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21

**DISSERTATION ABSTRACTS ON TOPICS RELATED TO THE  
SONG, LIAO, JIN, AND YUAN FOR 1989-90**

**Compiled by  
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**POETRY OF EXILE AND RETURN: A STUDY OF SU SHI (1037-1101) (CHINA). 557 PAGES.**  
**TOMLONOVIC, KATHLEEN M. (PH.D. 1989 UNIVERSITY OF WASHINGTON)**

01101610 ORDER NO: AAD90-13823. INSTITUTION CODE: 0250. PAGE 3957 IN VOLUME 50/12-A OF DISSERTATION ABSTRACTS INTERNATIONAL.

As one of the leading scholar-statesmen of the Northern Song (960-1127), Su Shi influenced the development of literary and cultural values during a critical formative period in Chinese history. Serving the court during a time of intense factional disputes, he was demoted and exiled. He was banished to Huangzhou from 1080-1084, to Huizhou from 1094-1097, and to Danzhou on Hainan Island from 1097 until he received amnesty in 1100.

The themes of exile and return, prominent in Su Shi's corpus of poetry, are shown to illuminate an ambivalence in his attitudes toward service and retirement. His poetry is explicated in order to determine how he conceived of himself during times of exile and to analyze how he viewed his predicament.

Chapter One is a review of the historical context of Su Shi's exiles. The causes of his exiles are then explained. Accounts of his journeys into exile, his adaptation to and transformation of the places of exile are given in Chapter Two. The adversities of deprivation, disgrace, and death are explored in Chapter Three. These are shown in relation to responses based on Su Shi's understanding of the Chinese philosophical and religious traditions. His effective use of imaginative in creating alternatives to the realities encountered is also explained. Su Shi and his writings are placed within the context of conventional literary figures and tropes in Chapter Four. Next his preference for identification with men in retirement, specifically with Tao Yuanming, is analyzed. Chapter Five also explains why Su Shi composed poetry to match the rhymes of Tao. In Chapter Six, literature he composed during exile is seen in relation to his general corpus. The thesis concludes that Su Shi's

initial ambivalence toward engagement and reclusion was intensified by the exile experience. The exile periods and the literature composed about exile and return are accorded their proper importance as factors contributing to the significance of Su Shi and his works in the history of Chinese literature.

**MI YOUREN AND THE INHERITED LITERATI TRADITION: DIMENSIONS OF INK-PLAY. (VOLUMES I-III) (CHINESE PAINTING) 708 PAGES**  
**STURMAN, PETER CHARLES (PH.D. 1989 YALE UNIVERSITY)**

01095446 ORDER NO: AAD90-10683; INSTITUTION CODE 0265. PAGE 3393 IN VOLUME 50/11-A OF DISSERTATION ABSTRACTS INTERNATIONAL.

Mi Youren (1074-1151), son of the renowned calligrapher, painter and connoisseur, Mi Fu (1052-1107), has been known through history as a follower of his father's style of painting and calligraphy. This dissertation examines the art of Mi Youren in the context of the subject's historical background, and explores the specific problems that underlie a son's attempt to perpetuate what amounts to a self-conscious image of his family's tradition. Two key factors suggest the importance of this approach to Mi Youren's art: Mi Youren's survival of the fall of the Northern Song in 1126 and his continued existence in the very changed world of the early years of the Southern Song, a time when the achievements of his father's generation were painfully cut off from the present, and Mi Youren's awareness of himself as a literati painter, one who expresses both intent and inner virtue in his painting, or as he phrases it, "pictures of the heart."

The dissertation is arranged chronologically in four chapters, with each chapter primarily focused on a limited number of paintings and calligraphies. The first chapter concerns the calligraphy of Mi Fu and establishes the central themes of the Mi family tradition, with special attention paid to Mi Fu's "Coral." The subsequent chapters follow the evolution of Mi Youren's landscape painting in the Southern Song, from a period characterized by defiant "unbridledness" (1130-1134, "Cloudy Mountains" of 1130 and "Distant Peaks and Clearing Clouds" of 1134) to a period of continued hardship and consequent introspection (1135-1141), "Cloudy Mountains" #2 and "Rare and Wonderful Views of Xiao-Xiang") to final personal triumph, as Mi Youren receives imperial recognition and patronage (1142-1151, "Delight in Cloudy Mountains" and "White Clouds Along the Xiao-Xiang"). There are two appendices: a catalogue of select extant paintings attributed to Mi Youren with discussions of authenticity, and a list of Mi Youren authentications, inscriptions and letters, both extant and recorded.

