

## 宋遼金元

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Soviet Works on the History of China and Neighbouring Countries  
in the 10th-13th Centuries, 1967-1976

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Russian orientalists have been studying the Sung Empire and its relations with other countries and peoples for a fairly long time. In the nineteenth century, works by N. Ya. Bichurin (1777-1853), O. M. Kovalevsky (1800-1878), V. P. Vasilyev (1818-1900) devoted to the Tangut, Khitan, and Jurchen and their ties with China were published. Then, in the early 20th century studies by A. L. Ivanov (1877-1937), P. K. Kozlov (1863-1935), V. L. Kotvich (1872-1944) appeared, and further contributions were made by N. A. Nevsky (1892-1938), K. K. Flug (1893-1941), L. N. Rudov (1888-1941), A. A. Dragunov (1900-1955), all of which came out in the twenties and thirties.

More extensive studies in this field have been carried out since World War II, and at the present time research on the Sung Empire and its neighbouring countries comprises an integral part of Soviet Oriental studies. The major cause for the rise of this area of research has been the desire to achieve a complete and profound understanding of the life of the Chinese and other peoples on the eve of the Mongol conquest, an event which for a long period seriously upset their normal course of development.

Research on Sung China and neighbouring countries is presently conducted not only at the centres for Oriental studies of the U. S. S. R. Academy of Sciences and Universities of Moscow and Leningrad, but also at the State Hermitage, the Institute of Ethnography, the Institute of World Literature, the Siberian Branch and Far Eastern Centre of the Academy of Sciences, the universities and teachers' training colleges of Novosibirsk, Vladivostok and a number of other cities. The scope of research comprises economic, social, ethnic and political history as well as philosophy, social and political thought, literature, art, science and the history of books. Systematic studies of the Tanguts and Hsi-Hsia, the Jurchen and Chin, and the Khitan and

Liao have come out, with the panorama of relations between these peoples and states and the Sung Empire becoming steadily more distinct. Russian translations of primary sources, complete with commentaries, have been published.

This survey is addressed to identifying the main directions and dimensions of research currently being conducted in the Soviet Union on the history of China and bordering countries in the tenth to the thirteenth centuries. It is part of a joint effort, which has also resulted in the bibliography of Soviet works on Sung, 1967-1976, compiled by L. A. Kuvshinnikova and I. E. Tsiperovitch. As the titles of the works imply, both the bibliography and this survey cover only the literature on history and allied fields (historiography, archaeology, ethnography, epigraphy, numismatics and sphragistics), while other aspects also represented by a large number of works are worthy of a separate survey.

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Abundant historiographic works give conclusive evidence of progress in this field of Soviet medieval studies. Critical analysis of the sources and scholarly literature on the subject is the necessary prerequisite for fundamental studies of any historical theme. Among studies of the primary sources it might be well to point out a series of articles and papers by Z. G. Lapina on Li Kou's 李覲 treatise "Enriching the state, Strengthening the army, Keeping the people content" (Fu-kuo ch'iang-ping an-min 富國強兵安民) written in 1039 [69, 73, 74, 77]\* and her contribution on Ou-yang Hsiu's "Afterword to the Collection of Ancient Inscriptions" (Chi-ku-lu pa-wei 集古錄跋尾) [75]. Further, there are E. P. Stuzhina's (1931-1974) article on "The Code of Laws Drawn up During the Ch'ing-yüan Reign" (Ch'ing-yüan t'iao-fa shih-lei 慶員條法事類) [128], G. Ya. Smolin's contributions on "The Draft Collection of Major Materials of the Sung Dynasty" (Sung hui-yao chi-kao) [126], and Fang Shao's 方勺 work "The Robbers of Ch'ing-hsi" (Ch'ing-hsi k'ou-kuei 青溪寇軌 [121-122]. S. A. Shkolyar devoted a series of reports to the military treatise of 1044 entitled "Essentials of the Military Science" (Wu-ching tsung-yao 武經總要) [152-153], the works of the military theorist and practician Ch'en Kuei 陳規 [155] and "Notes on the Defence of Hsiang-yang" (Hsian-yang shou-ch'eng lu 襄陽守城錄) written by Chao Wan-nien 趙萬年 in 1208 [156]. A critical review of Soviet, Western, Japanese, and

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\* Numbers in square brackets refer to those indicated in the bibliography, which follows.

