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Studies

DISSERTATIONS

Curtis Hansman Brizendine, "Cloudy Mountains: Kao K'o-kung and the Tradition of Mi Fu," Ph.D. diss., University of Kansas, 1980. 495 pp. No. 8111723.

The aesthetic concerns of early Yüan (1279-1368) landscape painters embraced both a strong reaction against the styles associated with the Southern Sung (1127-1279) academic tradition and a return to the ideals of a number of earlier manners. Among the traditions revived during this era, those of Tung Yüan (act. mid. 10th c.) and Chü-jan (act. 960-980), Li Ch'eng (act. 960-990) and Kuo Hsi (act. 1060-1075) were preeminent. A third tradition, that of Mi Fu (1051-1107) and his son Mi Yu-jen (1086-1165), played an important if less definitive role in the evolution of later Yüan painting. An understanding of the revival of this third tradition has been frustrated by an imperfect conception of its central figure, the enigmatic Kao K'o-kung (1248-1310). The purpose of this study is twofold: to clarify Kao K'o-kung's oeuvre as extant, thereby allowing an assessment of his personal achievement; and to consider him in the context of the Mi tradition in order to define his position within and impact upon it.

The primary material for this study is the body of paintings traditionally and currently ascribed to Kao K'o-kung and anonymous or unsigned works in the Mi tradition. The first two chapters are introductory in nature. Chapter I comprises a biography of the artist while the intellectual, social, and artistic milieu in which Kao developed are discussed in Chapter II. It is proposed that Kao, a Northerner, gained the impetus to paint as a result of a political sojourn in southern China. The complex issues surrounding the definition of Kao K'o-kung's oeuvre are explicated in Chapter III. Two paintings are established as central to the understanding of his art. Chapter IV is devoted to enlarging Kao's oeuvre through formal analysis of attributed works, identifying the sources from which his developed, and characterizing the nature of the style. Finally his oeuvre is divested of forgeries and misattributions in a reductive process. The final chapters deal with Kao's position within the tradition of Mi Fu and Mi Yu-jen. Chapter V proposes a limited body of paintings which the author feels represent the pre-Yüan Mi style. Kao's style is then analyzed from this perspective. In Chapter VI a number of paintings by purported followers of both Mi and Kao are analyzed to aid in the definition of Kao's impact upon later Chinese painting. A descriptive catalogue of paintings attributed to or known to have been attributed to Kao is appended to the text.

The material collected and analyzed in this thesis has served to clarify

Kao K'o-kung's personal achievement. Clearly Kao was both a man of his own period and the first figure in a significant revival of tradition. Moreover he was the central figure in the evolution of the Mi tradition. He was able to assimilate and internalize the style to the point at which a transformation of it was possible. Kao's transformation was rooted in both his understanding of other early traditions and his ability to internalize. Whereas it has become conventional for later artists to trace their paintings in this style to the influence of Mi Fu, Kao K'o-kung was actually the model.

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Hugh Clark, "Consolidation on the South China Frontier: The Development of Ch'uan-chou 699-1126," Ph.D. diss., University of Pennsylvania, 1981. 447 pp. Order No. 8117771.

This dissertation traces the evolution of a single prefecture -- Ch'uan chou, in southern Fu-chien province -- from its earliest settlement through time when it had developed into one of the most important political and economic centers of the Empire. The period covered runs from the third century A.D. through the end of the Northern Sung, but the emphasis begins with the eighth century when the prefecture was first established.

The body of the dissertation is covered in three chapters chronological broken into T'ang (699-879), T'ang-Sung interregnum (879-978), and Northern Sung (978-1126). Each chapter is subdivided into: (1) Introduction, covering background information such as political, administrative and institutional changes, population factors, etc.; (2) Economic, which emphasizes developments in agriculture and trade; and (3) Personnel, including analyses of prefectural administrators and the emergence of the prefectural elite.

