

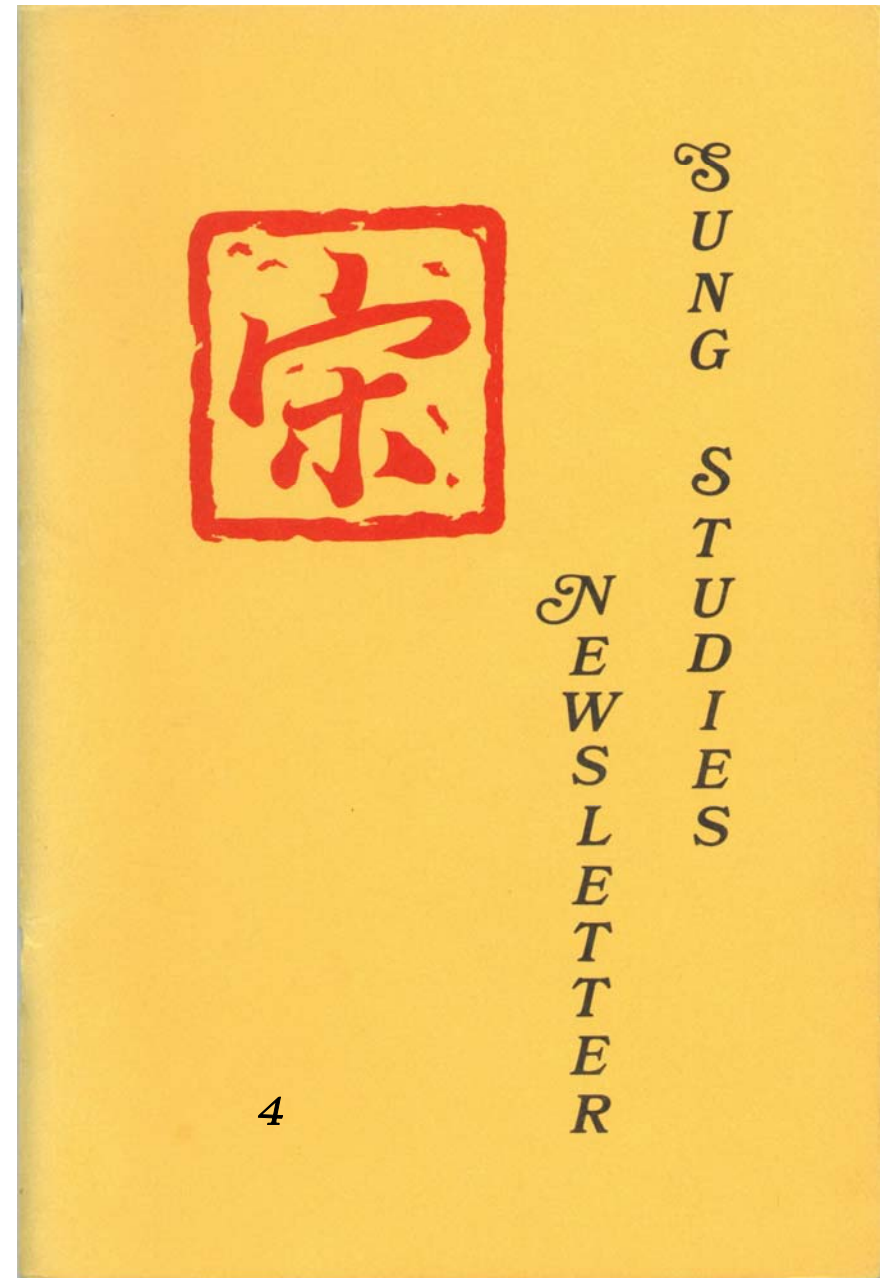
宋遼金元

The Society of Song, Yuan, and Conquest Dynasty Studies appreciates the generous contributions of Frank Wang and Laura Young, through the Wang Family

Foundation. Through their support the Society has been able to make electronic copy of the initial volumes of the *Sung Studies Newsletter* and the *Journal of Song Yuan Studies* available in the public domain.

Please Note: Because this newsletter was converted to a text-searchable format rather than scanned as a series of graphics images of the pages, it is not identical to the originally published version. The formatting has been corrected to reflect the page breaks in the original newsletter. **As a result, pages may end abruptly in the middle (or even beginning) of a line.** Moreover, the initial scanning converted characters to their simplified form. They have been restored to the traditional form, but some errors may have been introduced in the process.

Finally, please note that a **map** was included as an insert in this volume. The map can be found as a separate PDF file at the web site for the Society of Song, Yuan, and Conquest Dynasty Studies.