Chinese literature on the socio-economic nature of the cities and industrial production in the Sung Empire published from the twenties up to the sixties is given in one of Stuzhina's works [131]. The main concepts of the medieval Chinese and modern historiography and Western sinology on the reform movement in the 11th century are explored in three articles by Lapina [68, 70, 72]. N. Ts. Munkuev published a detailed analysis of the first installments of "Etudes Song: in mamoriam Etienne Balazs" [101].

In monographic works separate chapters on the sources and literature relating to the topic under consideration are, as a rule, provided. To cite examples, in Lapina's book on the political struggle for reforms in Sung China in the thirties to the seventies of the 11th century [65] the chapter on historiography takes up some 70 pages, and in Smolin's book on peasant and urban uprisings in the Northern Sung [119] it runs to 80 pages.

Socio-economic problems have always been given great attention by Sung specialists in the Soviet Union. Thus, Lapina's [65] and Smolin's [119] books analyze a number of pertinent topics: the major trends of agrarian relations, the nature and forms of landed property, the ratio of state to private feudal land ownership, the structure of the ruling class, the main categories of peasantry, the types and functions of the rural village community, the means and forms of economic and non-economic exploitation of peasants by the feudal lords, the system of village taxes and duties, the features common to the economic, social, administrative and legal aspects of the Sung cities, etc. These and some other problems are considered by the authors as most critical for understanding the major causes and conditions for aggravation of the social and political contradictions between the peasantry and its antagonists - the ruling class of the Sung feudal lords, on the one hand, and between different sections within the ruling class proper, on the other.

E. P. Stuzhina was the first Soviet sinologist to undertake fundamental studies of the economic and social preconditions for and the main evidences of feudal urbanization in Sung China. To this end, she made use of various sources dating from the eleventh to the fourteenth centuries including unofficial materials (such as the descriptions of K'ai-feng, Hang-chou, Su-chou and some other cities) and took into account Chinese, Western and particularly Japanese sinological literature. In Stuzhina's view, the extensive development of Sung cities was based on industry and trade, with the economic function of the cities dominating, and this feature, distinguishing medieval Chinese cities from ancient ones, began to show up most vividly in the eleventh century. Detailed analysis of trade, industry and crafts in big cities,

towns and small towns, the nature of trading and manufacturing guilds [132-133], employer-employee relations and types of craftsmen's wages led the author to the conclusion that the Chinese city of the 11th-13th centuries was feudal in its socio-economic structure and, thus, far from becoming the centre of capitalist production. Although relatively well-developed and powerful economically, the city remained very weak as regards its social, administrative, political and legal status, which resulted both from factors intrinsic to the pre-Sung and Sung city, and extrinsic ones, the principal (but not the only one) of which was the policy of the central government in relation to the cities [132]. \*

One of Stuzhina's articles which presents a detailed and vivid description of everyday life, housekeeping, the ways and habits of the city dwellers in Sung China stands out as an excellent example of a historical and ethnographical essay [130].

Lapina's, Stuzhina's and Smolin's studies provide wellgrounded corroboration as well as further development of a concept advanced by Soviet sinologists long before. According to this concept, Sung China, passed through that stage of social evolution when feudalism, which formed the socio-economic basis for the Middle Ages, was at its height. This stage, dating in China back to the eighth century, replaced the early medieval period; but it is with the formation of the Sung Empire that the developed feudal system revealed in a more complete and distinct way its higher economic potential compared with the early medieval era and a greater dynamism on the whole.