The study finds a startling contrast between the ninth and eleventh centuries. In the former, agriculture emphasized subsistence rice cultivation, trade was controlled by non-Chinese, officials were largely drawn from the declining oligarchical families of the North and Northwest and the local elite was a non-factor in national affairs. By the eleventh century, local agriculture had evolved a large commercial base emphasizing sugar cane, luxury fruits, and fiber crops as well as rice. The port had grown to be China's second largest, the volume of trade was constantly growing and it was at least in part controlled by prefectural natives. Officials were overwhelmingly natives of Fu-chien or Liang-che Circuits. And the local elite was one of the most dominant groups in the examinations.

The explanation, as suggested in the conclusion, for this transformation lies in the interregnum when, but for two brief periods, Ch'uan-chou was self-ruled. The local governors depended heavily on income from the trade to

maintain their independence, so it was promoted and facilitated. This, in turn, led to the foundation of fortunes among both the ruling and commercial elite. At the same time, a tradition of civil service evolved among the elite families who governed. All factors carried over to promote the remarkable transformation of the Sung.

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Elizabeth Endicott-West, "Regional and Local Government in Yüan China,"
Ph.D. diss., Princeton University, 1981.

This dissertation examines civilian administration on the regional and local levels under the Yüan Dynasty in China. The key institution in local government in the period of Mongolian rule in China (in *sensu lato* 1206-1368) was the office of the Ta-lu-hua-ch'ih (Mongolian Daruyači), an office which had its counterparts in other parts of the Mongolian "empire," notably in the Russian principalities and Persia. Through a system of dual staffing of the highest offices at each level of the sub-metropolitan government (with the exception of the Regional Secretariats), the office of Ta-lu-hua-ch'ih was paired with local Prefects, Subprefects, and Magistrates.

By Qubilai's reign, the office of Ta-lu-hua-ch'ih had evolved from that of personal representative of the Mongolian ruler to that of a salaried, ranked member of the regular bureaucracy. The duties of the Ta-lu-hua-ch'ih ranged from quelling local disturbances to encouraging agricultural pursuits; in addition, the Ta-lu-hua-ch'ih were assigned as trouble-shooters by the court to remedy particular cases of bureaucratic mismanagement. Despite the Mongolian rulers' resolve to reserve this office for Mongols and Western and Central Asians, there are numerous examples of Northern and Southern Chinese, Khitans, and Jurchen serving as Ta-lu-hua-ch'ih.

In the absence of an examination system for much of the dynasty, hereditary transfer of local government offices was common. Not all Ta-lu-hua-ch'ih were appointed by the central government in the capital; a sizeable minority was appointed by the holders of appanages (t'ou-hsia), a fact which attests to the fragmentation of political authority in Yüan times.

Such local institutions as the system of daily conferences which all ranked local officials including the Ta-lu-hua-ch'ih were required to attend and the collective management of the seals of office reflect a conciliar, rather than an autocratic, mode of governing, derived from elements in the pre-conquest political culture of the Mongols. Deliberate fragmentation of authority on the local level, however, led to overlapping jurisdictions and a variety of bureaucratic abuses, all well detailed in Yüan sources.

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Sharon Shih-Jiuan Hou, "Flower Imagery in the Poetry of Wu Wen-ying: A Case Study of the Interaction between Empirical and Perceptual Realities," Ph.D. diss., University of Wisconsin, 1980. 290 pp. Order No. 8110082.

The purpose of this dissertation is to analyze the interaction between the external, empirical world and the aesthetic, imaginative world embodied in poetry and its creative process, through the study of the flower as a poetic image. An image that frequently appears in traditional Chinese poetry is the flower. Through the devices of comparison, contrast, analogy, juxtaposition, identity, and fusion, the flower has been used by Chinese poets to express a variety of ideas -- the passage of time and the inevitability of old age and death; the beauty and delicacy of women; the vulnerability of man or society to destructive forces; the vicissitudes of human fortune. Because of the popularity of the image in traditional Chinese poetry, a study of flower poetry can reveal the interaction between the poet's mind and the outside world in the course of poetic creation, the empirical world providing the poet with sources of inspiration and ideas, and the imaginative world bestowing sensual, emotional, and intellectual significance upon this empirical reality.

