

## DISSERTATION ABSTRACTS\*

An, Ok-Sun. Ph.D., University of Hawaii, 1995.

*A Study of Early Buddhist Ethics: In Comparison with Classical Confucianist Ethics.* UnM: AAT 9615506.

The purpose of this study is to explore early Buddhist ethics in comparison with classical Confucianist ethics and to show similarities. The study suggests that the popular belief that the two ethical systems are radically different from each other needs to be reconsidered. When a focus is given to the development, transformation, and realization of the self, a similar framework (except the metaphysical groundworks of morals) is revealed in the two ethical systems. Furthermore, this study intends to reject the popular thesis: early Buddhism is only self-liberation-concerned soteriology and classical Confucianism is only society-concerned thought requiring self-effacement. My understanding of the core virtue of self-transformation is as compassion (*karuna*) in early Buddhism and benevolence (*jen*) in classical Confucianism. So this study is focused on the analysis of compassion and benevolence by examining their metaphysical grounds, their functional mechanisms, their applications, and their meta-ethical nature. The metaphysical groundworks of morals (and so of the virtues of compassion and benevolence) are explained in terms of the rebirth and karma theory, and the theory of Mandate of Heaven. For a person to develop and achieve these core virtues, this study shows the significant role of self-restraining or self-overcoming, the principle of extension from near to far, self-oriented motivation for the core virtue, both-regarding position (self-regarding and other-regarding), and the important role of both sympathetic feeling and reason. In the domain of social interaction, compassion and benevolence appear in the area of education and politics as tools for achieving happiness for both oneself and others. In politics, the paradigmatic model is adopted: a ruler as an embodiment of the virtue rules a country by being a moral example to the people. The analysis of the core virtues in terms of moral objective shows the inseparability of factual knowledge from moral practice, the universal acceptability of the

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virtue, and the possibility of maintaining objectivity by taking both-regarding action.

Asselin, Mark Laurent. Ph.D., University of Washington, 1997.

*"A Significant Season": Literature in a Time of Endings: Cai Yong and a Few Contemporaries.* UnM: AAT 9736238.

The years 159 to 192 C.E., from the palace coup overthrowing Liang Ji to the assassination of Dong Zhuo, form a distinct epoch marked by sociopolitical calamities that presage the end of the Han era. Literary works by Cai Yong (132/133–192) and some of his contemporaries, Zhao Yi (ca. 130–ca. 185), Zhu Mu (100–163), and Zhang Chao, invest the tragic course of the times with a significance derived from a perception that these events signal a great change; some kind of “ending” is inevitable and imminent. In *The Sense of an Ending*, Frank Kermode describes *kairos* as “a significant season . . . , charged with a meaning derived from its relation to the end.” This is a useful way to describe the epoch of late second-century China. In this context we can call a literature that reveals its writers’ beliefs about the future—their own fate or that of their society—by reflecting on and extrapolating from their memories of past events and perceptions of present circumstances, “kairotic literature.” The epoch of 159–192 witnessed the emergence of a kairotic literature. Each of the chapters in this study focuses on a different issue associated with the late Han *fin de siècle*—the sociopolitical and literary background of this period, the political crisis at court, the end of the “Confucian” orthodoxy, emerging individual sensibilities and cultural “decadence,” and filial piety and death. The literary works treated herein are all united by the act of creating a concord between past (shared cultural and historical memory), present (social and political crises), and future (the increasingly apparent end of the era). This study also concludes that in this period there was a shift in the center of clerisy-written literature from the court to “public” exchange, i.e., circulation of works among members of the clerisy class. Thirteen appendices accompany this study, consisting of detailed annotated translations of the works discussed in the text.

Burkhouse, Jessica C. A. Lucas. M.A., San Jose State University, 1997.

*Finding the Tibetans in Ancient History, Pre-Historic Era to 200 c.e.* UnM: AAT 1388174.

This thesis addresses the topic of the early history of Tibet from the prehistoric period to 200 C.E. and the factors that led to the development of an early Tibetan culture. It examines the Neolithic period, the spread of the Tibetan peoples from the Tibetan Plateau into China, the

development of tribal associations of the Tibetans, especially the Ch'iang and Ti tribes, the influences of the Bon shamanist religion, the development of trade routes across Tibet, and the role of the Tibetans during the expansion of Eurasian trade throughout the period. Research reveals that a culture developed on the Tibetan Plateau as early as the fifth century B.C.E. that may be defined as Tibetan and that it played a major role in the development of Tibetan and Chinese civilization. At the same time it sustained a distinctive and separate identity.

Chen, Wei-Chun. Ph.D., The University of Arizona, 1998.

*Models of Prehistoric Land Use in the Gaoping Region, Southwest Taiwan.* UnM: AAT 9901765.

With its unique geomorphic setting and extended settlement history, Taiwan has yielded an unequivocally rich archaeological record. In addition, numerous historical documents, demographic census records, ethnographic data, and geological information provide supporting evidence for archaeological interpretation. This study has systematically surveyed the west part of the Gaoping region. Results are used to compare with the existing archaeological sites from other parts of the region. After having both natural and cultural formation processes examined and their impacts on archaeological records assessed, and based on site spatial distributions and their temporal placements, this study then generates three hypothetical models—namely the demographic, the ethnographic, and the geographic—to interpret and explain site distribution pattern across space through time. The potential of archaeological research in Taiwan is emphasized and further research inquiries are addressed.

Chong, Chaehyun. Ph.D., University of Hawaii, 1997.

*Abstraction and Theories of Lei (Classification, Kinds): A Response to Chad Hansen's Mereological Interpretation of Ancient Chinese Philosophy.* UnM: AAT 9733601.

My aim in this dissertation is to challenge Chad Hansen's mereological interpretation of ancient Chinese philosophy by providing my own interpretation based on theories of *lei*. Hansen's mereological interpretation is composed of two radical claims: One is to say that since ancient Chinese philosophy is dominated by nominalism, we do not have to introduce any abstract entities in interpreting ancient Chinese philosophy. The other is to say that Chinese nominalism is mereological. Against Hansen's first claim, I argue that since (1) nominalism does not always go along with the non-commitment of abstract entities and (2) ancient Chinese philosophy shows the commitment to abstract entities despite

its nominalistic trend, we need to introduce abstract entities in our interpretation of ancient Chinese philosophy. Against Hansen's second claim, I argue that Chinese nominalism is based on theories of *lei* instead of mereology. Chinese *lei*-based nominalism is more like traditional forms of Western nominalism in (1) that it is the scheme of individuals/similarities-among-individuals and (2) that it emphasizes the conventional characteristics of determining similarity. Nevertheless, this dissertation prefers the Chinese term "*lei*" instead of the Western term "similarity" because the former better discloses Chinese contexts without unnecessary Western imposition. My *lei*-based interpretation is suggested with regard to three realms. These realms are linguistic features of Classical Chinese, theories of language in ancient China, and philosophical doctrines in ancient China. A close examination on linguistic features of Classical Chinese (the so-called ideographic characteristics of Chinese characters, absence of grammatical inflection of Chinese characters, and mass-like features of Chinese nouns) shows that these features simply disclose the conventional characteristics of Chinese characters, the pragmatics—priority conception of language, and individual/similarity semantical scheme, not the mereological scheme. In my discussion of theories of language in ancient China, I claim that besides Hansen's four Chinese assumptions about language (the regulative function view of language, the dividing and discriminating function view of language, conventionalism, and nominalism), we also should emphasize the relativity of language, the articulatory nature of language, and the semantic role of *lei* as typical Chinese assumptions about language. All of these Chinese assumptions show why *lei* came to play a central role in Chinese theories of language. Lastly, I examine not only Hansen's favorite example which he uses to support his interpretation—Gongsun Long's white horse paradox—but also Mencian theory of human nature and Neo-Mohist theory of disputation, in order to show that *lei* was a theory of classification extensively discussed among ancient Chinese philosophers.

Csorba, Mrea. Ph.D., University of Pittsburgh, 1997.

*The Identification of a Non-Dynastic Burial Practice Involving a Northern Tool Tradition on China's Dynastic Frontier (Changping Baifu, Beijing)*. UnM: AAT 9821311.

