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## DISSERTATIONS

### 1. Completed

Melvin Thlick-Len Ang, "Sung-Liao Diplomacy in Eleventh- and Twelfth-Century China: A Study of the Social and Political Determinants of Foreign Policy," Ph.D. diss., University of Pennsylvania, 1983.  
328 pp. No. DA8315983

In the early eleventh-century, geopolitical considerations caused the Chinese government to initiate a system of regular embassies of exchange with the Liao. The inauguration of permanent diplomatic relations between the two Courts represented a significant departure from the Sinocentric model of a China at the center of the social and political order.

This study seeks to determine whether this alteration in the pattern of traditional Sino-barbarian relations led to a permanent institutional change or whether it was treated by the Chinese merely as a temporary if necessary expedient.

The investigation moves from the general and theoretical to the specific and quantitative. The first chapter surveys the major theories of Sino-barbarian relations and traditional Chinese relations with Koryo, Annam, the Hsi Hsia, and the Chin. The second chapter presents an historical survey of Sung-Liao relations, including in particular the process by which decades of war were replaced by a century of peaceful diplomatic interchange. The third chapter details the actual process of Sung-Liao diplomacy: The selection of ambassadors; the ranks of appointees; the types of missions; the gifts exchanged; the nature of travel and hospitality.

The final two chapters deal with the diplomats themselves. The fourth chapter presents a number of case studies of Sung ambassadors. An attempt is made to develop profiles of ambassadorial types. The fifth chapter presents the results of a prosopographical study of the careers of 608 ambassadors to the Liao and 341 military intendants who served in Liao-sensitive circuits. The effects of elite status, educational attainment, regional origin, and experience on the subsequent careers of ambassadors are analyzed.

The data suggest that the Liao threat was taken seriously. Significant numbers of men in top policy making positions could boast ambassadorial experience. But these "experienced" bureaucrats did not become "specialists." Nor was any permanent bureau for foreign policy established as a result of the Sung-Liao diplomatic experience.

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Peter Kees Bol, "Culture and the Way in Eleventh Century China," Ph.D. diss., Princeton University, 1982. 694 pp. No. DA8226827.

The eleventh century in China saw the rise of the literati as the political and intellectual elite and the emergence of Neo-Confucianism, two developments which influenced the further course of Chinese history. This dissertation contributes to an historical explanation of these developments by establishing the importance of the idea of culture (wen) and the various activities, such as literature and art, associated with that idea to the understanding of the rise of the literati and their definition of common values.

Su Shih had particular influence in the debates over values which dominated the literati world during the late eleventh century. He persuaded many to accept his standards for cultural activities and he offered his own approach to understanding the Way (tao) as the basis for an integrated human order. Su Shih and his major followers, the Four Scholars, sought to articulate an intellectual position, which all literati could share, which would ensure that literati could realize both the universalistic demands of the Way without ignoring the individualistic and creative demands of culture. They took a position which favored combining the accumulation of knowledge with the intuition of the source of creativity within the self.

Part I establishes the place of wen in Northern Sung. Major theoretical contributions to the concept of wen prior to the late eleventh century are reviewed and an account is given of the various kinds of activities associated with the concept.

Part II traces Su Shih's concern with wen. A general discussion is followed by an account of Su Shih's initial adoption of dual process as an idea for defining both wen and tao and his later development of an idea of how men could replicate the process of the Way in their own lives and in the continuation and transformation of culture.

Part III presents studies of Ch'in Kuan, Chang Lei, Ch'ao Pu-chih and Huang T'ing-chien which focus on the subject's changing understanding of wen and his approach to Su Shih's mature vision of the Way.

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Ruth Wilton Dunnell, "Tanguts and the Tangut State of Ta Hsia," Ph.D. diss., Princeton University, 1983. 409 pp. No. DA8318717

In a reconstruction of Tangut history, focusing on the evolution of the Ta Hsia state in the 11th and 12th centuries, the large body of Soviet scholarship and Russian translation of Tangut-language source materials has