The tz'u poetry of Wu Wen-ying (ca.1200-ca.1260) has been chosen as illustration of this interaction. A prolific yet controversial poet of the Sung dynasty (960-1279), Wu Wen-ying has hitherto been accorded little critical attention.

Among Wu's extant three hundred and forty poems, two hundred and ninety either directly or indirectly deal with the flower. His flower poetry can be divided into three groups: (1) as one of the constituent elements of the tz'u songs, (2) as the sole topic of poetic description, and (3) as a natural object involving an event that the poet has experienced in the human world.

In these three groups of Wu's poetry, two types of source materials are employed: the flower in the natural world, and the human incidents involving the flower and experienced by the poet himself. The first of these types of source materials, the flower in nature, further gives rise to four kinds of potential materials: the natural attributes of the flower, including scent, color, shape, and texture; the entire flower; the physical environment in which the flower grows; and the season when the flower thrives and fades.

The creative process through which the poet transforms the flower in nature or the human incidents related to the flower appears to involve three stages: (1) selection of elements from the empirical, external world to work with; (2) description of the selected elements in highly expressive,

aesthetic language; (3) completion through the arrangement of the various metaphors, images, and sense impressions into an intellectual pattern, expressing the poet's total consciousness of the empirical reality, thereby transmuting the flower or the human incident being described from an ordinary, external existence into one invested with the richness of the poet's life, feeling, and thought.

The main body of the dissertation is organized to follow these three stages of poetic creation. The first five chapters discuss the poet's perception of the elements selected from the flower in nature (Chapter Five). The last chapter (Chapter Six) shows that the poet's imaginative power fuses a variety of elements taken from the empirical world into an organic whole, resulting in the transfusion of a vivid perceptive consciousness.

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John Labadie, "Rulers and Soldiers: Perception and Management of the Military in Northern Sung China (960-ca.1060)," Ph.D. diss., University of Washington, 1981. 298 pp. Order No. 8121211.

It has been a common assumption among Chinese historians that the Sung dynasty was militarily weak and that the military was closely controlled by the civil government. Yet, little effort has been made to define the dimensions of that weakness (if indeed it existed) or to explore the mechanisms and effects of that control. This study examines the Northern Sung rulers' perceptions of the military's character and role and the means by which they managed the military forces.

Modern studies of civil-military relations (by Huntington, Abrahamson, Permuter, et al.) are used as analytical tools to examine the Sung methods of military management and to place the Sung experience in the context of the history of civil-military relations. Routinization and regularization of military service, attempts by Sung rulers to set up ethical norms for the military, and changes in the relationship between the civil and military branches of the government all become much clearer when examined in light of the modern concept of "military professionalization." Yet, the Sung differs significantly from the modern paradigm in the importance of strong personal relationships that the first Sung rulers fostered with their generals as a method for managing the military establishment.

Chapter I examines how the Sung founder faced the fundamental problem of managing the military so as to achieve a balance between military strength and control. The army had to be strong enough to protect the country against internal and external enemies but not so strong and independent as to precipitate the type of military intervention that had destroyed the T'ang. It is

this problem and its solution that mark the significance of the Sung experience.

Beginning with the roots of the Sung military problem in the events of the late T'ang and Wu-tai periods, the second chapter traces the development of Sung military management through three phases which delineate the military's transition from a heterogeneous collection of units to a regular "professionalized" force, with standardized systems of tactics, training, and promotion, that was subordinate to and controlled by the civil government.

Civilian and military perceptions of the military's role and character are discussed in Chapter III. Civilian complaints about the costs of warfare gave way to concerns about the cost of maintaining large numbers of troops and the difficulty of controlling them. The military remained quite consistent in their views, continuing to assert their exclusive, expert competence in battle and their special responsibility of service.