SUNG STUDIES NEWSLETTER

Number Four October, 1971

Edited by
Edmund H. Worthy

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SUNG STUDIES NEWSLETTER

Edmund H. Worthy, Jr., Editor

The Sung Studies Newsletter commenced publication in May 1970, with the assistance of a small grant from the American Council of Learned Societies. It is published twice a year, usually in March and October. The purpose of the Newsletter is to disseminate news and information to an international community of interested scholars and institutions and to print reports and short articles about Sung studies, which is defined to encompass the Sung, Liao, and Chin dynasties as well as the late Five Dynasties and early Yuan periods.

News of personal or project activities, résumés of theses, book notices, bibliographies, reports about research projects, and short articles, which should run no more than ten printed pages and can be of a tentative or speculative nature presenting or testing the preliminary results of research in progress, will be accepted and published in any language of scholarship. Contributions are welcomed and indeed encouraged.

Signed items in the Newsletter do not necessarily represent the views of the editor; responsibility for opinions expressed and for accuracy of facts in these signed notices, reports, or articles rests solely with individual authors.

Annual subscription rates for individuals are: Charter, US\$5.00, for those who wish to contribute extra support to the Newsletter; Regular, \$4.00, which is the normal subscription fee; and Sustaining, \$2.00, for students and others unable to meet high U.S. costs. The rate for libraries and institutions is US\$4.00 per year. Individual issues are available at \$2.00 each. Subscriptions are payable January 1 of every year. Checks or money orders should be sent to the editor and made payable to: Sung Studies Newsletter.

Address all correspondence, items for publication, and subscription orders to the editor:

c/o New Asia College
6 Farm Road
Kowloon, Hong Kong

FROM THE EDITOR

Humble apologies are in order to readers and subscribers of the Newsletter for the delay in publication of this fourth issue. (The editor would like to think that at least some scholars anxiously await each issue of this publication.) A move to Hong Kong in the late summer and the resultant confusion and reorientation have caused this interruption in the production schedule. Now that a reliable printer has been found and other arrangements made future issues of the Newsletter will, it is expected, appear regularly in March and October of each year.

CHANGE OF ADDRESS: Although notation is made elsewhere in this issue, the editor wishes to draw all readers' attention again to the fact that the new address of the Newsletter will be: c/o New Asia College, 6 Farm Road, Kowloon, Hong Kong.

The editor will be at the Chinese University of Hong Kong for the next two or three years and welcomes any Sung scholars coming through to contact him. Several have done so already.

SUBSCRIPTIONS: This is the last issue to be underwritten by the grant from the American Council of Learned Societies. The subscriptions for 1972 that have come in so far are nearly enough to insure the continuation of the Newsletter for at least another year. And at the rate that they have been tricking in -- hopefully, this will pick up to a steady stream with this reminder to any delinquent readers -- publication and distribution of the Newsletter will not be restricted. Almost ninety individuals have paid one of the three categories of subscriptions, and numerous libraries and institutions have also submitted orders. However, the editor hopes to secure more standing subscriptions from libraries and therefore would be grateful to all readers if they would check to see that their own university or institutional libraries subscribe.

Several readers have suggested that with the move to Hong Kong, it would be financially possible to have the Newsletter typeset rather than printed by the photo-offset process. After some investigation and consideration, the editor concluded that the present budget for the Newsletter couldn't afford a letterpress edition. Perhaps at some later date, if and when the Newsletter becomes more established. As it is now, offset printing in Hone Kong of less than 1,000 copies is not significantly cheaper than in the United States.

CONTRIBUTIONS: The Newsletter continues to receive various materials for publication, as evidenced in the present issue. The editor, nevertheless, still wishes to solicit additional contributions, either articles, book notices, thesis abstracts, or general items of information. The geographical scope of Sung scholars' activities is global; therefore, the usefulness and success of this publication depend on a cooperative spirit and effort on the part of all readers. Please do not hesitate to bring to the editor's attention any publications or items of news which may be overlooked or to submit voluntarily anything for publication. Suggestions and criticisms are always welcomed too.

The section Notes and Queries appearing for the first time in this issue will, the editor hopes, naturally expand in the future. Included here will be, communications from readers, their comments on items appearing in the Newsletter, and open requests for information. This latter function is a service the editor firmly believes the Newsletter can perform to benefit individuals and the field as a whole.

FORTHCOMING: The next issue will carry, among other items, an article by G. Lewin entitled "Bemerkungen zur Gesellschaftsstruktur der frühen Nördlichen Song-Zeit." Other issues in 1972 will also continue to publish various bibliographies.