been consulted along with reports of recent archeological findings and other Chinese and Japanese literature on Tangut studies. Thereby an attempt is made to present a narrative of Hsia history from the vantage point of the development of its characteristic political institutions. These are highly syncretic, and reflect the hybrid origins of Tangut society, the versatility of its ruling elite, and the success of their numerous adaptations to an unstable environment. After an introductory survey of the history of Tangut studies, the opening chapter examines the geographical setting of the Hsia state, reviews the debate over the ethnic origins of the Tangut ruling clan, and offers an English translation (from the Russian translation of the Tangut original) of the Tangut ancestral ode (12th century?). Next, the early history of the Tangut tribes in the 7th-10th centuries is summarized. Chapter Four relates the establishment of the imperial Hsia state in the 11th century, and the domestic ramifications of its foreign entanglements with Sung, Liao, and the Kokonor (Ch'ing-t'ang) Tibetans. Chapter Five focuses on the lengthy reign of the Tangut emperor Jen-tsung (r. 1139-93). In Chapter Six, information drawn from the Tangut legal code (translated into Russian but still unpublished) provides the foundation for a survey of the principal political institutions and governing structures of 12th century Hsia. To illustrate the importance of Buddhism at the Hsia court, a translation of the Chinese text of a bilingual stele inscription from Lian-chou (Wu-wei, Kansu) dated 1094 is included in an appendix. In general the Tanguts, Chinese, Khitans, et al were remolded to meet the needs of a state ruled by a semi-nomadic, militarized hereditary elite and sustained by a successful fusion of agriculture and nomadic pastoralism.

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Marilyn Wong Fu, "Hsien-yü Shu's Calligraphy and his "Admonitions" Scroll of 1299. (Volumes I-III)," Ph.D. diss., Princeton University, 1983. 683 pp. No. DA8318718

The subject of this dissertation is the art of the calligrapher-collector-connoisseur, Hsien-yü Shu (1257?-1302). His major handscroll, "Admonitions to the Censorial Officials," dated 1299, is taken as the focal point to study the role which ancient works of art played in the lives of literati in medieval China.

Hsien-yü Shu was one of three great calligraphers of the Yüan (1260-1368), the others being Chao Meng-fu (1254-1322) and Teng Wen-yuan (1250-1358). Hsien-yü Shu was active in a literary circle centered around Hang-chou, the former Southern Sung capital. Unlike Chao, however, Hsien-yü



Shu was born in north China in former Chin (1115-1234) territory, before the unification of north and south in 1276-78 by the Mongols. His official appointments brought him south, and, around 1284, he met Chao Meng-fu in what was to blossom into a significant artistic friendship.

Chapter I presents the historical and artistic background and sources, poems and colophons of the literary circle.

Chapter II reconstructs this circle and its activities as an artistic biography, showing how art works, many extant, attracted intimate gatherings of northerners, southerners and Central Asians.

Chapter III presents a history of the "Admonitions" scroll, establishes its authenticity and that of the fourteen Yüan colophons.

Chapter IV analyzes the stylistic sources of the "Admonitions" scroll.

Chapter V discusses Hsien-yü Shu as a critic, as one-third of his fifty extant examples are colophons to ancient works, particularly from the Tsin and T'ang. The theoretical basis for such analysis is considered.

The following conclusions may be drawn about Hsien-yü Shu's art and the "Admonitions" scroll: (1) its rarity as one of two works in his monumental "regular" script; (2) its reflection of his northern heritage as a transcription of an essay by the Chin scholar, Chao Ping-wen (1159-1232); (3) its perpetuation of the tradition of large writing of the T'ang through Chin; (4) its embodiment for Yüan contemporaries of antique ideals, specifically the Lan-t'ing-hsü, I-homing, and Li-tui-chi; and (5) its summation of Hsien-yü Shu's artistic goals. His famous studio, "Learning Acquired After a Painful Feeling of Ignorance," is appropriately named for his creative integration of northern and southern elements, embracing the art of the past as a source of artistic growth and setting the stage for future Yüan developments.

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Michäel Anthony Fuller, "The Poetry of Su Shi (1037-1101). (Volumes I and II)," Ph.D. diss., Yale University, 1983. 563 pp. No. DA8329215.

Su Shi (1037-1101) was one of the major figures of Song China. He was an important prose-stylist, a calligrapher, and a politician. He was also the premier poet of the Song dynasty. This dissertation is a literary-historical study of Su Shi's shi poetry from his earliest works to those written while he lived in exile in Huangzhōu. The recurring theme in the examination of the ways in which Su Shi's style evolves is the changing role of "inherent pattern" as a mediating term between the poet and the phenomenal world.

