath the constantly changing viewpoints and ceaseless argumentation among the different thinkers and schools lay an underlying continuity of concerns and an unrelenting drive toward a greater unity of philosophical outlook, like so many variations built around a single melodic theme. Music was of vital concern to the early Chinese thinkers. Musical offerings played an important role in sacrifices to the ancestors. Musical ensembles formed an integral part of the hierarchical ritual system through which order was maintained in the feudal structure. Music constituted an important tool of the ruling class for instilling the masses with a sense of social harmony and enhancing the force of the ruler's appeal. Properly keyed music was even understood to have the power to influence the course of the natural world. And the structure of music itself informed the structure of rhetoric in subtle ways. Music thus readily became both a central topic of debate and a metaphorical agent of discussion for the various philosophers who would shape the discourse of the Warring States. Taking the theme of music as a focal point, the purpose of this dissertation is to explore the interaction among the various philosophers of the period—to trace the course of inspiration, development, adaptation, attack, and synthesis through the entire procession of late-Chun Qiu (Springs and Autumns, 770–476 B.C.) to late-Warring States thought. Works examined include: the *Zuozhuan* (*Tso-chuan*), the *Guoyu* (*Kuo-yu*), the *Lunyu* of Confucius, the *Mozi* (*Mo-tzu*), Lao Zi's (*Lao-tzu's*) *Dao De jing* (*Tao-te-ching*), the *Mencius*, the *Zhuangzi* (*Chuang-tzu*), the *Xunzi* (*Hsün-tzu*), and Lü Buwei's (*Lü Pu-wei's*) *Lüshi chunqiu* (*Lü-shih ch'un-ch'iu*).

Csikszentmihalyi, Mark. Ph.D., Stanford University, 1994.

Emulating the Yellow Emperor: The Theory and Practice of HuangLao, 180–141 B.C.E. UnM: AAG9508345.

This dissertation examines HuangLao, a Chinese tradition which revolved around the writings and legends associated with two figures, the Yellow Emperor (Huangdi) and Laozi. The four centuries of the Han Dynasty

saw HuangLao evolve from a regional tradition based in the state of Qi into a wide-ranging and influential set of texts and practices which was drawn on by writers of apocryphal texts, experts in longevity techniques, and mass religious movements. The apex of HuangLao was the reigns of Emperors Wen and Jing of the Han (180–141 B.C.E.), a period during which most of the defining personalities of HuangLao flourished. By first examining the traditions surrounding the figures of the Yellow Emperor and Laozi, and then the texts associated with these figures, the history of HuangLao during its most influential period is outlined. The tradition of the Yellow Emperor appears to be an amalgam of two separate regional traditions, a western member of a set of “Five Emperors” and an eastern supreme “august emperor.” Associated with the figure of the Yellow Emperor during the Han were narratives of military conquest, creation of cultural institutions, and supernatural ascension. The tradition of Laozi appears to have derived more directly from a text by that name. The reception of both traditions during the Western Han emphasized these figures’ use of sets of specialized techniques to attain their goals. In a way similar to HuangLao traditions, HuangLao texts functioned to legitimate and promote a set of techniques based on the correlation between natural patterns (in Heaven and on Earth) and human affairs. Representative Yellow Emperor texts are examined, including examples in the areas of military science, astronomy, physiognomy, dream interpretation, medicine, and the Sixteen Classics (*Shiliujing*) discovered at Mawangdui in 1973. These texts are shown to generally employ similar sets of correlations to explain the efficacy of their techniques. As such, HuangLao should not be defined as a school of thought, but rather as a tradition that developed in conjunction with a set of technical disciplines which gained currency during the second and third centuries B.C.E.

Dematte, Paola. Ph.D., University of California, Los Angeles, 1996.
The Origins of Chinese Writing: Archaeological and Textual Analysis of the Pre-Dynastic Evidence (Longshan). UnM: AAI9614472.

The present dissertation is a comparative study in the field of Chinese palaeography, art history, ancient history and archaeology. Its aim is that of decoding and pinpointing in time the origins of the Chinese writing system, demonstrating that contrary to what some scholars still seem to believe, writing started in China very early, possibly just as early as in the Middle East. The dissertation is divided into two main parts. The first (Chapter I) is a theoretical discussion about writing which shows that rather than being simply a method of recording spoken language, writ-

ing grew out of a human need visually to record events and things, as a mnemonic device and an externalization of memory. The second deals primarily with the historical origin of Chinese writing and of Chinese civilization as whole during the Longshan era. Specifically, Chapter II discusses historical sources and legends concerning the pre-Xia period, Chapter III presents the archaeological evidence of the Late Neolithic and Chalcolithic periods, and Chapter IV examines the pre-Shang signs, graphs and glyphs excavated in archaeological context.