**CHU-LU: A NORTHERN SONG CERAMIC LEGACY (CHINA). 436 PAGES.**  
**XIE, MARGARET CARNEY (PH.D. 1989 UNIVERSITY OF KANSAS).**

01095222 ORDER NO: AAD90-09968; INSTITUTION CODE: 0099. PAGE 3393 IN VOLUME 50/11-A OF DISSERTATION ABSTRACTS INTERNATIONAL.

In 1108 A.D., Chu-lu Hsien and neighboring areas, all located in China's present-day southern Hopei Province, were inundated by a flood

of the Yellow River. Northern Sung Chu-lu, including its ceramics, remained preserved, intact, buried in the silt of the Yellow River for nearly 800 years, until 1919 when drought-stricken farmers were digging wells.

At that time, farmers unearthed ceramic wares--cream-colored porcellaneous stonewares with a characteristic rust-colored crackling and staining in the glaze caused by burial in the silt of the Yellow River for over 800 years. Hundreds of pieces were unearthed, many being taken abroad by foreign collectors.

In the early 1920's inscribed Chu-lu ceramics were collected and published by the Tientsin Museum, and two dwelling sites were excavated by a team of archaeologists from Peking.

The primary ceramic ware recovered from this inundated area were Tz'u-chou wares, wares distinguished by the use of a white slip over a buff or light grey body with a clear glaze over the white slip.

This site offered several unique opportunities. Chu-lu contained datable (inscribed) pieces from a datable site. By gathering the pieces together that had been scattered throughout the world, there was still the opportunity to identify a significant and comprehensive collection of datable ceramics from one Hopei Province site--and see how it has influenced our perception of Sung ceramics. Additionally, insights into the innovations and vitality of Tz'u-chou wares in 1108 A.D. were gained. These Chu-lu wares were put in historical perspective with earlier and later periods, and contemporaneous Sung materials. Through this investigation, their significant contribution to the modernization of the ceramic industry in China became clear, in terms of both the evolution of true porcelain and overglaze and underglaze decorating techniques, and the practice of marking ownership on Chinese ceramics.

Gathered together during this project, this comprehensive collection of datable materials from one site has given undeniable proof of the high level of technical virtuosity and creativity which existed in 1108 A.D. Furthermore, it has given us both a collection to use for later comparative purposes, and a glimpse into Northern Sung China.

**PATTERNS OF RECLUSION IN EARLY AND EARLY MEDIEVAL CHINA: A STUDY OF THE FORMULATION OF THE PRACTICE OF RECLUSION IN CHINA AND ITS PORTRAYAL (CHINA).** 521 PAGES  
BERKOWITZ, ALAN J. (UNIVERSITY OF WASHINGTON).

01091538 ORDER NO: AAD90-06932; INSTITUTION NUMBER 0250. PAGE 3230 IN VOLUME 50/10-A OF DISSERTATION ABSTRACTS INTERNATIONAL.

Towards an understanding of the nature of reclusion, and the formulation of its portrayal, the present study takes a twofold approach. In the first section, the recurrent patterns and themes which underlie both the ideal of and the practice of reclusion in China are investigated. Examples are the Moral Hero, the Paragon of Extraordinary Conduct, and the Perfect Man, as well as their derivatives. When expressed in the principles and conduct of any particular individual,

these formulaic traits may not always be so monolithic as they are when either distilled into specific illustrative examples or compounded into composite umbrella figures, yet they constitute the basic stock from which the image and practice of reclusion in China evolved.

Next, the study identifies stages in the development of the portrayal of the practice of reclusion in China, and establishes that there was a discernable differentiation between abstract ideals about reclusion, and its practice. It is demonstrated that after an initial stage of didactic formulation wherein examples of reclusion are divorced from historical reality, by around the beginning of the Common Era a number of individuals who practiced reclusion as a way of life can be identified. In subsequent ages, substantive reclusion is clearly recognizable as a constituent facet of society, and in post-Han, pre-Tang China, practitioners of reclusion are portrayed as distinct, historical individuals, albeit imbued with familiar thematic patterns. Substantive reclusion is demarcated by the individuals who practiced reclusion as a way of life, and from the Han on there is a distinct corpus of writings devoted entirely to the lives of practitioners of reclusion. These compilations of biographies, and especially the views expressed by their compilers on what constitutes substantive reclusion, are examined as further evidence of the distinctive nature of substantive reclusion. This study also advances some more general observations on reclusion in early medieval China, on reclusion as a phenomenon within the social, political, intellectual, religious, literary, etc. contexts of the times, and on the influence of individual practitioners of reclusion on posterity.