The 1976 excavation of a site in Changping Baifu, Beijing district, unearthed two well-preserved burials with Chinese-style artifacts and burial features associated with the late Shang and early Western Zhou dynasties (c. late 2nd millennium B.C.E.) in the Central Plain. A handful of non-Chinese implements and their placement in both tombs in close proximity with the interred, however, cast doubt on the Chinese excavators' assessment that the site is dynastic Chinese. Chapter One argues

that the Baifu tombs differ in tool tradition and burial custom from those associated with late Shang and early Western Zhou dynasties established in the Central Plain. The types of non-dynastic implements and their consistent placement in the Baifu tombs align the site with other non-dynastic burials in China's northern frontier zone. The data suggests that rituals of an extant burial system were being followed—evidence for the existence of a non-dynastic Northern culture in the late 2nd millennium B.C.E. on China's northern frontier. Chapter Two establishes a model for the material culture and burial customs of the Shang and Zhou at the core of Chinese dynastic civilization. Chapter Three examines Shang and Zhou burial practices and investigates peripheral tombs of the Shang and Zhou to confirm that the Central Plain model is maintained at Chinese outposts on the frontier. Chapter Four reviews the archeological report from Baifu. I identify differences between the Chinese model and the model presented by the Baifu site, and in Chapter Five survey Northern burials with artifacts of similar type and style for supporting evidence of the Baifu burial practice. Chapter Six determines that Baifu also participated in a regional culture that developed prior to and apart from dynastic civilization. The data from Baifu and other Northern sites part the curtain on a culturally inter-related group of non-dynastic sites in China's Northern Zone in the late 2nd millennium B.C.E., centuries before the historic confederation of non-Chinese Northern populations under the Xiongnu in late 3rd century B.C.E..

Della Croce, Anthony. M.A., The University of Arizona, 1995.  
*Zhoukoudian: A Synthesis of Research to Date*. UnM: AAT 1378296.

The site of Zhoukoudian has been studied for over 70 years. During this time, a great deal of change has occurred in both analytical methodology and paradigmatic models concerning human prehistory. Zhoukoudian presents an opportunity to study both issues of early hominid behavior and the evolution of palaeoanthropological, geological, dating methodology and palaeoenvironmental research over the last eight decades. Zhoukoudian was the first site to exhibit verifiable evidence for the presence of early hominids in East Asia (more than 45 individuals). The site has been established as containing Middle and Upper Pleistocene components. The majority of these (e.g., Locality 1) fall within a Middle Pleistocene context, while the Upper Cave represents an Upper Pleistocene occupation of the site. Modern studies are suggested in light of the recent reworking of some fundamental concepts at Zhoukoudian. These include evidence for hunting vs. scavenging, fire usage and duration of occupation of the site by early hominids, all of which need reevaluation.

Dong, Zhuan. Ph.D., Indiana University, 1996.

*Looking into Peking Man's Subsistence: A Taphonomic Analysis of the Middle Pleistocene Homo Erectus Site in China.* UnM: AAT 9637519.

Hundreds of hominid fossils and hundreds of thousands of stone artifacts and associated animal bones have been unearthed from the Peking Man (*Homo erectus pekinensis*) site, at the Village of Zhoukoudian, near Beijing, China. The animal bones were traditionally interpreted as hominid food refuse as well as evidence of hunting by the hominids. This traditional view has been questioned more recently. The new interpretation is that perhaps carnivores more than hominids contributed to the collection of animal bones at the site and that the hominid's subsistence on animals, if any, was based on scavenging rather than hunting. In order to effectively evaluate the two alternative interpretations and to examine Peking Man's subsistence closely, I conducted a systematic study of the faunal collection with explicit taphonomic questions in mind. I examined more than 2,000 animal bones available from the site. The study involved pattern detection and interpretation within the animal bone assemblage in the areas of species abundance, body part representation and preservation, age structure and sex composition of the two most common deer species (*Megaloceros pachyosteus* and *Pseudaxis grayi*) as well as the surface modification and breakage of the bones. Important research findings include: (1) The roof of the Zhoukoudian cave had openings during the period of Peking Man's existence; (2) Cranial parts dominate over post-cranial elements for the two most common deer species; (3) The age profile is prime-dominated for both deer species; (4) No definite stone-tool cutmarks were identified; (5) Very few animal toothmarks were present; (6) There appear to be more females than males for *Megaloceros* and more males than females for *Pseudaxis* in the collection, and *Megaloceros* probably had less dental size sexual dimorphism than *Pseudaxis*. These findings from the faunal assemblage and the presence of large quantities of stone artifacts suggest that both hominids and carnivores were involved with the faunal assemblage. However, this involvement was minimal, and scavenging was probably the predominant means by which the hominids obtained animal food. A natural trap scenario is proposed for the site formation process; from time to time, animals fell down to the cave through the holes and fissures in the roof (maybe a few animals every hundred years), both carnivores and hominids occasionally and opportunistically scavenged on these animal carcasses. A future study of new material from fresh excavations at Zhoukoudian using similar methodologies is suggested to refine the current understanding of Peking Man's subsistence.

Ferris, Yeoun Sook. Ph.D., Trinity Evangelical Divinity School, 1998.  
*An Examination of Some Themes in the Confucian Classics with respect to Missiological Implications for the Issue of Ancestral Rites.* UnM: AAT 9826876.

The Chinese ancestral rites, heavily influenced by Confucianism, are often perceived as a major problem for Christianity in East Asia. The intent of this study was to compare and contrast some basic themes in Christianity and classical Confucianism, and to note some of the missiological implications that come from such a study. The study was guided by the following issues: What are the dominant themes, beliefs and values, with significance for ancestral rites, in the Five Classics and the Four Books of classical Confucianism? To what extent do the themes, beliefs and values of the Classics show respect or reverence for the ancestors? To what extent do they reflect worship of ancestors? In the first section, chapters 2–4 set the basic framework for constituting a review of precedent literature in dealing with Confucian worldview, contextualization, and certain Biblical/theological themes. Chapter 5 presents a case study of Matteo Ricci on contextualization in China as a very useful illustration of the very themes and issues of the study. In the second major section, as the heart of the study, chapters 6–7 are focused on analyzing the Classics and theological/missiological evaluation of the data relating to filial piety and assumptions underlying ancestral rites. Also, as an incarnational approach to cross-cultural ministry, a critical contextualization is proposed in chapter 8. A significant conclusion from this study is that Confucius himself and the post-Confucius Confucian tradition (Mencius) put a special emphasis on sincere reverence and vital remembrance with natural affection for the departed as the key elements in performing ancestral rites (*Analects, The Doctrine of the Mean*, 19:1–5; *Great Learning*, 9:1; *Mencius*, 4A:27–28; 5A:1). Burdensome rituals performed by the living in order to receive some benefit from the deceased ancestors were considered irreverence (*The Book of Historical Documents*, 4:8; *Analects*, 19:14–17; *Mencius*, 7B:33). Reverential rites result in peace and harmony among the people (*The Book of Historical Documents*, 5:8; *Great Learning*, 9:1). Hence a deeper study of the Classics indeed is a very helpful step in developing a much broader (evangelical) response to the problem of ancestral rites in Chinese/Confucian contexts.

Ge, Yan. Ph.D., University of Pittsburgh, 1997.  
*The Coexistence of Artistic Styles and the Pattern of Interaction: Sanxingdui during the Second Millennium B.C.* UnM: AAT 9909554.

The discovery of Sanxingdui unexpectedly revealed an urban center in the Chengdu Basin. Equally unexpected, indigenous and Shang style artifacts coexisted at the site, and with the Shang works serving local

purposes. From the perspective of interaction, this study is an attempt to understand how and why this society was able to maintain its artistic identity while engaging in interaction with the more complex and powerful Shang. The Chengdu Basin, known for its self-sufficient environment, was in a landlocked setting. During the third millennium B.C., if not earlier, communities there became stratified and developed distinctive symbol systems. It was not until the next millennium that Sanxingdui connected with the middle-Yangzi region. Later the Sanxingdui complex gained regional dominance and was in extensive interaction within the basin and beyond. The mid-Yangzi areas, where communities grew rapidly after stimulation by the Shang, may have served as providers of Shang casting technology and artifact types to the Chengdu Basin area. Nevertheless, Sanxingdui was neither a Shang colony nor its direct exchange partner. Inter-regional contact served as a resource that strengthened Sanxingdui's position in a competitive regional network, which may have supplied subsistence goods and other materials. Studies of the Pacific Northwest, Burma and Mesoamerica, where elite arts in the less complex groups were assimilated by more complex partners, suggest that the changes of those elite arts are a parameter of interaction. Variables significant to the changes are: (i) base and level of social development of participating communities, or base of interaction; (ii) demand generated by the development, or motivation of interaction; (iii) resources available, or materials in exchange; and (iv) form of interaction, such as migration, warfare or trade. By comparison, Sanxingdui was among highly stratified local communities with an entrenched symbolism; was in a self-sufficient environment; was in indirect contact with Shang; and was, therefore, allowed to develop continuously the indigenous identity while making use of "outside" art for its own sake. Methodologically, this dissertation is characterized by its interpretation of interaction in a regional context and its modeling of archeological questions about ancient art.