Chapter IV examines the institutional mechanisms of military management and the importance of personal relationships used as a management tool. Routinization of the military system, coupled with the personalities of later emperors, led to the monopolization of the defense policy process by civilians and to civilian intrusion into positions of military command. These developments not only cut short the process of professionalization within the Sung military but also had a deleterious effect on Sung military performance.

The final chapter compares the military experience of the Han, T'ang, and Northern Sung dynasties. The issue of Sung weakness is exposed as a "red herring" that obscures real differences in historical circumstances and reflects the Han nationalism of later historians living under non-Chinese rule. Finally, this study shows that modern tools can help us understand the Sung military experience, and it demonstrates that the concepts and categories defined in modern studies of civil-military relations are neither exclusively modern nor exclusively Western.

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Peter Lighte, "The Mongols and Mu Ying in Yunnan: at the Empire's Edge," Ph.D. diss., Princeton University, 1981. 136 pp. Order No.8111282.

This dissertation is composed of two major sections. The first, a narrative, illumines Yunnan's history through the Yuan dynasty. The Mongol period marks an important watershed for Yunnan; for the first time, the area came under the direct control of the government of China. But the Mongols had not been able to secure Ta-li, Yunnan's naturally fortified northwestern region. It remained under the influence of the Tuan 段 family, Ta-li's

rulers from the mid-tenth to mid-thirteenth centuries. Furthermore, with the influx of Mongols, Muslims, Central Asians as well as Han-Chinese into the aboriginal southwest, Yunnan's Mongol experience was more one of territorial incorporation into the complex Mongol East Asian Qanate than assimilation into the Chinese world. But the heritage of Mongol involvement in Yunnan did affect the course yet to be taken by the Ming.

Broad consideration shaped the Ming court's approach to Yunnan; but, the overriding concern was the integration of Yunnan into the empire. Mindful of the futility of attempting wholesale Han administration over this inhospitable area, Ming T'ai-tsu chose to supplement a provincial core of civil administration both by enfeoffing Mu Ying 沐英, his adopted son, in Yunnan, and by instituting a loose system of tribal administration in place of the county level of government. The policy of ultimately replacing these tribal chiefs with regular Han-Chinese officials, known as *kai-t'u kwei-liu* 改土歸流, depended on an influx of a Chinese population that could be registered and taxed, and the cultural and agricultural transformation wrought by their presence on the local non-Chinese.

The second section, consisting of Chapter III, is an annotated translation of the Ming History's biography of Mu Ying, the founder of the family most closely associated with Yunnan during the Ming period, and his descendants. Beyond being a faithful rendering of a family's official biography, the translation provides focus for Chapter II of the narrative--Yunnan Under Mu Ying and the Ming--and should be read as its companion. Since Mu Ying was critical to a pattern of governance which remained unique within all the Chinese imperial world, his story is a chronicle of Yunnan's integration into the empire.

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Deborah Del Gais Muller, "Li Kung-lin's *Chiu-ko t'u*: a Study of the *Nine Songs* Handscrolls in the Sung and Yuan Dynasties," PH.D. diss., Yale University, 1981. 514 pp. Order No. 8129603.

This dissertation is an iconographic study of the *Nine Songs* handscroll tradition in the Sung and Yuan dynasties. Li Kung-lin, the artist who apparently initiated this subject, was a member of the Northern Sung literati circle responsible for crystallizing the new set of artistic values defined as scholars' painting (*wen-jen hua*). Essential to this definition is the equivalent relation between poetry and painting. As painted illustrations of a poetic cycle, Li King-lin's *Nine Songs* handscrolls provide an excellent example of this relation, with the literary tradition supplying the means for

interpreting paintings.

Ch'ü Yüan, the author of the poems, was a loyal official whose discerning advice to his ruler went unheeded. Knowing that his state would fall to its enemies, Ch'ü Yüan committed suicide in despair. It is this action that became the focus of a perennial debate among Chinese scholars. In addition to this controversy, the beauty of the poetry itself and its historical significance for Chinese literature magnify the importance of Ch'ü Yüan's role.