**ISSUES OF PUBLIC SERVICE IN THE THEMES OF CHINESE COURT PAINTING (PAINTING).** 534 PAGES.

JANG, JU-YU SCARLETT (PH.D. 1989 UNIVERSITY OF CALIFORNIA, BERKELEY)

01091387 ORDER NO: AAD90-06375; INSTITUTION CODE: 0028. PAGE 3333 IN VOLUME 50/10-A OF DISSERTATION ABSTRACTS INTERNATIONAL.

This study of paintings produced under imperial and high-level official patronage from the T'ang (618-906) through the Ming (1368-1644) dynasty contributes to our understanding of the functional and commercial aspects of the court artists' enterprise. Investigation into three groups of themes involving issues of public service in the court paintings of the T'ang, Sung, and Ming dynasties reveals the ways in which these paintings were perceived, used, and understood by their contemporaries. The ideals conveyed through these themes were fundamental concerns of China's ruling class, common to all periods. However, they were given different emphases in different periods, depending on the particular historical, sociopolitical, and intellectual contexts in which these paintings were produced.

In the Sung dynasty, old themes in T'ang group portraiture were given new iconographic treatment under different sociopolitical circumstances to offer radically different messages. At the same time, the rise of the new literati-official class, which coincided with the rapid growth of urban centers, prompted the popularity of the ox-herding theme in painting. Ox-herding came to be seen as an ideal alternative to a

stressful bureaucratic career in the big cities. The ox-herding theme was used by scholar-officials to demonstrate that their acceptance of the duty to be benevolent officials did not interfere with their appreciation of the traditional virtue of withdrawal from public life. Different social and institutional changes, following the establishment of the new Chinese Ming regime after the fall of the Mongols, brought about a great demand for another group of paintings, all with the theme of hiring retired worthies to serve in the court. The increase popularity of this time-honored theme in the imperial court during the first half of the Ming dynasty reflects the belief among members of the court circle that the prosperity of the Chinese empire would be ensured by an emperor who could convince virtuous scholars, presently in retirement, to serve in the court under enlightened rulership.

This dissertation investigates and demonstrates the various contemporary meanings and functions of themes in Chinese court painting by reconstructing the circumstances surrounding their creation and defining their relevance to those circumstances.

**THE CASTLES OF SHU: DREAM MOTIVES IN THE POETRY OF LU YOU (1125-1210)**  
(CHINA). 238 PAGES.

**BACKSTROM, MARTIN GERALD** (PH.D. 1989 UNIVERSITY OF CALIFORNIA, BERKELEY)

01091354 ORDER NO: AAD90-06248; INSTITUTION CODE: 0028. PAGE 3230 IN VOLUME 50/10-A OF DISSERTATION ABSTRACTS INTERNATIONAL.

The exploitation of the dream experience by medieval Chinese poets derives from a rich tradition of oneiric literature. Inspired by ancient fu rhapsodies on the Goddess of Shaman Mountain (the Gao Tang fu and Shennu fu)--poems in which the King of Chu enters dreams and attempts to make love to the goddess/vapor who outside of dreams is the mist on the mountainside--poets of the Tang and Song investigate the possibilities of outlandish dream-travel and/or oneiric encounters with lovers and estranged acquaintances. The Southern Song dynasty poet Lu You (1125-1210), who composed over 150 verses on purported experiences in dreams, is the medieval dream-poet par excellence. The dissertation attempts to show how Lu explores, with innovation and ingenuity, various aspects of the dream experience-- and how he converts such phenomena into concrete poetic language for the purpose of elucidating certain personal themes. Lu avails himself; for instance, of dreams to penetrate, and thus satisfy his curiosity about, the Daoist paradises and Buddhist heavens of immortality; he manipulates the shadowy ambiguity, the shifting and blending of frontiers between dreams and wakefulness, to explore the illusions of time and existence; he finds in dreams an excuse to fashion poems on reminiscences of youth, to meet with Daoist adepts bearing useful arcana (Lu was an avid alchemist) and to otherwise assuage certain intellectual (and, occasionally, physical) needs. The dream experience--whether real or contrived--opens up, for Lu You, a wealth of poetic possibilities unknown to his earth-bound colleagues.

Lu You's innovative use of oneiric material also extends into a scientific appreciation of dreams as phenomena to be understood and reinvented for their own sake. In several poems Lu exploits the peculiar

sensory aspects of dreams for their inherent interest, towards no other purpose than the advancement of art.

Biographical material is also provided, with an aim to challenge ossified notions that Lu You was the selfless "patriot-poet" of late medieval China.