Gu, Linyu. Ph.D., University of Hawaii, 1998.

*Time and Self in Whitehead, Yi (Change) And Zen: A Comparative Study.*  
UnM: AAT 9829557.

The present dissertation is a comparative study on the issues of time and self in Alfred North Whitehead, the *Yi Jing* in Chinese philosophy, and Zen in Nishida Kitaro and modern Japanese philosophy. By reinterpreting Whitehead's process metaphysics from the perspectives of the above selected Asian traditions, I suggest that, on the one hand, similar to Chinese *Yi* and Japanese Zen philosophies, Whitehead regards time and self as the holistic experience of self-transformation; however, on the other hand, he overlooks the practical dimension of specific human

existence which significantly characterizes the moralistic experience of self-cultivation in the *Yi Jing* tradition and the religious experience of self-negation in Nishida and the Kyoto school. From this perspective, I further conclude that Whitehead's organismic philosophy can be reconstructed by appropriating the major themes of the *Yi* theory on time in classical Chinese philosophy and Zen doctrine on self in modern Japanese philosophy. In doing so, the contribution of my work is to develop an original approach to Whitehead through a comparative study on the unity of time and self, which would also contribute to a new dialogue for Chinese *Yi* and modern Japanese Zen thinking.

Ho, Shun-Yee. Ph.D., The University of Wisconsin, Madison, 1997.  
*Symbolism In the Religious Poems of the Book of Poetry*. UnM: AAT 9724809.

The goal of this research is to explore beliefs of the Zhou people by attempting to decode religious symbols in the *Book of Poetry* (c. 1100–600 B.C.). Symbols, pointing beyond themselves, are the best vehicles for the expression of religion, which contains both the character of concealment and of revelation. Broadly speaking, the sacred essence embodied in symbolism has often been a kind of cultural essence, because religion itself is a way to face life's challenges and religious norms influence people's behavior. Moreover, sacred symbols have formed a comprehensive network composed of countless objects and acts in people's daily lives. Thus whether from a spiritual or material dimension, religious symbolism is an effective key to disclosing man's ideas and emotions in the past. An analysis of the major symbols in the religious poems of the anthology reveals a spiritual utopia which is at once holy and secular. The Zhou, at the core of their religion, believed that the supreme Heaven, gracious and authoritative, granted blessings upon man and that the ancestral spirits kept protecting their offspring in the numinous world. On the one hand, the worshippers responded by establishing communication with the spirits, expressing man's sincere gratitude, and, in a mystical sense, seeking harmony from the divine. On the other hand, pious sacrificers expected practical rewards, especially wealth, prosperity, and longevity. Such wishes were only realized had worshippers pleased the divine by presenting rich offerings and by following Heaven's moral rules. The symbolic order was so simple, rational, and sacred that it was not sufficient to embrace sophisticated ontological quests, frenzied ritualistic practices, and sheer humanistic concerns—elements which might have been found in the symbolic worlds of other cultures and in belief systems not represented in the *Shi jing*. To conclude, in Zhou culture as embodied in the *Book of Poetry*, the secret to facing life, no matter how good or bad, was an ever-bright world dominated by an ultimate power.

Hong, Po-Man. Ph.D., Chinese University of Hong Kong, 1997.  
*A Study of the Word Families in the Bronze Inscriptions*. UnM: AAT 9908123.

With the development of human civilization, man has to express more complicated ideas and concepts. Language, words and characters have to develop to accommodate such development in human civilization. More and more characters were coined. Chinese linguists have been trying to explain the development of Chinese characters and the possible relationships among the different characters. Since the Han Dynasty, various approaches have been explored. Some Chinese linguists tried to trace the development of Chinese characters and language through in-depth study of ancient Chinese classics. Others approached the issue from the viewpoint of Chinese phonetics. All these form the solid bases of Chinese etymology. As bronze inscriptions are of an amount significant enough to be worth in-depth studies, they form an important area of study in the field of ancient linguistics. The present thesis attempts to focus on the word families in the bronze inscriptions in the Pre-Chin Period. The thesis is divided into the following sections: (1) To argue against the traditional concept of the origin of language and its relation with root morph. (2) A brief review of the main studies on Chinese etymology since the Han Dynasty. (3) To define the terms "word family" and "character family". (4) To discuss the basic factors of the formation of "word families" are transfer of the meanings of words and the generative and productive nature of Chinese characters. (5) To examine 108 characters in bronze inscriptions in depth. (6) Based on the above studies of the 108 characters, some ways that the word families formed are described.

Hu, Shikai. Ph.D., University of Toronto, 1995.  
*"The Wise Ruler Disciplines His Officials, Not His People": The Treatment of Official Malfeasance in Early Chinese Law*. UnM: AAT NN02772

The importance of official malfeasance in traditional Chinese law is shown by the surprisingly large quantity of rules concerning it and the complexity and sophistication of these rules. This emphasis on official malfeasance and its codification into various forms of criminal and administrative laws indicate one of the chief characteristics of the traditional Chinese legal system: the practice of regulating officials rather than the people. This practice has rarely been acknowledged or studied, although it is an essential aspect of the Chinese legal tradition and crucial for gaining insight into it. This study attempts to fill the lacuna by examining the origin and major stages of development of the official malfeasance in early Chinese law, from earliest times to the T'ang Dynasty

(A.D. 618–907). The genesis of the law on the treatment of official malfeasance is traced in as much detail as sources will allow, but the focus is placed on an extensive exploration of the treatment of official malfeasance as well as of official crimes other than malfeasance under Ch'in State law (?–221 B.C.) as revealed in the Yun-meng texts and under the T'ang law as revealed in its Code of A.D. 653. This study provides a new perspective on traditional Chinese criminal law by using fundamental legal concepts in modern criminology not as the standard but rather as the format for systematic research. It thus explains the law by dissecting it into its three major components: crimes normally included in the criminal code, crimes concerning family relationships, and crimes concerning bureaucracy. Official malfeasance, the main system of negative sanctions for bureaucratic control, and the crimes concerning family ethics developed not only in different directions but also under different guiding principles. The former ultimately received greater emphasis than the latter and became the central feature of the law in its evolution. Traditional Chinese law thus served primarily as a tool for the internal organization and maintenance of the state bureaucracy.

Hu, Xin. M.A., California Institute of Integral Studies, 1996.  
*A Study on Confucius' Philosophy of Junzi (The Gentle Person) in the Analects.*  
UnM: AAT 1379191.

This presentation is the most comprehensive study on Confucius' philosophy of *junzi's* personality from a contemporary perspective of hermeneutics. Primary concern is on the integrated personality of *junzi* who possesses the qualities of *ren* (humaneness), *zhi* (understanding), and *yong* (courage) which are unified by the principle of *li* (propriety). In the *Analects* the concept of *li* is equivalent to the notion of *zhongyong* (central harmony) in the *Doctrine of the Mean*. It not only serves as the cosmological principle of Confucius' teachings but also the methodological foundation for his philosophy of *junzi* who embodies a perfect harmony between heaven and earth, society and individual. Confucius' *junzi* is not only the socio-political standard of excellence but also the ethico-spiritual ideal; it can help shape our post-modern information society.

Im, Manyul. Ph.D., The University of Michigan, 1997.  
*Emotion and Ethical Theory in Mencius.* UnM: AAT 9811103.