Gosse, Jennifer Christine. M.A., Memorial University of Newfoundland (Canada), 1995.

Classical Confucian Ideas of Music. UnM: AAIMM01858.

In this paper, I examine the importance of music in Classical Confucian thought. The study of Confucian musical philosophy has often been either ignored or trivialized in favour of the ethical or political philosophy of the Confucians. I argue that, rather than being in a secondary category and separate from the Confucians' political philosophy, music and its partner ritual were actually at the core of their political system. I begin with a look at the pre-Confucian uses of music in ancient China. In the second chapter, I examine the classical Confucian philosophical claims about music, especially their belief that, in their proper balance, music and ritual would work together to maintain order between the world of nature and human society. In the third chapter, I discuss what the Daoists and Moists thought about the Confucian philosophy of music. In the final chapter, I discuss the theories of Herbert Fingarette and Robert Eno, and deal with the recent emphasis upon *li* as the central point of Confucian philosophy. (Abstract shortened by UnM.)

Hess, Laura Elizabeth. Ph.D., University of Washington, 1994.

The Reimportation From Japan To China of the Kong Commentary to the Classic of Filial Piety. UnM: AAG9504631.

The mid-eighteenth century reimportation of the Kong commentary to the Ancient Script version of the *Classic of Filial Piety* is an important part of a greater eighteenth- and nineteenth-century trend reversing the flow of cultural influences from China to Japan, a trend that had until that time been largely one way. Although the recovery of the Kong commentary is occasionally referred to in sinological literature, little research has been done in any depth on this topic. This dissertation provides a detailed study of the circumstances surrounding the reimportation of the Kong commentary from Japan to China. Chapter I describes the textual

history of the Kong commentary in China, its transmission to Japan and its preservation there. Chapter II explores the Tokugawa intellectual milieu and the factors that influenced Dazai Shundai (1680–1747) and prompted him to publish the Kong commentary and have it sent to China. Chapter III probes Qing responses to the reimportation from Japan of a text that had been lost in China for approximately eight hundred years. Chapter IV documents the various repercussions that the transmission of Shundai's work to China and its publication there had in Japan. Chapter V shows how the recovery of the Kong commentary from Japan led to the reimportation from Japan to China of another text that had been lost in China, namely the Zheng commentary to the *Classic of Filial Piety*, and examines the Qing responses to this event.

Hinsch, Bret Hunt. Ph.D., Harvard University, 1994.
Women in Early Imperial China. UnM: AAG9421992.

The Qin and Han dynasties were an important time of transition from fragmented institutions to a unified empire. Among these many changes were shifting concepts of woman's ideal roles, capabilities, and even basic essence. Many of the perceptions of female nature formulated or popularized during the early Chinese empire endured with the imperial system down to its demise in the twentieth century. The study of woman in early China has previously centered on two main approaches. Many scholars in Asia have interpreted women's early history according to the Marxist theory of ancient matriarchy. Yet scholarship since Engels has convinced most Western scholars to reject this theory, and it is being increasingly questioned in Asia as well. A second method focuses on ascertaining woman's "position" in society. Yet any unitary appraisal of woman's social position ignores the enormous complexity and diversity of the early empire, as well as the multiplicity of female roles. This study focuses on the construction of the category "woman" in early imperial China. Various conceptions of woman are examined according to the areas of female experience most easily reconstructed from surviving information. This investigation progresses through some important zones of female experience, from the concrete to the abstract: body, kinship, wealth and work, law, government, learning, ritual, religion, and cosmology. There was no widespread consensus on many of the basic questions regarding woman's essence, capabilities, and permissible social roles. The resulting debate is examined according to five major points of contention: seeing woman as distinct/inferior, personified/reified, fertile/polluted, regulated/controlled, and cultivable/uncontrollable.

Ikezawa, Masaru. Ph.D., The University of British Columbia (Canada), 1994.

The Philosophy of Filiality in Ancient China: Ideological Development of Ancestor Worship in the Zhanguo Period. UnM: AAGNN89411.