**THE ROLE OF CONFUCIAN AND JEWISH EDUCATIONAL VALUES IN THE ASSIMILATION OF THE CHINESE JEWS OF KAIFENG, SUPPLEMENTED BY WESTERN OBSERVER ACCOUNTS, 1605-1985** (CHINA). 331 PAGES

**ABRAHAM, WENDY ROBIN** (ED.D. 1989 COLUMBIA UNIVERSITY TEACHERS COLLEGE)

1066034 ORDER NO: AAD89-13096; INSTITUTION CODE: 0055. PAGE 1057 IN VOLUME 50/04-A OF DISSERTATION ABSTRACTS INTERNATIONAL.

Archaeological evidence dates the existence of Jewish traders from Persia and Yemen in Chinese territory to the 8th century C.E. Although mentioned tangentially in writings by Arab traders and European travellers since the 9th century, it was not until 1605 that the first account of a meeting between a Westerner and a Chinese Jew was recorded. Since that time scores of visitors to China have recorded their observations of the Chinese Jews, charting their course of assimilation into their Chinese environment over the centuries.

While some have attributed the reasons for Jewish assimilation into Chinese society to isolation from the rest of world Jewry since the Ming dynasty (1368- 1644), if not before, or the lack of persecution by the Chinese government, others have posited that their assimilation was due to the fact that the Jews took and passed the Chinese civil service exam in disproportionate numbers to their population, leading to their being assigned cities other than their own, to the Confucianization of intellectuals, intermarriage in their newly adopted towns and the acculturation of the Kaifeng Jewish community which was still under their influence.

After first documenting three hundred years of Western contacts with the Chinese Jews, this study explores the possible reasons behind initial Jewish attraction to the civil service exam at the time they first settled in Kaifeng, during the Song dynasty (960-1279), and to the Chinese educational system which spawned it, maintaining that the educational values held by the Jews at their time of entry into China and through the time they were most likely cut off from the rest of world Jewry, were so similar to those held by the Chinese at the time that it could not have done otherwise.

The historical and cultural basis for the development of both people's educational values, in particular the perceived link between the cultivation of individual and communal ethics through education, and national survival, is explored, as are similarities between Talmudic and Confucian educational traditions, all of which encouraged their participation and success in the civil service exam, and resultant assimilation into Chinese society.

**A SCHOLAR'S LANDSCAPE: SHAN-CHUANG T'U BY LI KUNG-LIN. (VOLUMES I AND II)**  
(CHINA, PAINTING). 447 PAGES  
HARRIST, ROBERT E., JR. (PH.D. 1989 PRINCETON UNIVERSITY)

1057071 ORDER NO: AAD89-08038; INSTITUTION CODE: 0181. PAGE 5 IN  
VOLUME 50/01-A OF DISSERTATION ABSTRACTS INTERNATIONAL.

After earning his chin-shih degree the Northern Sung painter and scholar-official Li Kung-lin (ca. 1041-1106) took the unorthodox step of postponing an official career and retiring to a retreat in the Lung-mien Mountains of Anhwei province. The scenery of this retreat was the subject of Li's Shan-chuang t'u, a long handscroll composition painted after he had left the mountains and was serving in a low-ranking government post. This dissertation is a study of Li Kung-lin's painting and the complex network of cultural and artistic traditions within which it was created.

Chapter 1 is a new biography of Li Kung-lin that concentrates on his career as a scholar-official. This chapter also demonstrates the importance of Li's friendship with Su Shih and Su Ch'ie, who probably were the first to view his painting of the Lung-mien Mountains. Although Li painted both a draft and a final version of Shan-chuang t'u, these scrolls were lost long ago. They are reflected, however, in the six fragmentary copies introduced in Chapter 2, which presents a reconstruction of Li's original composition. Chapter 3 consists of two sections, a history of garden and retreat building during the eleventh-century and a scene by scene analysis of Li Kung-lin's painting. Chapter 4 argues that in order to interpret the pictorial structure of the landscape in Shan-chuang t'u, it is necessary to recognize Li's use of representational conventions seen in vernacular images, such as geomantic diagrams, and in narrative illustration. During the late eleventh century, Wang-ch'uan t'u by Wang Wei and Ts'ao-t'ang t'u by Lu Hung were intensely admired by Li's circle of friends. Chapter 5 examines the ways in which Li Kung-lin's allusions to these paintings by revered hermit-artists enrich the meaning of his Shan-chuang t'u. The conclusion summarizes the importance of Shan-chuang t'u for the history of later Chinese painting and, through a brief case study, demonstrates the far-ranging impact of Li Kung-lin's art among painters not usually considered his followers.