Early Confucian thought is still not completely understood. This is particularly so, I argue, in the case of Mencius (or Meng Zi, ca. 372–289 B.C.E.), who was the first prominent follower of Confucius. I present a

new reading of this early figure. The key problem in traditional analyses is in attributing to Mencius the view that a person's motivational capacities, especially her emotions, require cultivation in order for her to act and feel correctly. That reading, combined with certain important passages of the text, make it seem that Mencius is quite simply confused. For he seems in those passages to exhort people to do and feel what is right even though it is clear that they lack the kind of cultivation Mencius's view supposedly requires. What is more, he quite obviously expects such people to be able immediately to do and feel what is right. Once we leave the cultivation reading behind, I argue, pieces of Mencius's fall into place and a more or less systematic ethical theory begins to form. Far from being confused, I argue, Mencius combines a psychologically realistic account of the morally virtuous person, i.e. one which recognizes human limitations with respect to our emotional lives, with a plausible account of the control that we have and the responsibility that we bear for how we feel or don't feel toward one another.

Kline, Thornton Charles, III. Ph.D., Stanford University, 1998.  
*Ethics and Tradition in the "Xunzi."* UnM: AAT 9908794.

This dissertation examines ethical theory and its relationship to tradition in the philosophical writings of Xunzi, a Chinese philosopher of the fourth century B.C. We begin by placing Xunzi's writings in the context of the ethical debates occurring in the early Chinese philosophical tradition. Within this tradition, Xunzi's writings constitute the last and most sophisticated defense of Confucian moral cultivation against various challenges, both internal and external to Confucianism. After explaining the context in which Xunzi writes, we develop an interpretation of Xunzi's ethical theory. Xunzi's ethical theory includes a conception of human nature, a theory of moral psychology, and an understanding of moral cultivation. When woven together, these elements create a theory that explains not only the synchronic aspects of moral agency, but also the diachronic aspects as well. Further exploring the diachronic aspects of moral agency, the last section of the dissertation examines Xunzi's use of craft metaphors to describe the relationship between tradition and ethics in his theory. Tradition and the mechanisms for transmitting ethical knowledge from generation to generation are an integral and necessary component of Xunzi's ethical theory. Without understanding the interrelationship of these various elements of Xunzi's philosophy we fail to fully appreciate his ethical theory.

Lee, May. Ph.D., California Institute of Integral Studies, 1998.

*"The Great Learning": Confucius' Implicit Integral Psychology of Individuation Amplified Through Jung and Aurobindo.* UnM: AAT 9837710.

Go, little book . . . —Geoffrey Chaucer. Individuation is everybody's business in life. Ordinarily, individuation means to fulfill our potential. Psychologically, it means to become whole. To become whole we must know of its meaning, context and direction. Among those to offer guidance is Confucius of fifth century B.C.E. China, whose influence is still palpable, but disregarded. To non-Chinese, he appears "ethnic" or academic; to the Chinese, *pas*se and incompatible with modernity. Furthermore, gulfs in language, culture and worldview preclude us from receiving his true import. But just as contemporary cosmopolitanism relegates Confucius to bookshelves, so from the global village comes rescue to invite him to wider practice—in the discoveries of Swiss psychologist C. G. Jung (1875–1961) and Indian sage Sri Aurobindo Ghose (1872–1950). A comparison between the original texts of Confucius and their renditions reveals that much is inadvertently lost in translation and the conversion of cultures. To address the need to re-introduce Confucius as a psychology of individuation, this study attempts three angles: (1) to lay out Confucius' own blueprint of individuation from the *Daxue* (*Ta Hsueh*—The Great Learning), supported with passages from the *Zhongyong* (*Chung Yung*—The Doctrine of the Mean) and the *Lunyu* (*Lunyü*—The Analects); (2) to elaborate his psychological perspectives with the insights of Jung; (3) to present the teleology and significance of ordinary life through the integral psychology of Sri Aurobindo. This three-way amplification not only brings Confucius into the twentieth century, but also corroborates for us a universally true picture of the nature of being human, individual and collective. Where the three differ, we encounter cultural and interpretative variations of the same ground from which they derive their systems. As a seminal effort to present a rounded rendition of Confucius' guide to individuation, this synthesis hopes to reveal the psychological value of his enduring system, with the intention to open a dialogue to benefit our contemporary quest for wholeness.

Lewis, Candace Jenks. Ph.D., New York University, 1999.

*Pottery Towers of Han Dynasty China.* UnM: AAT 9917060.

Some of the most remarkable burial objects (*mingqi*) from early Chinese tombs are the tall pottery towers (*taolou*) created during the Han dynasty (206 B.C.E.–220 C.E.). In the prevailing view, these pottery towers, along with other architectural *mingqi*, have been considered a critical source

of information about the architecture of the Han period. While there is truth in this view, a significantly different interpretation of the architectural burial objects emerges from this comprehensive analysis. This dissertation presents a history of scientifically-excavated pottery towers and examines the complex and, sometimes, ambiguous meanings of the towers in relation to Han culture—its artisans, patrons, and religion. The study has established that pottery towers were made from the end of the Western Han (first century B.C.E.), attaining greatest popularity during the turbulent years of the late Eastern Han (second century C.E.), and continuing for several decades into the third century C.E. A total of 119 towers of the Han and immediate post-Han periods have been identified and categorized by regional styles. Artisans who made the pottery towers were anonymous craftsmen—working in local workshops away from the sphere of influence of the court, but utilizing the court factory techniques of mass production and modular construction. The patrons of the Western Han period came from a small corps of the middle levels of the élite, and during the Eastern Han from a very large segment of the nation's élite. By the Eastern Han dynasty (first and second centuries C.E.) this group included high-level bureaucrats, land-owners, merchants, the military, and even one royal prince. In the interaction of artisans and patrons, local traditions, not centrally-controlled court traditions, largely determined the design of the works. Accordingly, the iconography of the pottery towers can be identified as non-scholastic in origin, with two main subjects—the *mingtang* (Bright Hall, a traditional ritual structure with cosmological significance) and the *taicang* (Great Granary, a building symbolizing food and wealth). Both have been characterized as popular utopian visions, expressing hopes for a bountiful and harmonious existence in the afterlife.

Liang, Chin-Hsien Joshua. D.Miss., Reformed Theological Seminary, 1995. *A Missiological Study on the Ethical Teachings of Jesus and of Confucius: Deriving Elenctic Implications from Comparative Ethics*. UnM: AAT 9522044.

The purpose of this research is to derive elenctic implications from the comparative study of the ethical teachings of Jesus and Confucius. Chinese pastors in Taiwan have a tendency to overlook the use of their culture in evangelizing their own people. This research offers useful information for deriving elenctic implications from the comparative ethics of Jesus and Confucius. The following research questions guide the study: (1) What is the concept of elenctics? (2) What are the ethical teachings of Confucius? (3) What are the ethical teachings of Jesus? (4) What are the similarities and the differences between the ethical teachings of Jesus and of Confucius? (5) What are the elenctic implica-

tions from the study of the comparative ethics of Jesus and Confucius? The publications concerning the ethical teachings of Jesus and Confucius are analyzed and compared in the following categories: cardinal virtue, social ethics, political ethics, motives, and the way to meet the ethical demands for deriving elenctic implications. The publications related to the concept of elenctics are also presented in this study.

McGrath, Martha Dawn. M.A., Memorial University of Newfoundland, 1996.

*Emotions in the Zhuangzi*. UnM: AAT MM17618.

The primary purpose of my thesis is to address the lack of critical scholarship concerning emotions in classical Chinese texts. I do this by examining emotions in three texts: the *Zhuangzi*, the *Mencius*, and the *Xunzi*. I use the *Zhuangzi* as my primary text and the others for comparison. There are four sections. The first section describes the character *qing* and its use as an "umbrella" term for emotions in Warring States texts. The second section reveals that there are certain implied assumptions regarding the nature of emotions shared in the *Zhuangzi*, the *Mencius*, and the *Xunzi*. Judgements, desires, actions, and physical states are related to emotions in these texts. The third section examines in detail Zhuangzi's attitude toward emotion. It also looks at how his view of emotions relates to his concepts of *xing*, nature, and *xin*, mind/heart. Emotions, he argues, have no place in the natural world, they are characteristics of the imperfect, ordinary person rather than the natural, perfected one. Emotions are aspects that are externally imposed rather than the initial conditions defining us at birth. Zhuangzi's view of emotions is also compared to Mencius' and Xunzi's view of emotions and to their ideas of human nature. Emotions in Mencius are innate characteristics that can motivate people to be moral. Emotions in Xunzi are also innate, but motivate people to behave in a selfish manner. Finally, the fourth section examines how Zhuangzi's criticism of emotion fits into his philosophical positions. These positions suggest that the natural human being has no individuality. The final discussion examines the question of whether or not such a position is tenable.