Accommodative Politics: Sung China and 1930's China

James T. C. Liu
Princeton University

This abstract shows the relevance of Sung Studies by comparing the Southern Sung and 1930's China through a new concept in political science. A longer draft was read and discussed last winter at Columbia, Harvard, and Pomona. Revision is now in progress for journal publication in the future.

Accommodation is a universal practice in politics. Accommodative politics as a concept however means that it is the prevailing mode of operation. As such, it lies about halfway between such current concepts as repressive politics and consensus politics. In operation, it holds dissident power groups by concessions, but within limits, so as to stabilize the whole power structure by equilibrium.

This kind of politics requires certain conditions. The ruling power must have legitimacy. Next, it must have effective means of a control system. Etzioni in political science classifies control into three categories: normative by recognized status and power, remunerative by wealth, and coercive by force. But accommodative politics is an art that mixes the three. Reward is the carrot; force, the stick; the two form a base line that supports normative control, so to speak, at the top of a triangle. To do all this requires a third condition: the availability of extra resources. Also, fourthly, an intellectual climate that supports it, against criticism and opposition. With these conditions, accommodative politics operates both horizontally between the high and the low as well as spatially between the central and the outlying areas.

The Southern Sung reconstituted itself by welcoming all sorts of bureaucrats and overlooking their dubious qualities. It made itself militarily stronger by the chao-an 招安 policy, inducing armed bands and bandits to join its forces. As soon as the situation seemed safe, it took the control of these forces away from the generals, giving those who obeyed high honors and ample wealth. To make a long story short, this was the genesis that explains why throughout the Southern Sung there were an oversized bureaucracy, enormous military expenditures, administrative abuses down to the clerical level, but quite remarkably no large-scale peasant uprisings.

The serious shortcomings of the system were by no means unknown; on the contrary, they were tolerated by the intellectual climate. Some

emperors and many bureaucrats defended their accommodative tactics as the pseudo-Taoist juo-tao 柔道 (same character as judō in Japanese), the "soft approach." Also, the emperors learned to deal with complaining bureaucrats in typically bureaucratic fashion, using such tactics as delay, evasion, making a gesture, going through a motion, changing the appearance without changing the substance, etc. Sociologically, this may be called the routinization of emperorship by bureaucratization; it was a bureaucratized emperor. Under this mode of operation, even the protests of the Tao-hsueh 道學 school or "True Way School" did not make much headway. The power structure found its claim of independent ideological authority to be disturbing. When a ban failed to repress it, accommodative politics was used to tame it. Gradually, some of its leaders were given high offices with little power and its teachings were used in state examinations but not in policies. This was how accommodation accommodated the very protest against such.

The effectiveness of accommodative politics may have much deeper roots than political factors. Though such techniques and the value system, behind them stemmed from an overcrowded bureaucracy, they could well be related to that of overcrowded families in an overcrowded society.

The comparison of the Southern Sung and the Nationalist Government in the 1930's--two cases historically wide apart and otherwise much different--will of course suppress their dissimilarities. With this qualification, the same scheme seems applicable. First, Chiang Kai-shek 蔣介石 gained legitimacy by marrying a Soong 宋 daughter as Sun Yat-sen 孫逸仙 had done and by keeping many of Sun's veteran comrades around him in Nanking. Second, though his troops were well equipped, he always chose to conserve their strength and to induce, whenever possible, his equals, his rivals, or if they should refuse, the generals under them to come over to his side. Three examples would suffice here. He took Shanghai in 1927 with the help of Chen Yi 陳儀 who turned against his warlord master. He caused Yen Hsi-san 閻錫山 and Feng Yu-hsiang 馮玉祥 to retire from the battlefield in 1929 by having the Young Marshal Chang Hsueh-liang 張學良 move in from Manchuria with fabulous rewards. He got rid of Ch'en Tsi-t'ang 陳濟棠 in Kwangtung in 1936 when Ch'en's best division and his entire air force came over. This was how Chiang maximized his power structure by incorporating diverse groups at minimal military cost.

Third, for extra resources, Chiang drew upon the strength of Shanghai, the general recovery after the warlord and depression days, efforts of modern reconstruction, financial control and manipulation, and occasionally unofficial opium revenues. Fourth, his government appealed at

the time to a wide urban-oriented segment between the upper and the middle classes that long aspired for national unification. A number of intellectuals honestly believed that Chiang was China's best hope. Knowing all the faults of his government, they deferred the hope of having them corrected to the days when China would be strong. Meanwhile, many professional notables joined Chiang to fight Japan.