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Richard L. von Glahn, "The Country of Streams and Grottoes: Geography, Settlement, and the Civilizing of China's Southwestern Frontier, 1000-1250," Ph.D. diss., Yale University, 1983. 497 pp. No. DA8412442

The "medieval economic revolution" of Song China was in large part a spatial transformation--the shift of the center of gravity of Chinese civilization from the Yellow River valley to the Yangzi River Basin. Economic growth inaugurated an unprecedented phase of frontier expansion throughout South China. In the southwest the Song state and Han immigrants entered into direct competition with the indigenous peoples for lands and resources. This study explores the process of conquest, settlement, and economic exploitation of the frontier zones of Sichuan and Hunan provinces during this period of decisive and sustained colonization. The initial chapters describe the human and physical geography that shaped Han settlement of the frontier. Later chapters detail the history of frontier expansion, particularly during the period 1070-1120, when the Song state assumed the leading role in formulating frontier policy and sponsored an unprecedented wave of frontier settlement. The concluding chapters examine population movements, the introduction of the Han agrarian regime, and the reorganization of space by new towns, routes, and patterns of circulation to measure the extent to which the southwestern frontiers were transformed and "domesticated" by Han civilization. Particular emphasis is placed on the process whereby the role of the frontier as a supplier of raw materials and staple goods to rapidly expanding metropolitan centers of consumption facilitated the integration of frontier areas into the Han world.

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Sungmii Lee Han, "Wu Chen's Mo-Chu P'ü: Literati Painter's Manual on Ink Bamboo," Ph.D. diss., Princeton University, 1983. 395 pp. No. DA8318720

Among the Four Great Masters of the Yüan dynasty, Wu Chen (1280-1354) stands out for painting not only landscape but also numerous monochrome depictions of bamboo. Wu Chen's Mo-chu p'ü (manual on Ink Bamboo), a twenty-two-leaf album of paintings and calligraphy represents not only the culmination of the artist's career, but also the epitome of the scholar-artist ideal by uniting painting, calligraphy and poetry into a single expressive medium.

The thesis presents an in-depth analysis of Wu Chen's ink bamboo paintings with special emphasis given to the Mo-chu p'ü of 1350. This thesis consists of four chapters.

Chapter One, "Ink Bamboo Painting before the Yüan Period," presents an



historical survey of ink bamboo painting prior to the Yüan dynasty to provide a context for understanding the theoretical and artistic roots of Wu Chen's ink bamboo painting.

Chapter Two, "Wu Chen as a Painter of Ink Bamboo," deals with his ink bamboo paintings in chronological order with the exception of the Mo-chu p'u. Wu Chen's artistic and personal relationships with the past and with contemporary ink bamboo painters is examined not only through the paintings themselves, but also through references to these works in Wu Chen's inscriptions and other surviving writings.

Chapter Three, "Chu-p'u or Manuals on Bamboo Painting," examines the tradition of earlier chu-p'u or manuals on bamboo painting in an attempt to establish the uniqueness of Wu Chen's Mo-chu p'u. A survey of the historical evolution of pre-Yüan works belonging to the chu-p'u category is followed by comparative analysis of the Yüan-dated chu-p'u.

Chapter Four, "the Mo-chu p'u: A Descriptive Analysis," is devoted to the analysis of the twenty-two-leaf album of 1350 which represents the culmination of Wu Chen's artistic career. In examining each leaf of the album, a special effort has been made to establish links between the paintings, calligraphy and content of the inscriptions.

This analysis not only sheds light on Wu Chen's own unique conception of the album as a chu-p'u, but also places his Mo-chu p'u at the forefront of a major theme which comes to maturity in later Ming and Ch'ing literati painting, namely, reinterpreting past styles and presenting them in album form.

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James Morris Hargett, "The Poetry of Chen Yu-yi, 1090-1139," Ph.D. diss., Indiana University, 1982. 228 pp. No. DA8301066.

The purpose of this investigation is to present a critical interpretation and evaluation of the poetry of Chen Yu-yi (1090-1139). Like most other shi poets of the Song dynasty (960-1279) in China, Chen Yu-yi was confronted on the one hand with the Tang poetic tradition (i.e., the verse of the Tang dynasty, 618-907), which, by virtue of its excellence and almost universal acclaim, he was expected to emulate, and on the other hand by the new trends in Song poetry to which he was expected to conform. While in theory, Chen advocated a return to the "orthodox tradition" (zheng-tong) of Tang poetry through emulation of Du Fu (712-770), in practice this was not always the case. In fact, a very definite and traceable "tension" manifests itself throughout his works which at times reveals a dominant Song influence, at times a dominant Tang influence, and at other times a mixture of both. The

underlying assumption of this study is that Chen Yu-yi's growth and maturity as a poet can be seen through the interaction and eventual synthesis of these "tensions of influence." Three distinct periods of development emerge in this context which constitute the main outline of my investigation: (1) The Years of Apprenticeship, 1113-1122; (2) The Years of Experimentation, 1122-1126; and (3) The Years of Experience, 1126-1131.