The struggle of the peasantry and common town dwellers against their masters and oppressors was an important factor in the development of Chinese society in the Sung period. Its trend from the sixties of the 10th century up to the mid-twenties of the 12th century is covered in a monograph by Smolin [119]. The author specifies three stages in the history of popular uprisings in that period, with the first stage lasting till the end of the opening quarter of the 11th century and culminating in the uprising of 993-997 led by Wang Hsiao-po, Li Shun and Chang Yü. The second stage (till the mid-eighties

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\* The studies of the Chinese city in this period conducted by Stuzhina over many years are summed up in a comprehensive monograph (to be published in 1979) that the author had essentially completed by the time of her premature death.

of the 11th century) was rich in a variety of turbulent and intricate events: almost uninterrupted mutinies in the army; uprisings headed by Chang Hai, 張海, Shao Hsing 邵興 and their fellow fighters in 1032-1043 and by Wang Lun 王倫 in 1043; joint action of the Yao people and Chinese peasants in Hunan in 1043-1047; the Chuang uprising under the leadership of Nung Chih-kao 儂智高 in 1045-1055; the Mi-le-chiao 彌勒教 sectarian uprising led by Wang Tse 王則, Chang Luan 張巒 and Pu Chi 卜吉 in 1047-1048; and soldiers' mutinies in the army and peasant uprisings of the Wang An-shih reform period. The third stage is characterized by the Ming-chiao 明教 secret society's uprising headed by Fang Lat 方臘 in 1120-1122, the biggest in Sung history, and another one led by Sung Chiang 宋江 in the same period. The author analyzes the literary and folkloric versions of the Sung Chiang and Fang La uprisings, such as those given in the Shui-hu-chuan. A separate chapter in the monograph presents a detailed description of the economic, social and legal status of the peasantry in the Sung Empire. Other forms of the peasant struggle are characterized since the latter was not limited to uprising alone. Consideration is also given to the problem of the social psychology and ideology of the medieval Chinese peasantry, and an evaluation is made of their manifestations in the class struggle in the period concerned. The objective social and historical content and significance of the anti-feudal popular uprisings thus receives much attention in Smolin's book.

Lapina's monograph [65] discusses political and ideological clashes between various sections and groups of the ruling class in connection with the reforms - the clashes raging from the thirties to the seventies of the 11th century. \* The author raises a number of important problems already considered by world sinologists and proposes solutions by taking a new view in many respects.

According to Lapina the period of political and ideological confrontation over economic, administrative and military reforms that lasted 40 years falls into three stages, which were interrelated, though they differed considerably. The initial stage (till 1045) saw the work of the first reformers headed by Fan Chung-yen, the second stage (to 1069), the period of fruitful

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\*Lapina concluded her book with the repeated retirement of Wang An-shih at the close of 1076. Persistent struggle for reforms in the years that followed should be covered, in Lapina's view, in a separate monographic study.

work of political thought, laid the foundations for the reform movement proper; finally in the third stage (till the end of 1076) the edge of the struggle was poised in the economic sphere. Wider in the beginning, the social orientation of the leaders of this movement varied from stage to stage. The program of Fan Chung-yen and his adherents took into account mostly the requirements and interests of the lower and middle sections of the ruling class, wealthy townsmen and partly the upper layer of the peasantry who were not enjoying full political and judicial rights. Of some interest is Lapina's conclusion that the social and political ideas of the reformers in the thirties and forties reflected the thinking of supporters of a limited monarchy, progressive in the main and rather clearly defined. True, this trend remained unrealized because the social structure - i. e., the so-called estates and orders - had not yet taken shape in eleventh century Chinese society, while the place and the role of the lower and middle strata of the ruling class within the overall balance were still insignificant.

When Wang An-shih and his supporters came to power, the potential social base of the adherents of reform grew narrower. Attempts of the Wang An-shih government to impose full state control on trade, industry and crafts brought about an abrupt change in its course, which forced the reform adherents to regroup. Wang's program lost the support of various trading and industrial circles, first and foremost of all those in the cities. The tendency toward building up a limited monarchy came to naught. The reformers were striving for strengthening the despotic regime, a policy that was most fully expressed in the pao-chia law of 1070.