The introduction and first chapter of the thesis establish the existence of two now lost Li Kung-lin originals. The first chapter attempts a reconstruction of the overall iconography of the individual representations in both paintings through a careful study of the extant copies. Once a major difference between the straightforward narrative treatment of the earlier Wen-hsüan version and the more conceptualized "personifications" of the later handscroll is ascertained, it becomes a device for understanding how this change in format more effectively attunes the viewer's perception of the painted images to the literary content.

The remaining two chapters of the thesis explore the relationship between the paintings and the literary tradition, together furnishing an iconographic interpretation for the handscrolls. The second chapter presents an allegorical meaning based on reiteration of specific poetic themes in inscriptions for the paintings and in some related texts. The third chapter takes up the question of loyalty, the poet Ch'ü Yüan's greatest virtue, and concurrently examines the change in Ch'ü Yüan's image in the Sung period. The more absolute Sung definition of loyalty demonstrates how Ch'ü Yüan's role could be simultaneously re-examined. We then conclude that an understanding of the Nine Songs handscrolls fuses the lyric aspect of the literary tradition conveyed in the painted allegory with more objective analysis of Ch'ü Yüan's virtue growing out of the continuing debate over his suicide.

The thesis also contains a brief excursus on the fourteenth-century tradition of the Nine Songs. Volume two is a draft catalogue of all the information collected to date regarding extant and recorded versions of the Nine Songs, with some related materials also included.

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Julia K. Murray, "Sung Kao-tsung, Ma Ho-chih, and the Mao Shih Scrolls: Illustrations of the Classic of Poetry," Ph.D. diss., Princeton University, 1981. 306 pp. Order No. 8118354.

A number of handscrolls dispersed among collections throughout the world illustrate portions of the Mao arrangement of the Shih ching (Classic of Poetry). The calligraphic texts of these scrolls are written in the small-regular

script (hsiao-k'ai-shu) traditionally attributed to the hand of the Southern Sung emperor Kao-tsung (r.1127-1162), while the paintings are said to be by Ma Ho-chih.

In this dissertation, all the Mao Shih scrolls are studied critically and categorized according to their relationship with the twelfth-century set. Of the scrolls currently available for study, seven are shown by stylistic analysis to be probable members of the original group: "Odes of Pin" (Metropolitan Museum), "Odes of Ch'en" (British Museum), "Odes of T'ang" and "Ch'ing-miao" (Liaoning Provincial Museum), "Six Odes starting with Hung-yen" (Dillon Collection), "Six Odes starting with Nan yu chia-yü" (Museum of Fine Arts, Boston), and "Eleven Odes starting with T'ang" (Fujii Yurikan, Kyoto). Several other strong contenders belonging to collections in the People's Republic of China are at present completely inaccessible for study.

Comparison of the calligraphy in the seven "primary" scrolls with a signed and dateable work by Kao-tsung, "Preface to the Collected Writings of Hui-tsung" (1154), shows that Kao-tsung did not write the Mao Shih himself. Two other hands are evident in them, one for the Fujii and Boston scrolls, and the other for the two Liaoning, Metropolitan, British Museum, and Dillon scrolls. In both groups, homophones for the personal names of Kao-tsung and his successor Hsiao-tsung (r.1162-1189) are written with strokes missing to respect a strict taboo. The pattern of taboo observance, considered together with the calligraphers' general dependence on Kao-tsung's calligraphic style, suggests that the Mao Shih scrolls might have been written by persons closely associated with Kao-tsung between the time that he abdicated the throne to Hsiao-tsung in 1162 and his death in 1187. The Empress Wu (1115-1197) may have been one of the "substitute" calligraphers.