The results of my research can be summarized as follows: The diction, themes, and tone of Chen's juvenilia largely follow the new trends in shi verse which emerged during the Northern Song period. During the years 1122-1125 he began experimenting with poetic structures more closely associated with Tang poetry in general, and with Du Fu in particular. The third and most important period of Chen Yu-yi's poetic activity begins after the fall of north China in 1126. Like many others, Chen was compelled to flee south from the invading armies of the Jin. I argue that it was these very experiences which inspired Chen's "emotional identification" with Du Fu (who also lived through a national crisis as a refugee). Du Fu was openly emulated by many Song poets, but none came closer to capturing the true spirit of the Tang poet than Chen Yu-yi. It is precisely here, I argue, where Chen Yu-yi's importance in the Chinese poetic tradition lies.

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William John Hoar, "Wang Mien and the Confucian Factor in Chinese Plum Painting," Ph.D. diss., The University of Iowa, 1983. 415 pp. No. DA8325155.

In this dissertation the symbolic implications of China's plum painting tradition generally and the plum paintings and poems of the artist Wang Mien specifically are investigated to show that the non-intuitive view of Confucian art is not altogether a correct one. To demonstrate this, the problem is approached from the following perspectives: the artist's biography; China's literary tradition; the artist's poetry; China's pictorial tradition; and the artist's own paintings.

The first chapter seeks to determine whether Wang Mien was basically Confucian or Taoist in his outlook, an important question in light of the fact that the painter is usually considered a Taoist. In his search for the Confucian factor in Wang's biography, the author touches upon the artist's education, his political views, the purpose of his many travels, his dealings with others, and his reclusive lifestyle. Chapter Two proceeds to see if there exists in the plum-theme literature of China a precedent for a Confucian artistic attitude. Focusing on a number of pre-Yüan Dynasty texts, it



is clearly discovered that such ideals as good scholarship, a pure spirit, highmindedness, fortitude and hope are in fact present in intuitive expressions. Chapter Three deals exclusively with the poetry of Wang Mien. In a selection of Wang's poems, the author finds the above ideals reconfirmed. Mindful, however, that such an analysis is not entirely substantial, these conclusions are tested against the life and work of two other Yüan poets, Kao Ch'i and Liu Yin.

Chapter Four traces the history of plum painting from its inception in the T'ang Dynasty to its fullest development in the Yüan. Strengthening still further the tie between an intuitive presentation of the plum and Confucian thought, it is discovered that the plum was ultimately accepted by literati painters and was recognized as having both moralistic and socio-political implications.

Finally, in Chapter Five, the unity of word, picture and calligraphy is looked at in nineteen paintings attributed to Wang Mien. Here is to be found the most complete form of the artist's feelings about himself and his era, revealing again many Confucian penchants.

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Chin-Fu Hung, "The Censorial System of Yüan China," Ph.D. diss., Harvard University, 1982. 263 pp. No. DA8222571.

An important governmental institution with significant political functions in traditional China, the censorial system under the Yüan dynasty (1260-1368) evolved into an essential instrument for the Mongolian conquerors' control over the bureaucracy. Well over one hundred censorial officials from the three differently located Censorates and the twenty-two locally based Surveillance Offices were constantly on inspection tour, examining all governmental documents, trying to seek out all violations of law, so as to purge the wayward officials, maintain the probity of government, and prolong the life of the dynasty.

Annotated translations of forty-four official documents--half of them are in colloquial Chinese translated verbatim from Mongolian--on the censorial institution in chapters five and six of the *Ta-Yüan sheng-cheng kuoch'ao t'ien chang* 大元聖政國朝典章 are included.

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Barbara Kwan Jackson, "The Yüan Dynasty Playwright Ma Chih-Yüan and his Dramatic Works," Ph.D. diss., The University of Arizona, 1983. 196 pp. No. DA8324454.

The birth, flourishing, and decline of Yüan tsa-chü, a form of Chinese musical poetic drama, occurred in the Mongol dynasty of Yüan (1206-1367). Many factors contributed to this phenomenon, not the least of which was the creative genius of the scholar-playwrights, natives of North China and active during the early years of that dynasty. Among the great masters of Yüan drama who contributed to the perfection of this new literary form is Ma Chih-yüan (1250-1322?). His contributions went beyond merely the pioneering of form. He also expanded its thematic scope and exerted a profound influence on later dramatists and poets who cultivated the dramatic and *san-ch'ü* (non-dramatic lyrics) verse types.

Unlike the great poets of previous dynasties who were respected and studied, the playwrights of Yüan times were largely ignored by native literary historians until this century because of the traditional contempt for such "frivolous" skills as the writing of plays. We therefore know very little about their personal or creative lives. Fortunately, in the case of Ma Chih-yüan, over one hundred *san-ch'ü* and seven of his plays have survived. Chapter I contains a chronology of his life based on the scanty data available. Some of his non-dramatic songs are also translated and interpreted to provide additional insight into his sentiments, ambitions, and general philosophical outlook.