Lapina emphasized that we should not think of the Wang group as entirely progressive and look upon the opposition headed by Ssu-ma Kuang as wholly reactionary. Progressive and regressive tendencies alike marked the complicated and contradictory programs and actions of both parties. The Ssu-ma Kuang group partly upheld the economic interests of rich traders and feudal owners, and its policies held out some possibilities for spontaneous development of more advanced forms which, though rather immature, were present in the socio-economic structure of Chinese society of that period. By contrast, Wang's economic reforms showed a pronounced tendency toward stifling of the new forces being nurtured in the cities and suppression of the private feudal trading and manufacturing activity. This tendency clearly impeded the onward march of Chinese society.

In Lapina's book much attention is given to analysis of the theoretical views

of Fan Chung-yen, Ou-yang Hsiu, Su Shih, Li Kou and Wang An-shih. She extends this analysis and renders it more concrete in a series of subsequent articles and papers, in which Li Kou's treatise mentioned above receives her particular consideration [69, 71, 73, 76, 77]. Specifically, the author explains the common goals and methods of treatment and uses of the traditional ideological and theoretical heritage by Sung thinkers and political figures and sets forth the state of social and economic conditions as well as major trends in the evolution of the term ching-chi 經濟 as one of the basic concepts of statesmanship [76]. The author also takes up the problem of the functional relationship between moral factors (li) and law (fa) encountered in Li Kou's interpretation of the problem concerning "keeping the people content" [73]. Further, consideration is given to the economic, social and political aspects of the theoretical treatment and practical uses of the traditional formula "agriculture is primary, while trade and industry are of minor importance" (nung-pen shang-mo) advanced by ideologists and statesmen of the 11th century [69]. Finally, she evaluates the development of teaching on the role and purpose of bureaucracy in public and political life and its uses by the reformers [71].

A. S. Martynov's contribution [94] is an attempt to throw light on the basic ideas, found in the official documents of the Sung Dynasty, on the monarch as the only real force destined for putting in order the cosmos which comprises the divine and human, the natural and social spheres tied indissolubly. Everything is governed directly by agreement or disagreement between the world system and the Emperor's person, the state as such failing to be an independent entity, to say nothing of its being politically significant.

Another paper by the same author [95] treats Su Shih's philosophical and historical concept on the relationship between the chün-tzu 君子 and the state. In the opposition of chün-tzu and the Emperor, the former is also shown by Su Shih to be a heaven-sent creature, but differing somewhat from the Son of Heaven in terms of political practice, with a socio-ethical sphere of action. Hence, consideration is given to the problems of long-term coexistence and real interaction between the ethical tradition (Confucianism) and everyday political practice in Chinese history.

A number of works deal with the history of military theory and practice. Thus, Lapina's contribution [74] gives a comprehensive assessment of the section "Strengthening of the Army" to be found in Li Kou's treatise mentioned above. Lapina emphasizes that Li Kou considered the art of war an integral

part of the government policy and believes that this section was intended to help to solve the problems of internal security as well as external defence, indeed that of the two the former occupied the forefront. As to the ancient heritage, Li Kou took cognizance of tradition, but opposed the blind imitation of old patterns of military strategy and tactics and, proceeding from new conditions, advanced a number of propositions that were new to Chinese military science.

S. A. Shkolyar considers the treatise "Essentials of Military Science" mentioned above as an encyclopaedia of military knowledge for the period, which defined the trends of Chinese military science several centuries in advance. In the opinion of this author, who thoroughly studied the works of Ch'en Kuei, the ideas of the latter made a contribution to the theory and practice of the defence of fortresses based on missile weapons [152, 153, 155]. Considering Chao Wan-nien's book "Notes on the Defence of Hsiang-yang", Shkolyar expresses the opinion that this type of chronicle should be looked upon as a new genre of military history, a genre that appeared for the first time in the 12th century [152, 156]. In the works of the military authors of the 11th and 12th centuries listed, Shkolyar's attention was drawn mostly to specifications of missile launchers, peculiarities of their tactical applications and other aspects of the history of pre-firearm artillery of the period. Of considerable interest are the data given by Shkolyar in one of his articles on the Jurchen and Chinese who took part in setting up artillery units during the Mongol conquest for the invaders' army [154].

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Studies on the history of the Khitan, Tangut and Jurchen, and their relations with each other and with the Sung Empire have recently entered a new and more advanced phase.