Moon, Byung-Do. Ph.D., University of Hawaii, 1996.

*An Inquiry into Mencius' Moral Thinking: Two-Level Utilitarian Interpretation of Mencius' Theory of Virtue and Moral Decision*. UnM: AAT 9713968.

The aim of the inquiry is to reinterpret Mencius' theory of virtue and moral decision into a form which is more defensible and more promising for future development than previous interpretations. In the course

of analysis of Mencius' key concepts and remarks, this inquiry suggests that Mencius' ethical theory as a whole can be labeled "two-level utilitarian virtue ethics." On the basis of this reconstruction, the inquiry clarifies several fundamental issues concerning Mencius' moral thinking, such as Mencius' theory of human nature and his criticism of main opponents, Mo-zi and Yang-zhu, etc. The method of *shu* or the Golden Rule is, properly understood, practically equivalent with a utilitarian method of moral decision which can entail both act- and rule-utilitarianism. Applying the act-utilitarian method of moral decision in every situation we encounter does not maximize total preference-utilities, owing to several human handicaps. The most effective way to maximize total preference-utilities in normal situations is to follow conventional rules of *li* which are selected on a rule-utilitarian ground. However, the act-utilitarian method of moral decision is needed to resolve moral conflicts where any solution device is not found in established conventional rules of *li*. The method of *shu* is a sophisticated combination of act-utilitarianism and rule-utilitarianism. The stage of moral decision in accordance with the method of *shu* is the reflective level of thinking. The stage of intuitive moral decision in normal situations in accordance with well established conventional rules of *li* is the conventional level of thinking. According to Mencius, everyone has Heavenly given primitive capacities to do two-level utilitarian moral thinking spontaneously. When these moral capacities are cultivated well, one becomes a virtuous person. Mencius' concept of human nature just indicates the developmental process of primitive moral capacities to full grown virtues. Mencius' two-level utilitarian virtue ethics shows the fundamental deficiencies of his opponents. Mo-zi's one-level utilitarianism and narrow conception of utility needs to adopt Mencius' moral thinking. Yang-zhu needs to give up his egoistic doctrine on the ground that it fails to meet the requirement of the Golden Rule.

Panayotaki-Papathanassopoulou, Vassiliki. Ph.D., The Union Institute, 1997. *Human Potential in the Philosophies of Socrates, Plato, Confucius and Yoga*. UnM: AAT 9733513.

My P.D.E. consists of two essays; the title is "Human Potential in Socrates, Plato, Confucius and Yoga philosophy." By human potential I understand an innate, a priori capability which is dormant until after different procedures awaken it; the activation of this human potential is directed towards bringing fulfillment on different levels and to different degrees. My subject is the existence, the emergence and the development of these human potentialities despite time and place. Through the creative awakening of this innate dormant force, I hope for a ful-

filled humanity and a better way of life. My main sources are ancient Greek philosophy (especially Socrates' and Plato's philosophy) Confucianism and Yogic thought. In the first essay I analyze Socrates' philosophy, with emphasis on the parts that refer to my subject. I also study the intellectual, social and political situation of ancient Athens as well as the moral crisis of that city, as foreseen by Socrates. I continue my essay by comparing the ancient moral crisis with the contemporary moral crisis of our world and by finding their possible similarities. In the first chapter of the second essay, I present Confucianism as a philosophical system with emphasis on the parts connected to my subject. Then I compare the ancient religious, social and political situation of China with the modern one, always in relation with Confucius' teachings. The conclusion is that Confucius' philosophical and moral teaching is of great value for both ancient and modern China. In the same chapter I also include extensive comparison of Confucius and Socrates and I analyze the similarities and differences between their philosophies. The second chapter of the same essay refers to Yogic philosophy and practices. I follow the same method that I followed for the two previous philosophies but for Yoga I emphasize the practices more than the philosophy. The reason is that Yoga's practices offer a practical point of view in my P.D.E., since they present concrete experiences and practices for the activation of human potential.

Peng, Ke. Ph.D., The University of Chicago, 2000.

Coinage and Commercial Development in Eastern Zhou China.

The objective of this dissertation is to study the economic history of Eastern Zhou China. It is based principally upon a large number of bronze coins excavated archaeologically, and uses analytical methods of—and has implications for—such diverse fields as archaeology, paleogeography, history, historical geography and economic history.

In Chapter One, the history of numismatics in China is reviewed. Chapters Two and Three deal with the reading of coin inscriptions and the dating of coins. In the final two chapters, the social and economic significance of Eastern Zhou coinage are explored. Besides a reconstruction of the relation between coins and people, issues such as coin production, usage, debasement, buying power and circulation are discussed in detail. Moreover, modern economic theories and comparisons with the history of Western coinage are applied to the study.

The dissertation demonstrates a core-periphery Eastern Zhou commodity economy. Patterns of coin circulation and monetary systems varied in different states. Currencies of the Han, Zhao and Wei states were used also outside of their state of production, while those of the

Qin, Chu, Qi and Yan states were used only locally. Han, Zhao and Wei had an open monetary system, while Qin, Chu and Qi had a closed one. These differences indicate the core and periphery of the Eastern Zhou commodity economy and reflect the relative economic power of the different states. In order to understand the causes of these differences, economic resources such as land, labor, and capital in different states are analyzed. I discuss, from an economic viewpoint, how Qin as a state with a less developed commodity economy was able to achieve the unification of China.

In addition, steppe trade between the Central Plains of China and Inner Asia is systematically researched. Evidence from coins indicates that at least two border towns, Lin and Anyang, located along the eastern border of the Ordos steppe, southern Inner Mongolia, enjoyed enormous commercial prosperity during the Warring States period. As indicated by textual records, this prosperity was backed by a flourishing steppe trade during the Eastern Zhou period. Horses from the Ordos and jade from Xinjiang or the Altai played a very important role in Chinese society at that time.

Reinhardt, Gretchen Katrinka. M.A., McGill University, 1997.

*Mining and Smelting Technology and the Politics of Bronze in Shang and Western Zhou China: An Inquiry into the Bronze Age Interaction Sphere.* UnM: AAT MQ29509.

In this thesis I focus on mining and smelting in China during the Shang and Western Zhou periods (c. 2200–770 B.C.). The importance of bronze in Shang and Zhou society and the vast quantity of bronze artifacts recovered indicates that the acquisition of metal ore would have been a major occupation of the state. The Shang and Zhou governments controlled their own bronze foundries but did not control the mines. The mines are located in southern China where the Chu state flourished during the Eastern Zhou period, likely due partly to their possession of mineral resources, and in Inner Mongolia where the steppe cultures existed. The Zhou and the Shang were likely obtaining raw materials from southern and northern cultures, either through trade or raid. Provenance studies based on chemical composition of artifact and ore will help resolve the source of Shang and Zhou ore.

Reynolds, Robert Grant. Ph.D., The University of Wisconsin, Madison, 1996.  
*Passives in Classical and Han Chinese: Typological Considerations.* UnM: AAT 9627067.

This study examines five syntactic constructions in Classical and Han Chinese which are frequently labeled “passive.” It discusses whether

or not they meet a typological definition of passive based on the promotion and demotion of grammatical relations and also sketches the synchronic and diachronic relationships of the constructions and how they fit into the general syntax of the literary language of these two periods. Chapter 1 introduces the theoretical framework and textual and methodological concerns relevant to the study. Chapter 2 establishes the basic word classes of nouns and verb, then distinguishes several verb classes, based on syntactic and semantic criteria relevant to the use of passive. Chapter 3 reviews the role that morphology may have played in passive formation during the Classical era. Chapter 4 discusses the use of the co-verb *?jag*, both as a marker of “agents” and as a syntactic particle appearing in a variety of constructions. Chapter 5 analyzes the two other major “passive” constructions of the Classical era: the *kianh* construction, and the *gwjar* construction. Chapter 6 discusses two new “passive” constructions which evolved during the late Classical or early Han era: the *gwjar-srjag* and *pjiarh* constructions. It traces the relation of the new forms to the old forms and describes the evolution of these constructions during the Han period. Chapter 7 reviews how the constructions studied conform to the theoretical definition of passive proposed in the first chapter. It concludes that while promotion from object to subject is difficult to show, loss of transitivity and demotion from relation to non-relation both existed.