The main body of my dissertation examines and evaluates the extant plays, concentrating on the poetic passages which represent the essence of Yüan drama. Plot, plot origins, and the themes of each play are also explored to supplement the discussions of the language. In Chapter II, Ma's most critically acclaimed work, *The Autumnal Palace of Han*, is examined in detail. In Chapter III, I discuss *Tears on the Blue Gown*, the only surviving play which has a female protagonist. In Chapter IV, the similarities and dissimilarities of the three Taoist conversion plays--*The Yellow Millet Dream*, *The Yüeh-yang Tower*, and *Jen Feng Tzu*--and their relationship to the Ch'üan-chén sect of Taoism are explored. Chapter V deals with *Lightning Smashes the Tablet of Chien-fu*, a play about the misfortunes of a scholar and his complaints against an unsympathetic government. In the last chapter, the structurally flawed play *Ch'en T'uan Stays Aloof*, depicting the life of a Taoist recluse, is examined.

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Jennifer Wei-yen Jay-Preston, "Loyalist Personalities and Activities in the Sung to Yuan Transition, CA. 1273-1300," Ph.D. diss., The Australian National University (Australia), 1983. 378 pp.

This dissertation is a study of loyalists during the Sung to Yuan dynastic succession, ca. 1273-1300. By means of an examination of their background and loyalist activities, and a reconstruction of relationships between individual loyalists, I attempt to obtain a broad view of Sung loyalism and its significance to contemporaries and their response to alien rule. After a critical examination of official histories and the writings of the Sung loyalists, I suggest that Sung loyalism should be observed in terms of a spectrum of relative, rather than absolute, values. In addition, the intensity and duration of loyalty changed over time and through circumstances. I delineate three traditions of Sung loyalists in this spectrum: the chung-i loyalists who died during or for the Sung cause; the i-min loyalists who survived the collapse of the dynasty and/or loyalist resistance and lived some years under Mongol rule, and the marginal loyalists (a subgroup of the i-min) whose conduct during their later years drew strong criticism from traditional historians. Contrary to traditional views of Sung loyalists as individuals totally uncompromising to the new regime, evidence indicates that after the defeat of loyalist resistance in 1279, even among the exemplars accommodation was more often the case than resistance.

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Ira Ethan Kasoff, "An Analysis of the Thought of Chang Tsai (1020-1077)," Ph.D. diss., Princeton University, 1982. 394 pp. No. DA821355.

Two schools of philosophy appeared in China in the eleventh-century--one founded by Chang Tsai (1020-77), the other by Ch'eng Hao (1032-85) and Ch'eng Yi (1033-1107). Although each of these schools claimed to be restoring the Way of the ancient sages, both differed greatly from anything that had come before, and both exerted a great influence on the subsequent course of Chinese philosophy. These schools may therefore be considered to mark the beginnings of Neo-Confucianism in China.

After Chang Tsai's death the Ch'eng school became dominant and the great philosophical synthesis of Ch'eng Yi's fourth-generation disciple Chu Hsi (1130-1200) draws primarily on Ch'eng Yi's thought. The thought of Chang Tsai thus has been overshadowed by the Ch'eng-Chu tradition, and has not received the attention it deserves. This dissertation is an analysis of Chang Tsai's thought. It is my view that Chang was a systematic

thinker who, while sharing many of the same assumptions and addressing many of the same problems as the Ch'eng brothers, developed a philosophy which was quite different from theirs.

The first chapter provides a context in which to view Chang Tsai's thought, describing some of the important assumptions shared by many eleventh-century literati and the problems to which those assumptions gave rise.

Chapters II-IV are an analysis of Chang Tsai's thought. Chang's philosophy is based on his concept of ch'i (氣). In his view everything consists of tangible ch'i, which has condensed from the undifferentiated Ch'i of the Great Void. Man also consists of this same ch'i. As such, he shares a basic oneness with everything in the universe. Man retains within him the original Nature of undifferentiated Ch'i, which is perfectly good. He also has a physical nature, the nature of his individual ch'i, which is the source of lust and desires. Therefore, a man must engage in "learning" in order to overcome his physical nature and fulfill the potential of his true Nature. If he is able to "complete his Nature," he is a sage, a fully realized human being. This was the goal which Chang urged his followers to strive for.

The concluding chapter is a comparison of Chang's thought with that of the Ch'eng brothers, and a discussion of some of the factors involved in the rise to dominance of the Ch'eng school.

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Michael Charles McGrath, "Military and Regional Administration in Northern Sung China (960-1126)," Ph.D. diss., Princeton University, 1982. 358 pp. No. DA8303995.