Filiality (*xiao*) has been a significant concept in Chinese culture. Its significance is shown by the fact that its idea was elevated to a system of philosophy by Confucians in the Zhanguo period (475–221 B.C.E.). The purpose of this study is to clarify why filiality was important and what the philosophy of filiality essentially meant. Filiality was not merely a familial ethic. In the Western Zhou period (the 11th c. to 770 B.C.E.), it meant sacrifices to ancestors. Filiality toward fatherhood was essentially obedience to headship of lineage groups, and it was expressed in ancestor worship. When lineage gradually collapsed in the Chunqiu period (770–475 B.C.E.), its significance must have been restricted. In fact, however, filiality was given a new meaning by Zhanguo Confucians. First, Confucius emphasized the mental aspect of filiality, and then Mencius thought of filiality as the basis from which general ethics were generated. The various ideas of filiality were collected in a book: the *Book of Filiality*. This book, presenting the dichotomy between love and reverence, argued that a father-son relationship had an element shared by a monarch-retainer relationship and that filiality should be shifted into loyalty. The essential achievement of this philosophy was the recognition of the dualistic nature of human beings; any human relationship was a social relation between two social roles as well as an emotional connection between two characters. The former was the basis for culture and society. It was the aspect of the culture inherent in human nature that should be developed to bring about social justice. This dualism was derived from the ambiguity of fatherhood in ancestor worship. As ancestor symbolized the social role of lineage headship, the philosophy of filiality symbolically connected fatherhood to the social role of authority in general. Filiality was identified with devotion to the absolute basis for humans and society that was to the absolute basis for humans and society that was symbolized by fatherhood. This thesis, analyzing ancient Chinese philosophy of filiality, presents a hypothesis concerning the essential structure of ancestor worship, which can be summarized as the symbolism representing higher levels of authority on the basis of parental authority.

Jing, Zhichun. Ph.D., University of Minnesota, 1994.

Geoarcheologic Reconstruction of the Bronze Age Landscape of the Shangqiu Area, China. UnM: AAG9433059.

The Shangqiu area, part of the alluvial floodplain of the lower Yellow River, is traditionally considered the center of the predynastic and early

Shang cultures. This dissertation research is designed primarily (1) to study the Holocene floodplain stratigraphy in the Shangqiu area, (2) to reconstruct the history of landscape evolution in archaeological context, and (3) to examine the potential influence of dynamic geomorphic systems on the development, preservation, and visibility of Bronze Age archaeological records. The principles of floodplain sedimentology and soil geomorphology are considered the methodologic basis of this study with emphasis on archaeological application. The facies analysis of sediments and soils is chosen as the fundamental analytic and interpretive means in the interpretation of lithostratigraphic and pedostratigraphic units. Six major lithostratigraphic units and their corresponding pedostratigraphic units of the Holocene are defined in this study. Correlating with these stratigraphic units are four anthropogenic units defined to evaluate and interpret the formation of the anthropogenic sediments. On the basis of the study of Holocene stratigraphic sequence and site sedimentary matrix, a landscape evolution model is constructed to furnish the stratigraphic and geomorphic contexts for the evaluation, interpretation, and prediction of potential Bronze Age sites in the area. Three stages of landscape development are identified to have existed in the Holocene. The prolonged landscape stability from about 6000 or 7000 B.P. to 2000 B.P. might have provided potential Bronze Age human occupation with a favorable physical environment. This study provides new insights into the spatial and temporal patterns of Bronze Age sites that may have existed in the area.

Lai, Chi Tim. Ph.D., University of Chicago, 1995.

The Taoist Vision of Physical Immortality: A Study of Ko Hung's Pao-P'u Tzu.
UnM: AAI9610005.

This dissertation studies the relationship of two central Taoist discourses appropriated by Ko Hung (282–343) in his writings of *Pao-p'u tzu*. Namely, it concerns the Taoist doctrine of “long life and deathlessness” and the practice of alchemy. Through a close reading of the *Nei-p'ien* (Inner Chapters) and the *Wai-p'ien* (Outer Chapters) of the *Pao-p'u tzu*, this study attempts to work out how these two Taoist discourses were situated within Ko Hung's biography and his social milieu, and how they were recreated and reinterpreted by him. Moreover, Ko Hung's religious discourse in configuring an immortal world as well as his alchemical practice will be studied as “historical” documents and be interpreted as discourse that concealed his existential concern for constructing an alternate ideal self-identity in contrast to the traditional Confucian model in his time. Methodologically, this study aims at a disclosure of the dynamics of the Taoist vision of the human body that concerns one's physical immortality within

the purview of its particular historical and social milieu. It concentrates on the questions of why and how Ko Hung strives to forge for himself an ideal self-identity by employing the Taoist image of the *hsien*-immortal with the assistance of the practice of alchemy.