Schaberg, David Copley. Ph.D., Harvard University, 1996.  
*Foundations of Chinese Historiography: Literary Representation in Zuo zhuan and Guoyu*. UnM: AAT 9631583

This account of the beginnings of Chinese historiography traces the development of materials and habits of Chinese historical writing through the Warring States period and describes the system of representation which resulted. Chapter One, “Aspects of Literary Form in Early Chinese Writing,” shows how this system is built upon techniques already central to the practice of writing during the Western Zhou (ca. 1050–771 B.C.E.); even the very early bronze inscriptions and preserved speeches of the Zhou dynastic founders demonstrate a concern with exchanged speech and with mimetic ideals that appears to survive in later historiography. Chapter Two, “Orality, Performance, and Canonicity in the Transmission of Speech Texts,” shows how mimetic concerns, operating through a practice of speech recitation, accounted for the oral transmission and recomposition of inherited speeches during the Zhou, ultimately providing historiography with the anecdotes and speeches which would make the bulk of its material. In Chapter Three, “Speech, Theory, and the Order of the World,” I analyze the rhetoric of histo-

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riographical speeches in detail, assessing their unique logic and outlining the areas of knowledge which are applied to historical phenomena through the medium of speech-making. Chapter Four, "Narrative and the Limits of Historical Meaning," describes the various basic modes of narrative in the *Zuo zhuan* and *Guoyu* and then identifies a hermeneutic dynamic of observation and judgment as the motive force in narratives. The task of historiography both in individual anecdotes and on the macronarrative level is to bring observed events into line with a Confucian-Traditionalist view of the world's truth. In Chapter Five, "Aesthetics and the Ends of Historiography," I show how speech rhetoric and narrative habit are linked through a fundamental aesthetic conception which enlists pleasure and fear in the preservation (or reconstitution) of an imagined utopian community. Finally, in Chapter Six, "Historiography and the Rise of Philosophical Writing," I show how historiography's narrative, its rhetoric, and its fundamental aesthetic illuminate the polemical techniques and stances of several Warring States philosophers, including Mengzi, Mozi, and Xunzi.

Shelach, Gideon. Ph.D., University of Pittsburgh, 1996.

*The Emergence of Complex Society in Northeast China from the Fourth to the First Millennia B.C.: A Perspective from Chifeng Area in Inner Mongolia.* UnM: AAT 9909551.

The emergence of socio-political complexity in China is traditionally described as initiated in the Yellow River Basin and spread to the "periphery" by way of political expansion and cultural diffusion. Our work challenges this model in two complementary ways. First, by focusing on the Chifeng area we address local processes which led to the development of social complexity. Second, by analyzing concrete data we address the nature and impact of interaction. A settlement study we conducted in the Chifeng area of southeastern Inner Mongolia provides the main data used to address those issues. Published and unpublished reports on archaeological work conducted by Chinese archaeologists are used to supplement the data generated by our field survey. Our data suggest that in the incipient socio-political hierarchy of the Hongshan period (c. 3500–2500 B.C.), status was exclusively tied to public ceremonial activity. During the Lower Xiajadian period (c. 2000–1600 B.C.) a three tiered central place settlement pattern points to increased socio-political stratification. However, the power of the elite was still tied to their public functions such as coordinators of the construction of the large defense systems found at many sites. By the Upper Xiajadian period (c. 1100–600 B.C.) a more mobile lifeway resulted in decreased investment in permanent structures. However, based on burial data,

we argue against previous reconstructions which describe it as a period of declining socio-political complexity. This data suggests a society in which political power was personally associated with the paramount leaders. In diachronic terms we observe a transition from "group-oriented" to "individualizing" societies. We maintain that this was a significant part of the socio-political process. However, comparison between the Lower and Upper Xiajiadian societies demonstrates that a more individualized system is not necessarily more complex. It indicates that those ideological changes can be associated with "horizontal" rather than "vertical" shifts. We observe two distinct patterns of interregional interaction. During the Lower Xiajiadian period the region was occupied by polities which attained comparable levels of socio-political organization with the contacts among them confined mainly to down-the-line exchange networks. No evidence was found for conscious attempts by political leaders to control or boost the interaction. In contrast, the regional political landscape of the Upper Xiajiadian period agrees much better with the center-periphery model. At this time, state level polities had emerged in the Yellow and Yangzi River Basins, while the northern corridor was still inhabited by chiefdom level societies. However, we possess no data to support the world-system model. Rather than being exploited by the core and passively received its influence, the Upper Xiajiadian polities seem to have been active players taking advantage of the interaction.

Shen, Gia-Lee Catherine. M.A., Carleton University, 1995.

*Sheer Beauty, Sheer Joy: Reflections on the Concept of Humanism in More's Utopia and Episodes from Shakespeare in the Light of Chinese Philosophy and Literature.* UnM: AAT MM08925.

This thesis offers reflections on the concept of humanism by examining selected works of More, Shakespeare, T'ao Ch'ien, Chuang Tzu, Tzu Se, and the *I Ching*. It attempts to demonstrate, from a perspective that is rooted in Chinese culture, the viability of the concept of common humanity, despite all the differences in experience and view that are induced in individuals and groups by their cultural and historical conditioning. It tries to find a congruence between West and East in the understanding of humanity and its experiential realities, a congruence in the understanding of what it is to be human. A comparison of Chuang Tzu, T'ao Chi'en, Tzu Se, Shakespeare, and More suggests that the lovers of wisdom, be they in the East or in the West, aspire to achieve the same goal: restoring inner and outer order through a creative life of Reason. In tracing back the philosophical legacy of More and T'ao in particular, the thesis endeavors to show how these two writers recreated, from the

traditions of which they were a part, remarkably similar understanding of the sanctuary of the mind where a contemplation of the divine nature is made possible.

Shim, Jae-hoon. Ph.D., The University of Chicago, 1998.

*The Early Development of the State of Jin: From Its Enfeoffment to the Hegemony of Wen Gong (r. 636–628 B.C.).* UnM: AAT 9910922.

This study deals with how and why the state of Jin became the most powerful state of all China by the latter half of the seventh century B.C. Utilizing the archaeological and inscriptional sources discovered recently in Shanxi, this dissertation focuses on the relationship between Zhou and Jin and the transition of that relationship as the main impetus for the development of Jin. The Duke of Zhou enfeoffed Jin in southwestern Shanxi with the hope of withstanding the challenges not from the Rong and Di but from the remaining pro-Shang powers there. The material culture represented by the Beizhao Cemetery of the Jin lords clearly shows that Jin was very closely bound to Zhou culture during the Western Zhou period. The "Jin Hou Su *bianzhong*" inscription from the same site also attests to the close relationship between the Zhou king and Lord Su of Jin. Jin Wen Hou (r. 780–746 B.C.) further played a critical role in the eastward evacuation of King Ping. Despite the growth of its role as a protector of the Zhou royal court, however, Jin was still one of the feudal states of Zhou in southwestern Shanxi. It was not until the usurpation of the junior branch of Quwo in 679 B.C. that the state of Jin was freed from the influence of Zhou and thus developed into a very progressive regional power. Entering into a new, closer relationship with the non-Zhou people and conquering all other feudal states of Zhou in southwestern Shanxi, Xian Gong (r. 676–651 B.C.) provided the most important background for the hegemony of Jin. Jin Wen Gong, succeeding in reforming the state, became Premier of all China and eventually eclipsed Jin's former patron Zhou. Therefore, whereas the early development of Jin can be attributed in considerable part to its close relationship with Zhou, its elimination of Zhou authority in Shanxi paradoxically made possible its rise to become the most powerful state of all China in the later half of the seventh century B.C.

Slingerland, Edward Gilman. Ph.D., Stanford University, 1998.

*Effortless Action: Wu-Wei As a Spiritual Ideal in Early China.* UnM: AAT 9908848.