Northern Sung (960-1127) military strength and the civilian character of Sung imperial government are reassessed based on descriptive studies of regional administration (Chapter Two), central and regional military administration (Chapters Three and Five), distribution of military forces (Chapter Four), and military intendants, ching-lüeh an-fu shih, as career officials (Chapter Six). Geographic distributions of military intendants and of imperial armies suggest two distinct systems of territorial administration (border zone and internal) instead of the usual model of circuits uniformly coordinated by fiscal intendants. Evidence from standard primary sources demonstrate the enormous civil and military authority of the military intendants during the Northern Sung. This contradicts usual interpretations of Sung history and requires a new interpretation of the role of fiscal intendants and of the development of territorial administration dur-



ing the Sung. While the office of military intendant was the instrumentality for replacing military governors with civil officials, Sung demilitarization did not eliminate military organizations nor is Sung demilitarization the same as civilianization. Sung military performance may have been no less than most other dynasties when compared in equal terms. Nevertheless the social uses to which the armies were put and the changes in the composition of the emperor's elite advisors are elements that deserve further study. Between 998 and 1108 at least one-third of all councillors of state and commissioners of military affairs had served at least four times as military intendants. The collapse of Northern Sung military effectiveness may be tied to the disappearance of officials with extensive regional military experience from Hui-tsung's entourage of advisors.

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Patrick Edwin Moran, "Explorations of Chinese Metaphysical Concepts: The History of Some Key Terms from the Beginnings to Chu Hsi (1130-1200)," Ph.D. diss., University of Pennsylvania, 1983. 439 pp. No. DA8326318.

Statement of the Problem. A key concept in Neo-Confucianism, "pienhua ch'i-chih chih hsing" (changing the nature found manifest in materialized lifebreath) was previously inadequately explained.

Procedures and Methods. Component ideas were identified and the historical development of each was analyzed to provide a fully grounded understanding of the whole concept.

Results. T'ai-chi or transcendent li (pattern-source) is potential and ground for all being and pattern (li) in the world. T'ai-chi actualizes itself on multiple levels of potentiality-and-actuality from primary yin and yang, which are only actualized to the extent of having the simplest attributes, on down to concrete things, which have relatively little potential remaining. All levels are characterizable in yin-yang terms. The yin-yang pattern of being in the world is hsing (nature). The actuality of being in the word is ch'i (lifebreath). Ch'i exists in fractions of different degrees of substantiality corresponding to various levels of potentiality-and-actuality. Relatively more substantial fractions are called chih (substrate). Chih evolves ch'i, and ch'i condenses to form chih. Ch'i-chih is dual-phase ch'i chih. To transform ch'i chih (connoting character) is to transform its yin-yang pattern on multiple levels of potentiality-and-actuality with the intent of influencing the ch'i (connoting activity) of a being by modifying its chih (substrate). Psychological change involves transmutation of one's ontological underpinning (a clear

consonance with Chinese alchemical tradition). The hsin (heart, mind) is a resonant "structure" in levels of potentiality-and-actuality ranging from the concrete to the t'ai-chi. The final goal of spiritual transformation (pien-hua ch'i-chih chih hsing) is to facilitate awareness of the core source of ethical being.

Conclusion. Previous interpretations that called pien-hua ch'i-chih chih hsing 'changing the physical nature' or 'changing the characteristics of the stuff composed of material force' can be usefully broadened to incorporate the ideas discussed above.

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Janet McCracken Novey, "Yü Ching, a Northern Sung Statesman, and His Treatise on the Ch'i-tan Bureaucracy," Ph.D. diss., Indiana University, 1983. 165 pp. No. DA8406831

The Sung represented a reunification of the Chinese empire by a native dynasty after the disastrous dissolution of the T'ang. But, while the T'ang had been a cosmopolitan, Catholic empire, accepting, embracing and grafting many foreign elements onto Chinese culture, the Sung was an almost reactionary dynasty. The power of the military was drastically curtailed, as were the boundaries of the state. Society was more closed to foreign ideals and customs, more "Chinese" than the T'ang had been. Yet the Sung had to deal with foreign peoples in a way which the T'ang had not been forced to do--as a power among equal, if not superior powers, namely the Liao and Hsi Hsia empires. Within this context of a more closed, Chinese, Confucian society, that was forced to deal diplomatically and pragmatically with other powers, the career of Yü Ching (1000-1064) was typical of these times. He was a native of Kuangtung Province where his family had lived in obscurity since their flight from Fukien during the Huang Ch'ao rebellion. Yet he was able to pass the chin shih examination and embark on a career that would take him into one of the most powerful political circles of the Sung, that of the reformers Fan Chung-yen and Ou-yang Hsiu. He became one of four censors of titular policy in 1043, an appointment reinstituted by the emperor during a time of crisis with the Liao and Hsi Hsia. He was sent three times (1043-1045) to the Liao court because he had mastered their language. Through his role as envoy, he was instrumental in averting domination of the Sung by foreign powers. Thus the focus of this dissertation is the intense political situation, Yü Ching's role in it, and the personalities, both Chinese and foreign, who played major parts. An historical background