Lu, Zongli. Ph.D., University of Wisconsin - Madison, 1995.

Heaven's Mandate and Man's Destiny in Early Medieval China: The Role of Prophecy in Politics. UnM: AAI9536804.

This is a study on a neglected historical phenomenon: belief in *chen* (prophecy) in early medieval China. The prophetic-apocryphal texts which began to appear in the Han dynasty were banned during early medieval China. This study attempts to show that the texts continued to play a significant role in political struggles, that belief in *chen* prophecy was still prevalent in the society at that time, and that Chinese prophecy is not fabricated even though it may have no inspired prophets. The *chen* prophecies discussed in this dissertation are not confined to the traditional prophetic-apocryphal texts. In early medieval China many new prophecies were created and circulated in both oral and written forms; and personal names, reign titles, poems and folk and children's rhymes were recognized as heavenly revelations as well. These various prophecies were used as psychological weapons in political struggles. But we would fail to do justice to the significance of this historical phenomenon if we simply regard *chen* prophecies as political tools or propaganda. *Chen* prophecies were believed to be genuine prophecies at the time. Where did this belief in the prophetic power of *chen* prophecies originate? *Chen* prophecy in Early Medieval China was an important part of the symbolic system of political legitimation. This symbolic legitimation system was based on the concept of the Mandate of Heaven. As long as the Chinese believed in the Mandate of Heaven, they remained convinced that Heaven would reveal its will through prophecies, natural and celestial portents. *Chen* prophecy was recognized as a coded message from Heaven. It was the business of man of all social strata to read Heaven's will through decoding *chen* prophecies. *Chen* prophecies differed from the oracles and divination in Early China by their public nature and visibility of circulation, dissemination and interpretation. Thus *chen* prophecies derived their prophetic power from popular acceptance when they were circulated and disseminated. As a Confucian notion goes, "Heaven Sees with the Eyes of Its People." Social integration, legitimation of dynastic change, and the hopes for the future in an age of tumult thus were realized based on a belief in the interaction between Heaven's mandate and man's destiny.

Pak, Yangjin. Ph.D., Harvard University, 1995.

A Study of the Bronze Age Culture in the Northern Zone of China. UnM: AAI9619568.

This thesis first discusses various Bronze Age cultures in the Northern Zone of China during the second and first millennia B.C., with particular attention to their spatial and temporal distributions, subsistence economies, and cultural relations to one another. This study proposes the term "Northern Zone" to identify the unique cultural area on the northern frontiers of China during the Bronze Age, characterized by its distinctive cultural, economic, and ethnic attributes. The thesis surveys archaeological complexes located in northeast, north-central, and northwestern China, and traces their cultural changes and developments over two thousand years. Through diachronic and synchronic comparisons, such issues as the development of bronze metallurgy, the emergence of pastoral nomadism, and the interaction between people of the Northern Zone and their neighbors are discussed. As a case study, archaeological data from the Yuhuangmiao cemetery are analyzed to investigate the mortuary symbolism and social organization of a bronze age society that existed in northern Beijing in the first millennium B.C. In this analysis of the Yuhuangmiao society, several quantitative methods are used to illustrate that this society had at least three tiers of social hierarchy and that it was characterized by achieved social status and social differentiation based on age and gender. The analysis of diverse Bronze Age cultures in the Northern Zone, combined with the case study of the Yuhuangmiao cemetery, provides an opportunity for a fresh understanding of the nature of these so-called "peripheral" societies, their subsistence economies, and their dynamic interactions with neighboring societies.

Proser, Adriana G. Ph.D., Columbia University, 1995.

Moral Characters: Calligraphy and Bureaucracy in Han China (206 B.C.E.-C.E. 220). UnM: AAI 9606942.