The earlier articles by L. N. Rudov, L. L. Viktorova, L. I. Duman, E. N. Zalkind, V. S. Starikov, G. G. Stratanovich, V. S. Taskin on the ethnogenesis of the Khitan, their material and spiritual culture, the socio-economic structure and political life of the Liao state, and its ties with China and other countries and peoples, were successfully continued in the new series of works, 1967-1976.

Thus, N. Ts. Munkuev and V. S. Taskin [102] reveal the custom of union between adopted brothers common to the Khitan and the Mongols and described by both of them in similar terms. This custom originated from intertribal ties, but the Khitan extended it into the sphere of interstate relations, while even

the political alliances between the Khitan and Chinese rulers were registered as unions between adopted brothers. The materials collected by these authors present a new confirmation of the ethnogenetic and cultural (among other things, linguistic) affinity between the Khitan and the Mongols.

One of Taskin's works is a comprehensive article about the Chinese sources on Liao history [134]. Another is devoted to a description of the quarters of the Khitan emperors during their military campaigns [135]. Drawing upon Chapter 32 of "The Liao History" (*Liao-shih* 遼史), the author describes the organization and seasonal movements of the imperial command post, gives an account of the everyday life of the Liao ruling clique, the main occupations of the emperor, his family and closest associates, ways of diplomacy, training of the Khitan soldiers, etc. Foundations of the Khitan military establishment, principles of recruiting, and the structure of the Liao army are discussed in V. E. Larichev's and L. N. Tyuryumina's paper [81], using data from the same source.

Another article by Taskin [136] relates in detail how the Later Chin dynasty was proclaimed in 936 with the direct help of the K'i-tans, and how in the same year Shih Ching-t'ang 石敬瑭 was enthroned in Northern China. Later on a considerable part of the Chinese possessions passed to the Liao Empire, the latter gaining still more power and coming to be known as "The Great Liao".

L. I. Duman in his communication [28] deals with the history of military, political, diplomatic and trade relations between the Liao and China from the rise of the Khitan state in the thirties of the 10th century to the treaty of 1075 by which the Sung dynasty ceded part of its territory to the Liao state. The author presents data from various sources on attempts of the Chinese government to exploit the Jurchen, the Koryo and the Po-hai kingdoms in its struggle against the Khitan. Duman underscores the fact that the Sung imperial court renounced its claims to hegemony in the "Universe" and recognized its vassalage to the neighbouring state.

V. V. Kim reports interesting data from Korean and Chinese sources in his article on the struggle of the Koryo army and people against the Khitan invasions in the late 10th and early 11th centuries [41].

The advances of Soviet scholars in their studies of the pre-history and history of the Liao Empire yielded the first general essays on the Khitan and their state (works by Duman [27] as well as by Tyuryumina, Larichev and

E. P. Lebedev [142].

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The studies of Tangut and Hsi-Hsia history are continued and developed in accordance with the program outlined by the founder of Tangut studies in the Soviet Union, N. A. Nevsky [104].\* The earlier investigations and the tasks connected with subsequent work in this field are summarized in a survey by E. I. Kychanov [53].

E. I. Lubo-Lesnichenko and T. K. Shafranovskaya have published their works on the history of the ancient city of Hara-Hoto (the military and administrative centre of Hsi-Hsia and a repository of Tangut civilization) discovered by P. K. Kozlov at the beginning of the 20th century [64, 86, 88]. The relics of Hara-Hoto make up the famous Tangut collection housed at the Leningrad Branch of the Institute of Oriental Studies of the U. S. S. R. Academy of Sciences and the State Hermitage.