**A BRIEF STUDY ON THE FISCAL ADMINISTRATION DURING THE SONG DYNASTY (960-1279)**, 230 pp.  
BAO WEI-MIN (PH.D., 1988, PEKING UNIVERSITY)

This is a study on the system of fiscal administration during the Song Dynasty. Fiscal administration is one of the most important components of state institution. It is very significant to study the fiscal administration of a certain period in history, for understanding the social economy and state politics, especially the relationship between the state organization as superstructure and the social economy as basic-structure during that period. From the T'ang Dynasty (618-907) on, great changes had been taken place in the social life in China, the state fiscal system developed correspondingly at the same time. The changes from the old "Zu Yong Dial" system to the new "Liang Sui" system and the

kinds of new taxation set up soon afterwards, and the development of governmental organization related to finance, were the two major manifestations. The characteristics of the fiscal system during the Song Dynasty, which had evolved from the system of the T'ang Dynasty, revealed from their own angle that the Chinese society was still in its pre-modern period of development.

This thesis consists of three chapters. Chapter One analyzes the development in the fiscal administration of central government in the Song Dynasty, the causes and the results. In the earlier period of the Northern Song, it was the Three Departments (San Si) that took proper charge of fiscal administration in the central government. The setting up of the Three Departments was an inheritance and summation of the fiscal agency evolution since the mid-T'ang, it was to meet the fiscal need of the government in one way, and satisfy the monarches in taking the fiscal power under their tight control on the other. However, after the reform of Yuan Feng (1082), the organization changed from the Three Departments to the Finance Ministry. There were many historical reasons for the Reform. For those relevant to the finance, we should point out that the major and most important causes were the intention of the Emperor Shen Zhong to perfect the co-operation of finance with the other major state affairs, and the need of the central government to increase its fiscal income. The most influential results of the Reform were: the more active role played by the prime ministers, and more income, more agencies and more confusion in the central fescal administration. This tendency was getting all the more apparent especially during the Southern Song, when the military situation of the country was worsened.

Chapter Two provides an account of the system of local fiscal administration. It deals respectively with fiscal circuit intendency (Zhang Yun Si), prefecture and county. The major responsibilities of the fiscal circuit intendency, the agency of the central authority, were to collect money and supplies from the prefectures under its jurisdiction, and to supervise the fiscal affairs of them. So the intendency had not formed a fiscal administrative level between the central and the prefecture governments that corresponded to other administrative units. Prefecture was the central unit to take charge of local finance during the Song Dynasty. Every prefecture had a budget made by the central authority, it was composed basically of two parts: the money and supplies that should be turned over to the central government, they were usually transported to the capital or other circuits, and the money and supplies that would be used to supply for the local officials and forces under its jurisdiction. Integrated fiscal administrative organization was established, with the prefect as its leading official, and the vice-president (Tong Pan) as its supervisor. As for county, it served basically as the executive setup of prefecture, and did not form a formal and complete fiscal administrative level in the Song Dynasty, though there was a tendency of more independency in the fiscal affairs of county from the Northern to the Southern Song. This local fiscal system made it possible for the central government to have a tight control on the local finance.

In Chapter Three, the evolution of fiscal income allotment between the central and local governments analyzed. It has been pointed out that there were some differences between the concepts of "central finance" and

"local finance", and there was a continued increase of income of the central finance rather than the local finance from the Northern to Southern Song. It was because of the continued expansion of expenditure of the central government. One measure taken by the central government, besides levying more direct taxes on the people, was to compel the local government to turn over more money and supplies to the state, regardless of its own fiscal needs. The effects on state fiscal affairs of this measure were serious: it brought the most serious funds shortage to the local finance, so the local government was compelled to levy exorbitant taxes on its people; it caused confusion and laxation in the local fiscal administration. Five detailed examples of new fiscal collecting items from the local were given in this chapter.

Finally in conclusion, we discussed the most noticeable characteristic of the fiscal system of the Song Dynasty, and hold that this characteristic should be a trend of centralization on a high despotic base. This trend reflected the general features of social and political systems of a despotic state at that time. Furthermore, according to the fiscal history of the Song Dynasty, it is not the various particular institutions, with which the central controlled the local, but the fact that the system ensured continually increased income of the central government, that reflected the high centralization. In a word, we could not find too much sign of rationalization and systematization that was relevant to a modern society in the fiscal practice of the Song China.

*A reflection of the diversity of approaches scholars  
follow in the study of China's past*

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