This study shows that the development of calligraphy as an art form in China results from the emergence of a Han dynasty bureaucratic class of Confucian scholar-officials. By examining Han dynasty examples of official and cursive script in relation to contemporary historical and critical works, it demonstrates that scholar-officials came to rely on brush and ink as tools which would reveal their moral characters. The emergence of the Confucian scholar-official, his desire for status and power, his notion that morality is revealed through filial behavior, learning, and conservative taste, and the influence of contemporary philosophical factions directed the new aesthetic interests in developing calligraphic forms. The Introduction states

the thesis that Han dynasty calligraphic developments manifest external circumstances and discusses the relationship between writing and authority in ancient China. Chapter I looks at early developments in official and cursive scripts. Chapter II traces the roots of the tradition of calligraphy to the bureaucratic class of officials who produced official and cursive scripts. Chapter III considers the Xiping Stone Classics, the Liqi Stele, and the Cao Quan Stele, works that reveal ties between function and formal concerns. Chapter IV lays out the Eastern Han historical and philosophical background for the aesthetic development of official script. Chapter V establishes cursive aesthetic developments in Eastern Han cursive script through a consideration of several archaeologically excavated examples and works attributed to Han dynasty calligraphers. Chapter V goes on to consider the functions and political implications of cursive script in Han society, contemporary historical references to cursive script and its practice, and cursive script developments within the context of contemporary arts and philosophy. The Conclusion discusses the wider implications of Han calligraphic developments on subsequent Chinese calligraphy and painting traditions.

Svensson, Martin. Ph.D., Stockholm University, 1996.

Hermeneutica/Hermetica Serica: A Study of the Shijing and the Mao School of Confucian Hermeneutics.

The subject of this study is the *Shijing* (*The Book of Odes*), China's oldest collection of poetry, and the tradition of Confucian exegesis as it emerged in the early Han Dynasty (second century B.C.). The first part argues that contemporary Sinology has tended to describe early Chinese poetry and hermeneutics as thoroughly concrete, spontaneous and non-metaphorical, in spite of the often complex imagery employed by the Odes. Whence this tendency? Apart from being a reaction against Confucian didacticism, it is an attempt to present the Chinese literary tradition as a radically different alternative to its Occidental counterpart, allegedly characterized by abstraction, premeditation and figurality. This oversimplified, not to say false, dichotomy of China (the Empire of literalism and presence) and the West (the realm of figurality and deferral) constitutes the background of our subsequent argument.

The second part begins with a rereading of the Great Preface (*Da xu*), a short but canonical text about the origin and usage of poetry. Contrary to modern Sinology we show that the Preface does not claim that poetry is a spontaneous and involuntary reflection of the external world but, rather, the Confucian aristocrat's mode of communication by means of carefully

deliberated figures-of-speech. Then comes the proper subject of the thesis: the *xing*, a concept that occurs in the Mao Commentary (*Maozhuann*) on the *Shijing* as a marker of figurative language. At first, we conclude that Mao bases the *xing* on similitude but on an increasingly complex scale, going from simple metaphor to analogy (in the Aristotelian sense) to irony. Then we argue that the *xing* is pragmatic since it enables Mao to find Confucian topics in the Odes and, thereby, transform even the most ardent love-song into Confucian dogma. Finally, we reach an iconoclastic insight: there is a subgroup of odes where Mao's *xing*-trope is based on causality. The *xing*, thus, is not a systematic and formalistic concept but an arbitrarily employed "tool" used to "Confucianize" the poetic text. The third part focuses on the Odes themselves, presenting a study of themes suppressed by earlier *Shijing* scholars: sexuality, death, agony, violence, etc.

Vankeerberghen, Griet. Ph.D., Princeton University, 1996.

The "Huainanzi" and Liu An's Claim to Moral Authority. UnM: AAI9621581.

This dissertation contains both a philosophical examination of the *Huainanzi's* views on morality and an historical investigation of the factors that led to the demise of Liu An, King of Huainan, and his kingdom in 122 B.C. It shows how in early Han times moral values, ideas about morality and historical praxis shaped and influenced one another. Part one argues that during the second decade of Emperor Wu's reign (r. 141–87 B.C.) a major shift in morality occurred. When Liu An offered the *Huainanzi* to Emperor Wu during an official court-visit in 139 B.C., he used the text to affirm himself as a person possessing both the practical expertise and the moral authority necessary to qualify as a player on the political scene. Officials whose primary goal lay in strengthening the grip of the central government over the empire, and who had risen to power during the twenties, sought to demonstrate how an independent moral stance was inherently disloyal. Around 122 B.C. they accused Liu An of plotting revolt and obtained a conviction. For the officials, loyalty coincided with submissiveness to the emperor's will. Part two shows that a reason for the officials' dislike of the *Huainanzi* is the text's refusal to articulate well-defined moral rules. How to act in a particular situation is up to the agent who has to rely on the judgment of his own heart. When an agent's heart is cultivated like the heart of a sage person, his actions will follow human nature and the hierarchy of values it contains and therefore be good actions. Part two further analyzes the *Huainanzi's* claim that persons who have cultivated their hearts according to the text's precepts are not only virtuous persons, but also extremely effective agents. Thus the *Huainanzi*