A ground-breaking monograph by Kychanov, the first in world Tangut studies presenting the history of the Tangut people since their emergence to their tragic fall before the Mongol invaders, was published in 1968 [42]. In this book giving a broad and complete treatment of the subject, the author advanced his concept of Tangut ethnogenesis and thoroughly traced all major stages in the life of Hsi-Hsia from its emergence in 982 (and not in 1032 as assumed before). Much of his attention is given to the economy of Hsi-Hsia and the specific nature of the Tangut economic structure. The author of the monograph classifies the social system of this state as feudal with considerable patriarchal and tribal survivals. The monograph explores in great detail the social and ethnic structure of the population of Hsi-Hsia, the structure and operating principles of government and administration, the organization of the army, and the place held and the part played by the army in the life of the independent Tangut state. There is a description of the dwellings and settlements, national garments, morals and rites of the Tangut people as well as other faces of their everyday life. A separate chapter is devoted to the culture of Hsi-Hsia, a culture in its own right with its own script,

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\* His life and activities are described in the book "Nikolai Alexandrovich Nevsky", by L. L. Gromkovskaya and E. I. Kychanov, Moscow, 1978.

book printing, secular and spiritual literature, education, religious beliefs, and art. Kychanov indicates conclusively that some state and political institutions, the educational system, and the ideology of the ruling class were developing under the influence of both the Chinese and the Tibeto-Uighur cultures, but once formed, Tangut civilization, as acknowledged by contemporaries, was profoundly distinctive and original.

The author sets the history of Hsi-Hsia against the broad background of relations between this state and neighbouring countries and peoples, i. e., the Uighurs, Tibetans, Sung, Liao, Chin and Mongols. Of particular interest are those sections of the book which throw light on the internal political situation in the Empire. Specifically, Kychanov traces in detail the turns and twists of the struggle for power between various court factions in the 11th and 12th centuries. The data collected by the author on the Khitan Hota revolt of 1140 and the popular uprisings of 1143 deserve attention.

Until about the mid-sixties, Hsi-Hsia studies had been conducted mostly on the strength of Chinese materials. Although these sources alone do not make it possible to clear up many important questions of Tangut history, without them we could not have read, explored and interpreted the original memorials of the Tangut written language containing rich resources for more profound and comprehensive studies of Hsi-Hsia. It has been primarily Kychanov's book, relying heavily on the Chinese materials that have stimulated further development of Tangut studies using new sources. Indeed, from the mid-sixties Kychanov and his co-workers have been making ever-increasing use of the Tangut manuscript and xylographic texts for their studies. These have enabled them to extend or, in a number of cases, correct previous views on many significant aspects of the inner political situation in Hsi-Hsia and the evolution of socio-economic relations, the ties between the Tanguts and neighbouring peoples, and other facets of the history of this state.

Thus, it has become possible to reconstitute more completely and precisely the pattern of stable economic development of the Tangut Empire which ensured the existence of a state that for two and half centuries ruled over, according to Kychanov's estimates, 2.5 million inhabitants [47]. Kychanov also can claim credit for having found, translated, supplied with commentaries and published a Tangut official document on land purchase of 1170 [59]. An article by the same author on serfs and servants in Hsi-Hsia provides a detailed description of the forms of bondage for the oppressed lower sections of the Tangut people [60].

Kychanov also has published the complete Tangut text, the Russian translation and commentaries on the ode, "The Hymn to the Holy Ancestors of the Tanguts", which narrates in poetical and legendary form the early history of the Tanguts [48]. Fascinating sidelights on the appearance, garments and articles of everyday life of the Tanguts are provided in one of the works by A. P. Terentyev-Katansky [137].

In a number of articles and papers Kychanov deals with Tangut laws and legal procedure [46, 52, 56, 57, 62]. In one of these works he analyzes the earliest code (surviving only in part) of Hsi-Hsia military laws published at the beginning of the 12th century [52]. The code contains many very valuable data on the Tangut army and the military and administrative apparatus of the Hsi-Hsia Empire. Other studies by the same author are devoted to the criminal code of the mid-eleventh century (again fragmentary) which covers the ten gravest offences (committed against the sovereign, the elders, etc.). These and some other law documents of Hsi-Hsia, discovered by Kychanov (for instance, those dating from 1169 and 1212 [54]), give a better idea of law-making in the Tangut Empire and its relation to the formation of the entire law system of the Far East from the 7th up to the 13th centuries [46, 57, 62]. As shown by Kychanov, although Tangut law was formed not without the influence of the Chinese law, the legislation of the two states differed substantially.