The painting techniques and motifs of the seven scrolls seem in general to be the work of one artist, displaying, however, some variety among the group in speed and care of execution. The essential homogeneity of the primary group is underlined also by contrast with an acknowledged later copy, Hsiao Yün-ts'ung's "Odes of Ch'en" (National Palace Museum, Taiwan), as well as with anonymous later versions of other scrolls. The twelfth-century date of the primary scrolls is established through comparisons with archaeological-ly excavated or otherwise securely documented pictorial material.

Although illustrations of portions of the Mao Shih by artists of the Six Dynasties and T'ang periods are recorded in early histories of painting, these seem not to have been available as models for Ma Ho-chih in the twelfth century, for they are not recorded in the imperial collection. Furthermore, none of Ma's scrolls is consistently archaic in compositional structure; and the archaisms that do occur may largely be explained by the influence of Li Kung-lin (1049-1106).

As textual illustrations, Mao Shih paintings follow the standard, conservative interpretations of pre-Sung commentaries to the Shih ching poems. Several conceptual strategies are used in translating the poems into pictures: illustration of the nature-imagery in the poems, the context in which they might be sung, the "story" told in them, the speaker or interpreter, and so forth. Each scroll contains a unique mixture of these types, reflecting differences between the textual chapters themselves. The scrolls, finally, are compared with other examples of textual illustration in the handscroll format. In contrast to these other works, the Mao Shih illustrations are shown to be evocations of the spirit of classical antiquity, rather than literal translations of verbal information into pictorial equivalents.

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Mary Gardner Neill, "Mountains of the Immortals: the Life and Painting of Fang Ts'ung-i," Ph.D. diss., Yale University, 1981. 319 pp. Order No. 8124833.

This dissertation examines the life of artistic achievement of Fang Ts'ung-i (ca.1301-1378+) and attempts to illuminate his work within Chinese religious, intellectual, and aesthetic tradition.

Chapter One describes the evolution of Taoist religious organization from the post-Han period to the fourteenth century, that moment when Fang Ts'ung-i lived and worked at Lung-hu shan, the headquarters of the Cheng-i sect in Kiangsi Province. The chapter discusses the confluence of intellectual and religious traditions in Kiangsi, sectarian Taoist movements of the thirteenth and early fourteenth centuries, and the predilection toward syncretism, both political and spiritual, during the Mongol occupation of China. The purpose is to create a cultural context within which the life and art of Fang Ts'ung-i developed.

Chapter Two provides a comprehensive biography of Fang Ts'ung-i, relying primarily upon the writing of contemporaries, especially Chang Yü-ch'u, the forty-third Celestial Master, who was Fang's student and biographer. The chapter traces Fang's early life and training at Lung-hu shan, his journey to the Mongol capital and the famous mountains of the North, and his return to Lung-hu shan to continue a life of seclusion and artistic endeavor.

Chapter Three discusses the calligraphy, bamboo and landscape painting attributed to Fang. Documentary evidence, stylistic analysis, and close comparisons of calligraphic technique are used as tools for authentication. Eleven paintings are accepted as the work of Fang's hand, and other works and later copies are reviewed for their insight into his artistic achievement.

Fang's art is intimately associated with the style of the Sung painters Mi Fu and his son Mi Yu-jen, thus Chapter Four examines attributions to them, and the stylistic tradition associated with their name. The chapter concludes with an evaluation of Fang's place in and contribution to that tradition.

Finally, both Mi Fu and Fang Ts'ung-i have been termed i-p'in or "untrammelled" masters by later critics. Chapter Five examines the origins and changing connotation of the term i-p'in and offers a new definition of the "untrammelled" painter as one who stands apart temperamentally, socially, geographically, spiritually, and artistically, as one whose life and work excelled conventions of the moment, thus eliciting the highest appreciation. Fang Ts'ung-i's was such an achievement.

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Nancy Shatzman Steinhardt, "Imperial Architecture under Mongolian Patronage: Khubilai's Imperial City at Daidu;" Ph.D. diss., Harvard University, 1981.