puts forward pragmatic as well as moral reasons for why a person possessing the heart of a sage should be accorded a political voice. Even as the moral viewpoint that Liu An and the *Huainanzi* represent was condemned in 122 B.C., it retained its force as a vehicle for criticizing government practice.

Wang, Aihe. Ph.D., Harvard University, 1995.

Cosmology and the Transformation of Political Culture in Early China. UnM: AAI9539055.

This dissertation investigates how cosmology was constructed in the historical transition between two political ages—from the hegemonic states of the Bronze Age to the unified empire of the Iron Age—that occurred in the last four centuries B.C. The first chapter challenges the traditional view of cosmology as a homogeneous entity distinct from society. It calls for an historical anthropology that examines cosmology in light of ideology and power, in order to demystify its “essence” and unveil the political contest it embodies. Chapters two and three analyze the changing link between cosmology and power. Chapter two demonstrates that the ruling clan of the Shang state (c.1700-1100 B.C.) conceived of the universe in terms of four quarters (*Sifang*) surrounding a center, the center being the king’s body and his ancestral line. This centrality was the key to the political domination and divine authority of the kings. Yet when this domination gave way to wars among many states during the fifth to third centuries B.C., as chapter three shows, *Wuxing* cosmology emerged to replace the notion of an eternal center with dynamic interactions of five cosmic phases and to replace the royal clan’s monopolized link to the divine world with direct correlations between the human world and the cosmos. Chapters four and five investigate the mutual construction of cosmology and empire. Chapter four reveals that during the formation of the Qin and Han empires, the political contest over imperial sovereignty was manifested in the ideological competition between the conquest cycle of *Wuxing* in a mechanical cosmology and a generation cycle in a moralized cosmology. Chapter five demonstrates that the political struggles between rival factions were carried out through the emperor, who was thus configured as the pivot of power interactions. The thesis concludes that cosmology and political power were produced through one dynamic political process. *Sifang* and *Wuxing* cosmologies functioned to define power relations and prescribe political norms. Likewise, the power contests in the Shang state and later in the Han empire forged the cosmologies, repeatedly defining and redefining their meaning and structure.

Wong, Ching-Chih Yi-Ling. Ph.D., University of California, Los Angeles, 1995.

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Much has been discussed in the past centuries about the contributions of Ch'in Shih Huang-ti, the First Emperor (259–210 B.C.), to China's unification, especially his so-called merit of "unifying the Chinese script," commonly known as *shu t'ung wen tzu*. This dissertation studies the antecedents to the Chinese script before it was standardized by the Ch'in Dynasty (221–206 B.C.). This topic is approached in two stages: (1) By searching all the available pre-Ch'in characters with identifiable locations which can be found in the inscriptions on Oracle Bones and bronze utensils, also on the pottery, seals, jade, and on the currencies, as well as those from the recently excavated bamboo slips and silk manuscripts; (2) By making comparisons among these scripts and with *Shuo Wen Chieh Tzu*, the earliest extant dictionary of standardized scripts compiled about three hundred years after the Ch'in Dynasty. The variance of scripts before Ch'in Dynasty are examined in this dissertation from two different angles—diachronic and synchronic. Diachronically, I tried to evaluate how much the scripts changed during their evolution from the Yin-Chou period up to the Ch'in unification. Synchronically, I endeavored to determine the extent of diversity in the script systems among the various states in the Spring-Autumn and Warring States periods (see the footnotes on p. 1). The above efforts combine to demonstrate that a commonly observed logographic system had been in existence for millennia before Ch'in; script uniformity was in large extent a natural tendency at the time of Ch'in's unification of China; therefore, the Ch'in's much exaggerated role in the development of the Chinese script is a myth to be debunked.