is given of the Northern Sung, Liao, and Hsi Hsia empires. Then biographical information on Yü Ching is examined. Following this is the background and an analysis of the political crisis (1041-1045) in which translations of the Sung Shih's account of the decisive battle of Hao-shui Ch'uan and Ou-yang Hsiu's discussion of the meetings between Yü Ching and Liao leaders are given. Finally there is a close translation and annotation of Yü Ching's treatise on the bureaucratic structure of the Liao government which he was able to observe first hand.

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Paul J. Smith, "Taxing Heaven's Storehouse: The Szechwan Tea Monopoly and the Tsinghai Horse Trade, 1074-1224," Ph.D. diss., University of Pennsylvania, 1983. 740 pp. No. DA84066720.

T'ang-Sung China witnessed the unprecedented growth of trade and industry, the emergence of a complex and activist bureaucratic state, and the rise of powerful and unified empires of the steppe. All three trends intersected in Wang An-shih's New Policies of 1068-1085, which sought to reverse potential military disaster by radically expanding the taxing power of the bureaucratic state in order to finance an expansionist policy of defense. This dissertation analyses one representative facet of the New Policies, the projection of state control to the previously untaxed tea industry of Szechwan to finance critical imports of Tibetan war horses from Tsinghai.

The first three chapters provide historical background on the Szechwanese political economy, tea, and Sung horse procurement. They survey Szechwan's economic development from Ch'in-Han to Sung and the creation in the eleventh century of a foundation for centralized taxation through political mobilization of Szechwanese elites; the spread of tea cultivation and consumption from Szechwan to coastal and northern China and post eighth-century devolution of the Szechwanese tea industry with the loss of comparative advantage to the south east; and the unique geopolitical constraints on Sung horse procurement in a multi-state system.

The last three chapters examine the operation and impact of the tea and horse trade. Epitomizing Wang An-shih's theory of bureaucratic entrepreneurship, by monopolizing Szechwan's tea and linking it to the horse and state export trades the Szechwanese-run Intendancy for Tea and Horses stimulated unparalleled levels of tea production, elicited adequate supplies of horses, and generated entrepreneurial profits for the state without impoverishing tea cultivators. But the Jurchen conquest of north China in 1127 eliminated the export market for Szechwanese tea and cut off Sung China from its chief horse suppliers, forcing the intendancy to turn from

entrepreneurship to confiscatory and ruinous taxation, and undermining its capacity to obtain sufficient cavalry horses to meet defensive needs. The tea and horse enterprise offers a paradigm for analyzing the capacities and limits of bureaucratic economic control, and the impact of centralized taxation on Szechwan's millenium-long first cycle of economic development.

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Billy Kee-long So, "Economic Developments in South Fukien, 946-1276," Australian National University, 1983.

Abstract not yet available.

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Marsha Smith Weidner, "Painting and Patronage at the Mongol Court of China, 1260-1368," Ph.D. diss., University of California, Berkeley, 1982. 386 pp. No. DA 8300702.

The Mongol rulers of the Yüan dynasty became actively involved with the visual arts, and this involvement constitutes an important chapter in the history of court painting and patronage in China. Textual evidence concerning their collections and commissions is presented in the first two chapters of this dissertation. The last two chapters examine the achievements of three professional painters who served the Yüan court.

The official collections are introduced through the offices responsible for their management: the imperial Library (Mi-shu chien), the Pavilion of the Star of Literature (K'uei-chang ko) and the Pavilion for the Revelation of Literature (Hsüan-wen ko). Discussion of these offices includes consideration of the contributions of the emperors Wen-tsung and Shun-li and officials such as K'o Chiu-ssu and K'ang-li Nao-nao. A section is also devoted to the influential collector Princess Sengge. Lists of paintings in the imperial collections and belonging to the Princess, compiled on the basis of seals, court records and literary references, indicate the nature of the Mongols' artistic inheritance and permit some assessment of their aesthetic predilections.

A brief review of the state of the arts under Qubilai's predecessors provides a background for a survey of imperial commissions from 1260 to 1368. The religious arts, portraits, and various types of decorative, didactic and documentary pictures were sponsored by the court throughout this period. In citing commissions for such works, note is again taken of the styles and subjects preferred, and reasons for these preferences are proposed.