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John Stuermer, "Polder Construction and the Pattern of Land Ownership in the T'ai-hu Basin during the Southern Sung Dynasty," Ph.D. diss., University of Pennsylvania, 1980. 244 pp. Order No.8107809.

The effect of polder construction on the pattern of land ownership is analyzed by developing hypotheses and testing them using land, population, and a tax revenue data.

In Part I, the economic importance of the T'ai-hu Basin and the history of its water conservancy projects are described. Economic indicators, such as population and tax contributions for the Liang-che region, indicate that it was one of the wealthiest and most rapidly growing circuits of the Sung realm. Water conservancy work and polder construction are shown to be one of the principal factors responsible for economic growth in the T'ai-hu Basin. The topography and water drainage patterns of Lake T'ai are described. The characteristics of water conservancy work and polder construction in each of the area's six prefectures are surveyed.

In Part II, a framework for analysis of the economic efficiency of water conservancy work and polder construction is presented. It is concluded that wealthy landowners engaged in polder construction enjoyed a gain in consumers' surplus, small holders undiked land suffered a loss in consumers' surplus, and that government taxation policy during the Late Northern and Southern

Sung periods can be characterized as an attempt to capture a larger part of the consumers' surplus created by water conservancy work and polder construction.

In Part III, the changes in the structure of local administration as the government tries to increase the efficiency of land tax collection, the rationale and effectiveness of the Public Fields program and the strengthened economic and political position of the large-scale landholding class at the end of the Southern Sung dynasty are examined.

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Allen Wittenborn, "The Mind of Chu Hsi: His Philosophy with an Annotated Translation of Chapters One through Five of the *Hsü chin-ssu lu*," Ph.D. diss., University of Arizona, 1979. 179 pp. Order No. 7921818.

This dissertation begins with a statement of Chu Hsi's metaphysics, including the concepts of *t'ai-chi*, of *li* (constitutive principle), and of *ch'i* (constitutive energy). This is followed by an exploration of the moral and epistemological aspects of *li*, and consideration of the two primary ethical notions in Chu's philosophy, *tao* and *jen* (humanheartedness), both of which function as moral as well as metaphysical concepts. Finally, I consider the concept of mind (*hsin*) as the most important in Chu Hsi's philosophical system, especially in regard to the two phases of the mind, *wei-fa* (imminent issuance) and *yi-fa* (accomplished issuance), and to the notion of *ching* (concentration). In conclusion, I explore Chu Hsi's epistemology which implies that we come to have correct knowledge by taking our innate concepts of the principles of things and applying them to the object in question to apprehend its principle, and thereby to objectify that thing's principle by means of which we come to know the thing itself. Moreover, by objectifying the principles in our mind, we become aware of the mind's relation with the universe and of the potential enabling us to attain the position of sagehood.

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Alan Thomas Wood, "Politics and Morality in Northern Sung China: Early Neo-Confucian Views on Obedience to Authority," Ph.D. diss., University of Washington, 1981. 269 pp. Order No. 8121264.

Throughout the history of Chinese political thought the need for obedience to authority has been a constant refrain. This respect for hierarchical authority was given further support by the philosophical system of Neo-Confucianism developed in the Sung dynasty, which emphasized the importance of exalting the ruler. For this reason many scholars have assumed that Neo-Confucianism contributed to the growth of autocratic power in later Chinese his-

tory. However, a review of the political ideas of many of the leading Neo-Confucians of the Northern Sung, expressed in the form of commentaries on the Ch'un-ch'iu, suggests that by phrasing their appeal to authority in terms of absolute moral principles to which even the ruler himself was clearly meant to be subject, they were attempting to limit, not justify, the arbitrary exercise of power by the ruler.

Chapter One considers the background of Neo-Confucianism and stresses the close relationship between the various political, economic, and social forces which were integrating China to an unprecedented degree on the one hand, and the impulse to synthesize and bring into harmony the disparate realms of life and thought on the other. It demonstrates the way in which the Neo-Confucians in general and the Ch'un-ch'iu commentators in particular were responding to the fear of anarchy induced partly by the example of regionalism in the late T'ang and Five Dynasties period, and partly by the contemporary threat of invasion from barbarian peoples to the north.