This dissertation has two major theses. The first is that the concept of *wu-wei* ("effortless action") serves as a spiritual ideal for a group of five

pre-Qin thinkers—Confucius, Laozi, Mencius, Zhuangzi and Xunzi—who share what might be called the “mainstream” Chinese worldview, and that this concept serves as a soteriological goal and spiritual ideal that cannot be understood except within the context of this worldview. More specifically, this worldview is primarily characterized by the belief that there is a normative order to the cosmos (the “Way”), within which human beings have a proper place and proper mode of behavior; that human beings once existed in a state of accord with this order, but have since fallen out of this state of harmony; that *wu-wei* represents a re-establishment of this original ideal state; and that a person who has regained this state will acquire a type of charismatic virtue or inner power referred to as *de*. The second thesis is that this ideal of effortless action contains within it a tension—referred to as the “paradox of *wu-wei*”—that can be seen as the central problematic with which the five thinkers discussed in the dissertation were concerned. In its most basic form, the paradox is that *wu-wei* represents a state of effortless action that needs to be regained through a process of self-cultivation or transformation, but it is hard to see how one can try not to try. It is argued that this tension at the center of *wu-wei* is a productive one, for perhaps the most revealing way of understanding these thinkers is to see them as responding in various ways to both the paradox of *wu-wei* and previous thinkers’ proposed “solutions” to the paradox. It is argued that this central problematic of mainstream pre-Qin thought continues to be a dominant theme throughout the entire history of Chinese religious thought and—as a tension that seems to appear in any philosophy of self-cultivation—is relevant as well to the Western “virtue ethical” tradition.

Sun, Zhenbin. Ph.D., New York University, 1997.

*The Discourse on Ming-Shi and Practical Zhi in Ancient China: A Study of the Relationship between Language and Culture.* UnM: AAT 9737484.

The discourse on *ming-shi* (names and things) was a distinct thought movement in the philosophical breakthrough period of China (551–221 B.C.E.). In this discourse ancient Chinese thinkers formulated their theories of language and refined their views on moral, sociopolitical, and metaphysical issues. It was this discourse that shaped a general characteristic of Chinese culture, which the author terms “practical *zhi*” (knowledge, intelligence, and wisdom), and gave meaning to Chinese culture as a symbolic system. The study consists mainly of three parts. The first part is a historical description. It suggests that this discourse developed along with four notions: rectification of names, abolition of names, analysis of names, and examination of names. Both rectification of names

and abolition of names were aimed at solving moral and sociopolitical problems; analysis of names stood most for the analytic spirit in Chinese culture; examination of names represented a synthesis of semantics and pragmatics of *ming-shi*. The second part of this study is a conceptual analysis. It analyzes the relation of the *ming-shi* issue to the three dimensions of Chinese praxis, that is, the moral, the sociopolitical, and the linguistic. According to Confucians, to become a cultivated human being, one must match what one says (*ming*) and what one does (*shi*). In ancient Chinese philosophers' view, the ultimate solution of sociopolitical problems depends on the correspondence between *ming* and *shi*. And the discourse on *ming-shi* was itself a linguistic praxis, which aimed at applying critical understanding of *ming-shi* to solve problems that arose in establishing an ideal society. The third part of this study is a philosophical conceptualization. It examines the role of the discourse on *ming-shi* in shaping practical *zhi*. It argues that practical *zhi* centers around three theses: (1) knowing that and knowing how as a polarity, (2) reasoning and discursive practice as a continuum, (3) antitheses as a synthesis. The three theses grew out of and pervaded the discourse on *ming-shi*, and the Chinese way of grasping *ming-shi* was an example of practical *zhi*.

Taube, Michelle. Ph.D., State University of New York at Stony Brook, 1998. *Selective Dissolution in Copper-Tin Alloys: Formation of the Surface Finish on Early Chinese Bronze Mirrors*. UnM: AAT 9917468.

In the early part of the twentieth century, scientists began to look at ancient artifacts both for clues to the stability of metals and alloys, and for ways to preserve the objects themselves. Chinese bronze mirrors often have a smooth patina that preserves the fine detail in the original cast surface decoration. Mirrors appear early in Chinese history and were produced in large numbers starting during the final, Warring States, period of the Zhou dynasty (475–221 B.C.). The average composition of ancient mirrors is 70% copper, 25% tin and 5% lead, by weight. The microstructure is two-phase and consists of acicular  $\alpha$ -phase (Cu-rich) regions encased in a  $\delta$ -phase (Sn-rich) matrix. Although the mirrors have been labeled "corrosion-resistant," the smooth surface includes a corroded layer on the order of 100  $\mu\text{m}$  thick. In this layer, known as the "altered layer," there is evidence of selective dissolution of the  $\alpha$ -phase; the  $\alpha$ -phase regions are replaced by a mineral product with the  $\delta$  phase remaining metallic. The current project was undertaken to investigate and replicate the stable metal surface found on ancient bronzes. Electrochemical methods were used to study the corrosion behavior of the copper-tin system. The replication was performed on model, cast two-phase bronze by treating under constant applied potential in two solutions. The  $\alpha$  phase corroded preferentially in both solutions duplicat-

ing the microstructure of the altered layer on ancient mirrors. Characterization of the patinas on ancient Chinese bronze mirrors and modern treated samples was performed with optical and electron microscopy, and synchrotron x-ray diffraction and fluorescence. The  $\alpha$ -phase replacement product was found to be nanocrystalline tin oxide ( $\text{SnO}_2$ ) in both ancient and modern samples. The corrosion-resistance of the potentiostatically-treated bronze samples was tested by extended outdoor exposure. Comparison with exposed, untreated samples indicated that the treatment was protective. A better understanding of the processes that resulted in the smooth surfaces on ancient Chinese mirrors has been attained through the replication of the surface microstructure and composition under the controlled conditions of this work.

Thompson, Lydia Dupont. Ph.D., New York University, 1998.

*The Yi'nan Tomb: Narrative and Ritual in Pictorial Art of the Eastern Han (25–220 C.E.)*. UnM: AAT 9819804.

This dissertation investigates the pictorial narrative of relief carvings in a second century C.E. Chinese tomb. Among the issues addressed are the relationship of pictorial narrative and ritual practice, and how the space of the tomb conveys narrative meaning. I find a dynamic space of shifting positions in which the imagery is not aimed at one ideal observer, but at two kinds of ideal observers—the living mourner as s/he enters the tomb from the south and the deceased male and female located in the rear chamber. Thus it is concluded that the pictorial narrative represents the process of forging an unbroken relationship of mutual benefit between the living and the dead and establishing a sacred center. The public reception of the monument's imagery is also considered. It is argued that the imagery, especially representations of cultural heroes, may have been viewed differently depending on the viewers' status, education and ability to read. Such figures are usually identified with the moral and behavioral codes sanctified by the state. However, the mode of representation and placement in the tomb evoke powers of supernatural protection associated with their local cult status. This points up the dual role of the male occupant of the tomb, a member of the provincial elite: he is charged with both disseminating the ideology of the state and accommodating or co-opting the local cults. Finally, the pictorial narrative is considered from the perspective of its function within the larger context of the burial ground and ritual performance. It is argued that the narrative structure parallels the mourner's progress as s/he enters and then exits the tomb, and that scenes of funerary rites may have had a votive function. Also examined is the role of the artisan and ritual performance in consecrating the tomb and imbuing the bas-reliefs with magical powers of protection and transformation.

Wang, Haining. Ph.D., Southern Illinois University at Carbondale, 1999. *Early Pottery in China: A Review of Archaeological and Environmental Data from Eight Sites*. UnM: AAT 9925881.

This dissertation investigates conditions surrounding the origins of pottery in China. Based on a synthesis of published data, a multi-causal hypothesis about pottery origin has first formulated. It suggests that the origin or adoption of pottery may have been determined jointly by subsistence strategy, sedentism, population size, and social relations. To examine this hypothesis, twelve early Neolithic sites in China were investigated by the author. Eight of the twelve sites are addressed at length in this dissertation. These sites are distributed across a broad area in which the natural environment is highly variable, and the cultural contents of the sites differ. Using archaeological and environmental data from the eight sites, the four variables that are believed to have affected the appearance of pottery are evaluated for each site. Meanwhile, the intensities of actual pottery use of the eight sites are estimated as well. The results indicate strong correlations between the use of pottery and subsistence strategy, sedentism, population size, and social relations. By comprehensively analyzing the four socioeconomic factors and their relationships with pottery use, it is argued by the author that a multi-causal model is more suitable to explain the origins of pottery cross-culturally than any single-factor theories.