Other works by Kychanov [50-51] throw some light on the scope of geographical knowledge of the Tanguts, the names used in Hsi-Hsia for the Chinese, Khitan, Jurchen, Tatar, Tibetan, Uighur, Kara-Kitai and other peoples. The attitude of the Tanguts towards China, as described in various Tangut primary sources, is the subject of another paper by the same author [63]. On the one hand, the Tanguts thought of China as a power hostile to their independent existence, and, on the other hand, looked upon this state as a partner worthy of cooperation on the lines of mutual respect and equality which, however, the official Chinese doctrine denied to them.

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The wide scope of Soviet studies on the Jurchen and their state comes, to a large extent, from the abundance of material sources that have survived from this Southern Tungus people, and are to be found throughout the territories of the Soviet Primorye and Priamurye, the territories which proved to be of great importance for the Chin Empire. The search for these materials

began as early as in the mid-nineteenth century, but their systematic study has been underway only since the thirties and, more actively, since the fifties of this century. Thus, it has become possible not only to compare, but also to enrich, critically reinterpret, improve and expand the data on the Jurchen, predominantly their material and spiritual culture, which are available in the Chinese medieval written sources that surely are neither unbiased nor complete.

Soviet archaeologists have discovered numerous artifacts and sites of Jurchen civilization - a civilization in its own right - among which there are villages and fortified towns often enclosed with rows of moats and ramparts, residential and industrial quarters inside these towns, agricultural and industrial implements, burial grounds, palace buildings, places of religious worship, church plates, articles of everyday life, coins, weapons, etc. Complete description of all these are to be found in the works by M. V. Vorobyev [3, 5, 7, 8, 12], A. P. Derevyanko [107], V. E. Larichev [80], V. D. Lenkov [82, 85], V. E. Medvedev [97, 98, 110], B. P. Momot [100], N. V. Ovsyannikov [105], A. P. Okladnikov [107, 110], Yu. A. Sem [117], S. M. Tupikina [105, 139-141], E. V. Shavkunov [143-151]. Use has also been made of Chinese publications on the results of archaeological surveys of the territory of Manchuria and adjoining provinces of the CPR. Together with the intensive use of written sources in Chinese and Korean, as well as Russian, Japanese, Chinese, Korean and Western literature, all this enables us to reconstitute the broad panorama of Jurchen history and culture in the 10th-13th centuries.

The principal aspects of the studies conducted in the decade under consideration were the ethnogenesis of the Jurchen (by Vorobyev [6, 22]), agriculture (including the use of the plough) and other branches of rural economy (by V. I. Boldin and Shavkunov [151]), mining, metallurgy and metal working (by Lenkov [82-84]), ceramics (by Ovsyannikov and Tupikina [105, 139-141]), metal and paper money and circulation of money (by Vorobyev [2, 12, 13] and N. V. Ivochkina [30-34]), the position of various categories of the oppressed members of the population (by Ivochkina [35]), dwellings, mode of life, religious beliefs, rites and other facets of Jurchen ethnography (by Vorobyev, Larichev, Medvedev, Sem and Shavkunov [7-9, 98, 117, 148, 150]), the preconditions and origins of the Jurchen state prior to the early 12th century (by Vorobyev, Derevyanko, Kychanov and Okladnikov [23, 45, 107]), the political and legal systems, the organization of the army, the administrative and territorial structure of the Jurchen Empire, the national and ethnic composition as well as national policy of the Chin state (by Vorobyev [10, 11, 14, 20]), science

and culture (by Vombyev and Shavkunov [15, 17, 18, 22, 165]), foreign relations and wars on China, Korea, Hsi-Hsia and other states and peoples (by Vorobyev and Kychanov [16, 19, 42, 55]).

One example of a scrupulous study on a major subject in the economic history of the Jurchen is V. D. Lenkov's book on metallurgy and metal working [82]. The information found in written sources on Chin crafts and craftsmen is rather poor and scarce, but the latest archaeological finds used by Lenkov for his analysis make it possible to enrich substantially and correct the information available in regard to the metal industry and allied branches. According to Lenkov the Jurchen began to extract iron ore and make use of it as early as in the 7th-10th centuries, while during the next few centuries iron and other metals were used in all major branches of their economy as well as for military purposes. Jurchen craftsmen settlements arose whose place was taken in time by towns with state-owned and private foundries and workshops where ferrous and non-ferrous metals were cast and made into all kinds of goods. This book deals with a number of questions concerning other aspects of economic life and the social and legal status of the city dwellers as well as their everyday life.