The three professional artists discussed are Ho Ch'eng, Liu Kuan-tao and Wang Chen-p'eng. Ho Ch'eng and Liu Kuan-tao were active during Qubilai's reign, and were known for their figure paintings. Wang Chen-p'eng, who



served Jen-tsung and Princess Sengge, was celebrated as a chieh-hua master.  
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Michael Edwards Workman, "Huang T'ing-Chien: His Ancestry and Family Background as Documented in his Writings and Other Sung Works," Ph.D. diss., Indiana University, 1982. 277 pp. NO. DA8301129.

My thesis contains the translation and analysis of Huang T'ing-chien's (1045-1105) literary works related to, or by his clan members, intended to show the values dominating his thinking and influencing his poetic theories and practice. Essentially a biographical and genealogical study, this dissertation examines all the primary sources, including Huang's own writings and those of his fellow literati.

A native of Fen-ning, Kiangsi, Huang T'ing-chien was born to a family of middle-class farmers and scholars, who had migrated from Chin-hua (in Che-kiang) around 976. Described by his commanding officer (a northerner), in 1068, as "nothing more than a tea vendor from Fen-ning," Huang epitomized the independent breed of scholar-official from Kiangnan.

Ou-yang Hsiu's "Tomb Inscription for Meng-sheng [Huang Chu]" (1044), T'ing-chien's clan great-uncle, recorded that the Huangs of Fen-ning "shared a love of learning." But none of its members achieved success as scholar-officials. Huang was devoted to his family and relatives whom he commemorated upon their death.

Huang Shu (1018-1058), T'ing-chien's father, wrote a 2-chüan literary work, Honing Sandalwood Collection (Fa-t'an chi). The father's literary influence became an inspiration for the Kiangsi School, whose 'spiritual patriarch' was Huang T'ing-chien.

T'ing-chien's mother, Lady Li (1020-1091), and her two sisters were as accomplished in letters as their brothers. After his father's death, Huang lived with his maternal cousins in Chien-ch'ang, Kiangsi. Su Shih's "Memoirs on Mister Li's Mountain Chamber" praised Huang's uncle Li Ch'ang (1027-1090) as a bibliophile and moral exemplar. Li helped his fatherless nephew to enter the scholar-official world.

In the last chapter, "The Enduring Household," is told the story of T'ing-chien's widowed mother and her children, as seen in the 1071 poem he sent from his sheriff post in Honan to older brother Ta-lin at home. The latter was a farmer-scholar to T'ing-chien's scholar-official. The chapter ends with a review of the lifelong ties between T'ing-chien and his brothers and sisters and their families as seen in the poems he wrote during his first exile in western Szechwan, 1095-1100.

## 2. In Progress

Keven Scott Wong, "Sung Hui-tsung and the Fall of the Northern Sung Dynasty: Taoism and Court Politics," University of Michigan.

The broad focus of this dissertation will be the relationship between religion and politics in premodern China. Specifically, it will investigate the interaction between the Taoist religion patronized by the Sung emperor Hui-tsung and the political events surrounding the fall of the Northern Sung dynasty. While it is generally acknowledged that Hui-tsung embraced the Taoist faith, evident in his assumption of the Taoist title, "August Emperor, Lord of the Tao," the extent to which his Taoist inclinations influenced the manner of his rule is still unclear.

One of the fundamental issues that this study will address is the interplay between a state religion and court politics. To begin with, was Hui-tsung's patronage of Taoism merely one aspect of his personal inclinations and of little importance to the fate of the dynasty? Or, did Taoism prove to be an ineffective state ideology with which to counter the rapid decline of dynastic power? Did Hui-tsung, in fact, allow his attraction to Taoism to take precedence over the impending crisis of an invasion from the north?

To answer these questions, I will analyze the nature of Hui-tsung's patronage of Taoism through a focus on his court-favorite, the Taoist Lin Ling-ssu and Lin's influence on Hui-tsung and the general development of Sung dynasty Taoism. I will also concentrate on the personalities of his ministers and officials, especially the infamous "Six Thieves" (Ts'ai Ching, Chu Mien, Wang Fu, Li Yen, T'ung Kuan, and Liang Shih-ch'eng) and their roles during Hui-tsung's reign. All of this will be set against the backdrop of the Sung court's weakening relations with the Khitan and Jurchen powers and the factionalism that plagued Hui-tsung's court.

By addressing these problems, I hope to bring to light issues that will reveal the nature of the interaction between religion and politics, the importance and impact of a state ideology, and the role of an emperor and his advisors in a time of national crisis. Through this approach, perhaps we can judge fairly the performance of Hui-tsung as an emperor.