Wang, Hong. Ph.D., University of Illinois at Urbana-Champaign, 1996. *Climate and Habitat Reconstruction of Hominid Sites in Northern China with Paleosol Stable Isotopes*. UnM: AAT 9702711

The environment of early hominids in the Loess Plateau region of China is a highly debated subject. Interpretations of past habitats and climates derived from fossil faunal and floral assemblages, paleosols, and geochemistry are often contradictory. In order to understand paleoenvironments and the nature of hominid adaptations, evolution and behavioral change, more accurate reconstructions of their environments are needed. Stable isotope geochemistry of paleosols, including carbon isotopes of soil organic matter and pedogenic carbonates, and oxygen isotopes of pedogenic carbonates, can provide evidences for tree:grass ratios, air surface temperature and soil moisture conditions. These data can also help resolve disagreements about paleoenvironments at hominid sites from other lines of evidence and provide a secure understanding of the environmental contexts of early hominids. This framework can help to understand the adaptative strategies of Pleistocene hominids in northern China and the evolution of adaptability to

colder environments. Paleosol morphology analysis applied in this study differentiates 25 pedogenic units in the Chinese Loess Plateau spanning the 1.2 Ma. Some paleosols reflect warm climates, some reflect cold ones, and some reflect transitions between warm and cold climates. Seventeen archaeological sites and 19 hominid occupations have been evaluated. Hominid environments have been systematically reconstructed in northern China based on paleosol development scales. This dissertation outlines the current state of knowledge about the paleoenvironments of hominid and archaeological sites in northern China. Using stable isotopic analysis, soil morphology, and other chemical and physical properties of paleosols, the details of paleoenvironment (climate and habitat) during hominid occupations can be understood. Previous contradictory interpretations of the paleoenvironment of Lantian hominids can be resolved. Ecological models of adaptation to changing climates and varied habitats are used to study the behaviors of early hominids in northern China.

Wu, Sue-Mei. Ph.D., The Ohio State University, 1997.  
*The Coverbs in Classical Chinese*. UnM: AAT 9801820.

This study is a synchronic investigation of the coverbs in Classical Chinese. The coverbs examined include the locative coverbs *yu*, *yu*, *hu*; the instrumental coverb *yi*; the benefactive coverb *wei*; the ablative coverbs *zi*, *you*, *cong*; and the comitative coverb *yu*. To pursue a better understanding of Classical Chinese syntax, the present study approaches it as an internally-consistent system that may be deduced through logical analysis. The starting point chosen for such analysis is the special characteristics of Classical Chinese texts, several fundamental distinguishing features of Classical Chinese that have been pointed out by various scholars. In the beginning section, a list and elaboration of these special characteristics is followed by examples which show the importance of fully recognizing and appreciating them when we read the ancient texts and analyze their syntactic structure. Recognizing that the coverbs all originated as verbs, the discussion of each coverb begins with an attempt to define its fundamental properties as a full verb. Understanding its nature as a verb enables us to better understand the semantic denotation and syntactic structure of its coverb usage. Contrary to common opinion, this study argues that the change of word order of a coverb phrase often results in a different semantic focus and syntactic implication. In some cases in which a coverb phrase occurs after another verb phrase, the semantic emphasis is deliberately put on the coverb phrase which then serves as the nucleus of the predicate in a sentence. Some other issues surrounding the individual coverbs are also addressed, including

the verb complement construction, the lack of a syntactic construction for passivity in Classical Chinese, and the fact that the coverbs have often been mistaken as conjunctions because observers have overlooked the implications of subject omission and the topic-comment structure of Chinese sentences. A Classical Chinese pedagogy proposal is included which advocates a grammar-focused instruction that teaches students to recognize the special characteristics of Classical Chinese texts and the grammatical structure of Classical Chinese sentences. Finally, the study concludes with a call for more research into the special characteristics of Classical Chinese and the insights they bring to the study of the ancient texts.

Zhao, Jian. Ph.D., University of Toronto, 1997.

*The Early Xia Tradition: Historicity and Topos*. UnM: AAT NQ28103.

This thesis examines the early *xia* tradition from pre-Qin times to that of Wei-Jin Northern-Southern Dynasties (220-581). It begins with the *xia* in history and then goes to their reflection in literature. Chapter One discusses the world in which the *xia* were to emerge, and the groups from whom the *xia* originated. Chapter Two discusses the emergence of the *xia* and the earliest writings about them. In Chapter Three, I try to show the development of the *xia* by reference to other pre-Qin social groups, to which the *xia* bore similarities and with whom they were sometimes confused. Chapter Four discusses the brief prominence of the *xia* in the Western Han dynasty (206 B.C.–A.D. 24) and their decline under the suppression. The *xia* in its classical form virtually disappeared as a historic entity during the Han, but also during the same period the *xia* myth, a spiritual quest of heroism, brotherhood and social justice, began to gradually take shape in the form of folklore, pseudo-history and even historical writing. Sima Qian's *Shi Ji* was the most important source in transporting the *xia* from history to literature. Chapter Five discusses Sima Qian's role in building the *xia* image. Chapter Six discusses the romanticization of the *xia* theme in works usually considered historical, such as the *Yue Jue Shu* and *Wu Yue Chunqiu*, and the beginnings of *xia* literature, represented by the novella *Yan Dan Zi* and *youxia* ballads. In works like these produced in the Wei-Jin period, the transformation of *xia* from a historical entity to a literary convention was completed. Through this study I try to demonstrate that the *xia* from the pre-Qin to Wei-Jin were a mixture of reality and myth, and history and literature. I also try to show that when these often conflicting factors were reconciled, the *xia* tradition became a point of intersection between elite and folk culture. The tradition has been modified and re-modified ever since.

Zhao, Zhijun. Ph.D., University of Missouri, Columbia, 1996.

*Rice Domestication in the Middle Yangtze Region, China: An Application of Phytolith Analysis*. UnM: AAT 9823337.

Rice, *Oryza sativa* L., is an important cereal crop. Yet where and when rice was domesticated remains an issue today. According to prior archaeological record and wild rice investigations from China, the middle Yangtze region in China was proposed in this study as a likely place where rice was domesticated. The objective of this study is to report reliably identified botanical data from carefully excavated and well documented archaeological sites to provide further evidence for the process of rice domestication in the middle Yangtze region. Based on an examination of biological characteristics of rice, the paleoenvironmental record, and related cultural contexts, an hypothesis is developed to explain why and how rice was domesticated in the middle Yangtze region. The hypothesis is then tested through studies of several archaeological sites, and a detailed analysis of plant remains relevant to issues of the timing and nature of rice domestication. The results support the hypothesis in many respects. Wild rice was distributed in the middle Yangtze about 12,000 B.P., and wild rice collection was a component in local subsistence during the Late Paleolithic. The first domesticated rice emerged in the Early Neolithic, possibly around 9000 B.P. This study also provides some information about the transition to rice agriculture: data suggest a possible increase in the use of rice during the early Middle Neolithic (ca. 6500 B.P.). Phytolith analysis is employed as the research method in the study. A new method of rice phytolith identification developed at the Paleoethnobotany Lab of the University of Missouri permits the identification of rice at critical time periods and sites. The successful application of this new method contributes positive information to issues of importance of phytolith analysis in archaeology and paleoecology.

Zhou, Chicheng. M.A., University of Alberta, 1997.

*A Comparative Study of Scepticism: Chuang Tzu and Sextus Empiricus*. UnM: AAT MQ21147.

In this thesis, I compare the scepticism of Chuang Tzu in Ancient China with that of Sextus Empiricus in ancient Greece. The two sceptics share many things: they are not pure or entire sceptics, and take their scepticism as a philosophy of life; holding naturalism, they alienate themselves from their scepticism; and using non-dogmatical language, they fall into self-negation. On the other hand, I state several contrasts between the two: Sextus's scepticism is based on the distinction between appearance and reality, while Chuang Tzu's leads to a peculiar monism

according to which all distinctions disappear and various opposites go into one, Tao: Sextus is a conservative, obeying social norms, while Chuang Tzu is a rebel, intending to overthrow all of them; Sextus's scepticism plays an important role in Western philosophy, while Chuang Tzu's play a less important role in Chinese philosophy.