The late sixties and early seventies saw several outline histories of the Jurchen and their state (works by Larichev, Okladnikov and Derevyanko [79, 106, 108, 109]), and a book by Vorobyev, the first historical review in Western scholarly literature on the Jurchen [1].

The book (published in 1975) comprises an extensive preface by the author, three substantive chapters, a conclusion and a comprehensive reference section. The first chapter is devoted to the history of the Jurchen till the formation of their state in 1115 and the second to the Chin Empire. Besides political history, both chapters discuss the nature of the socio-economic relations, the administrative, political and legal institutions, and the economy (agriculture, crafts and industries, trade, financing, means and ways of communication). The third chapter touches upon ethnic relations in the multinational Chin state and also Chin's political and diplomatic relations with the world around.

The method of study chosen by Vorobyev combines, integrally, research on geographical environment, the socio-economic development of Jurchen society, political history, the evolution of statehood and law as well as ethnic processes. It is precisely this synthetic approach that has enabled the author



to advance a number of original hypotheses and concepts and, particularly, to provide an answer to the question how the Jurchen could inflict such a heavy defeat on the Chinese Sung Empire, so powerful in socio-economic, military and political respects, and yet submit to the Mongol a century later. This many-sided, integral approach has also enabled the author to show convincingly the powerful potential of the Jurchen, their genetic roots deep in the history of the Tungus tribes in the Primorye, Priamurye and Manchuria as reflected in the further destinies of the Far Eastern nations. Vorobyev emphasizes that the prolonged and active intercourse of the Jurchen with the Turk and Mongol peoples and later with the Po-hai, Koryo, Liao, Hsi-Hsia and Sung states resulted in a process of mutual influence and enrichment in various aspects of the life of these ethnic groups and countries. The originality of the Jurchen ethos which became most prominent during the existence of the Chin Empire, the power of its self-consciousness, the force of its economic traditions, peculiarities of its material and spiritual culture, the positive energy of its independent statehood and creative political life did not vanish with the defeat of the Chin. The Jurchen proved to be a very stable cultural and ethnic community. Two centuries after the Chin had fallen under the blows of Mongol invaders, a new ethnic and political union of Jurchen tribes came into being which led to the formation of the Manchurian people who in the early 17th century established their own state, initially known as the Later Chin, symbolic of their conscious connection with the Jurchen Empire of the 12<sup>th</sup> and 13<sup>th</sup> centuries.

Details of the Mongol conquest of the Hsi-Hsia, Chin and Sung empires are given in the works by Kychanov [42, 49], Vorobyev [1], G. V. Melikhov [99] and N. P. Svistunova [116]. The authors note that although the army and civilians of these states put up stubborn resistance to the enemy and efforts were made (partly on the Tanguts' initiative) to establish an anti-Mongol coalition, the deep-rooted enmity among them prevented their unification for struggle against the common danger, which hastened the fall first of Hsi-Hsia, then of Chin and at last of Sung. As underscored by the above studies, the Mongol conquest and rule had most unfavorable repercussions on the economic, social and cultural development of China and the Jurchen, while the Tanguts were exterminated and their culture swept away virtually without trace.

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Even a brief survey of Soviet works on the history of China and neighbouring countries in the 10th-13th centuries published in 1967-1976

acknowledges the fact that research on this subject has been conducted on a broad footing and consistently extended. True, the internal political life of the Sung Empire up to the mid-12th century has been studied more thoroughly and comprehensively than the period that followed. Nevertheless, there is clear evidence of continued progress on the whole, a particular instance of which is the emphasis currently being placed on the history of Sung and neighbouring states and peoples in the general treatments of Chinese history [78] and textbooks on the medieval history of the countries of Asia for Soviet universities and other higher educational establishments [118, 127].