Chapter Two then considers the history of critical exegesis pertaining to the Ch'un-ch'iu itself, from Han times down to the Northern Sung, in order to provide the context in which the commentators discussed their ideas. Chapter Three deals with the first generation of Ch'un-ch'iu commentators (best represented by Sun Fu) and discusses the reasons for their emphasis on the concepts of "revering the emperor" (tsun-wang), "expelling the barbarians" (jang-yi), and "ritual" (li). It is argued that the association of these ideas allowed them to support the necessity of obedience to centralized authority while at the same time placing moral limits on the arbitrary power of the ruler. The next generation of commentators, of whom the most influential was Ch'eng I, is taken up in Chapter Four. Here it is shown how "principle" (le) became the medium by which political arguments in favor of obedience to the ruler were gathered into the broader framework of a rational metaphysics.

In order to reveal fully the significance of the reservations of the Neo-Confucians on the question of obedience, recourse is had to the medieval European concept of natural law. Medieval natural law, by emphasizing the ultimate loyalty owed by the individual to absolute moral values, manifested a deliberate ambiguity over the issue of authority. It is then argued in the concluding chapter that the recognition of a fundamental tension between the demands imposed by an absolute system of moral values and the requirements to contribute to the political order of a given community is a vital protection against the seductive temptations of ideologies which can lead to the total surrender of freedom in totalitarianism. It is further posited that by abandoning the system of absolute moral values embodied in the

"authoritarian" Neo-Confucian syntheses, in favor of the most current ideas of freedom adopted from the West, Chinese intellectuals in the 20th century actually deprived themselves of an important defense (in the absence of pluralistic political and social institutions) against the centralizing of all powers and all authority in the hands of a determined "ruler."

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DISSERTATIONS: In Progress

"Divination and Philosophy: Chu Hsi's Interpretation of the I-ching," by Joseph Adler, University of California, Santa Barbara.

"A Chronological Study of Sino-Tibetan Metal Sculpture from the Time of Qubilai's Accession through the Early Ming Period (1260-1450)," by Sheila Bills, Case Western Reserve University.

"Ch'en Ju-yen and Fourteenth Century Painting in Suchou," by Claudia Brown, Arizona State University.

"Consolidation of the Southern Sung Dynasty: the Reign of Emperor Hsiao-tsung (1162-1189)," by Gong Wei-ai, SOAS (University of London).

"Social History of Printing and Publishing," by Anthony Pan, University of California, Berkeley.

"Der 'Barbar' im Theater des chinesischen Mittelalters," by Theo Kersting, Universität Göttingen.

Die Theaterstücke der Chin-, Yüan- und Ming-Zeit bringen häufig die Figur des "Fremden" auf die Bühne. Die Darstellungsformen reichen vom positiven Helden in der Rolle des Hauptdarstellers bis hin zum "barbarischen" Bösewicht. Entsprechend dieser Vielfalt sind die Beurteilungen dieses Typus in der bisherigen wissenschaftlichen Literatur (Aoki Masaru, Shih Chung-wen u.a.) recht unterschiedlich.

Ziel der Untersuchung ist es, das Bild des "Barbaren" in allen seinen Konnotationen zu analysieren. Als Material dienen hauptsächlich die tsa-chü, in einigen Fällen auch die Ch'uan-ch'i. Es werden nur Typen untersucht, die erklärtermassen als Fremde auftreten und durch die Sprache und andere topische Elemente als solche erkennbar sind. Im Ergebnis soll die Studie dazu beitragen, die Spannungen zwischen Chinesen und "Barbaren" und die Wurzeln der Xenophobie auszuleuchten.

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Note: Notice is taken of an additional completed dissertation on p. 5 above.