Accommodative politics may be used to explain the Sian Incident of 1936 and its resultant United Front against Japan. Chiang's Legitimate and indispensable national leadership came to be recognized by the CCP; on the other hand, Chiang made the ultimate or maximum concession of allowing the CCP to maintain in their area a dual government. This was how the Nationalist flag was flown by the Communists under their own separate command. Indeed, accommodative politics played a significant part, among other factors, in the coming of China's unification. Then, Japan attacked.

Accommodative politics and appeasement diplomacy may be seen as two sides of the same coin. This was true in the case of the Southern Sung which generally chose to accept humiliating terms in favor of security. For China in the 1930's, appeasement diplomacy may be defined as negotiations to seek temporary equilibrium by minimal concessions in the twin hope of gaining time for China's unification and of securing a maximal delay before final confrontation against Japan. It was obviously to the best advantage of Chiang's power structure.

The four conditions of accommodative politics, with slight modifications, are generally applicable to this appeasement diplomacy. First, China must keep her legitimacy. Regardless of the 1933 truce along the Great Wall and further Japanese penetrations, China never recognized the puppet state of Manchukuo 滿州國. Nor would she consider North China's autonomy. What Nanking did under Japanese threats in the winter of 1935 was to set up a Hopei-Chahar Political Council as a buffer authority, giving its Chinese regional leaders considerable power and reward in exchange for their nominal allegiance to Nanking's overall authority. In fact, Japan itself recognized Nanking's legitimacy. Only after the fall of Nanking and the failure of the German mediation in January 1938 did the Kono Statement refer to the Chinese government as the "Chiang regime." Second, Japan failed to get these regional leaders to declare themselves independent of Nanking mainly because of an under-estimation that Nanking still had in 1935 a Great deal of normative and remunerative control to sustain its influence in North China.

Third, on the financial side, the appeasement policy had mixed

results. It did not always entail fiscal losses, for in some paradoxical cases the Chinese government stood to gain. The Shanghai Truce of 1932 made it possible for Nanking to stabilize its economic base. The 1933 truce was the only time Nanking was able to set up some financial control over North China, except it had to turn over much of it to these regional generals in 1935.

Intellectually, the initial protest upon Japan's invasion of Manchuria in 1931 gave way to a debate after the 1933 truce: internal unification or external war of resistance, which should come first? Although the student movement and the Popular Front from 1935 demanded war, the Sian Incident settled the debate by a compromise in favor of Chiang: unification in preparation for war.

The scheme here may be extended to explain the war itself in 1937-45. The loss of the two cities, Peiping and Tientsin, squeezed out the four conditions necessary for the appeasement diplomacy: the great damage to legitimacy; the irrelevance of normative or remunerative control; the loss of financial resources there; and the wave of patriotism beyond suppression. Once the war started, accommodative politics became far less effective in interior China. The legitimacy of the government eroded under poor performance, unusual corruption, and widespread disillusionment. Normative control degenerated into repression; remunerative reward meant little in the face of super-inflation; and additional financial resources were nowhere to be found. Chiang's ghost-written book, China's Destiny, failed miserably in regaining intellectual support. The government, which had come into national power, much through accommodative politics, could not produce a new politics that would respond to different challenges.

In conclusion, let it be said that accommodative politics worked much better for the Southern Sung, since the society did not undergo fundamental change, as the case has been with contemporary China. In fact, it worked so well for the Southern Sung that in the absence of large-scale peasant uprisings it enjoyed the rare distinction of being an exception to the so-called dynastic cycles.

ECOLOGICAL ATLAS OF SOUTHERN SUNG -- HANG-CHOU

Rene Yvon Lefebvre d'Argencé
Center of Asian Art and Culture,
City and County of San Francisco

(Editor's Note: The existence of Mr. d'Argencé's unusual and extensive atlas is not widely known. We are delighted that he has provided an introduction to this work and a sample map below. Regrettably the necessity of considerable photographic reduction detracts from the original clarity and impressiveness of the map.

Although this piece of research was completed several years ago, sufficient funds have never been forthcoming to publish the many multi-color maps and accompanying text. Mr. d'Argencé is open to any suggestions or possibilities.)

This atlas was primarily designed to exemplify a method whereby all archaeological and first-hand historical materials relative to the planning of a traditional Chinese urban center, as well as its religious, administrative, military, economic, cultural, social and demographic aspects can be translated into synoptic and self-explanatory maps and charts for the benefit of further research.

The choice of Southern Sung Hang-chou 杭州, or Lin-an fu 臨安府, as it was then known, to illustrate the method in question resulted from two sets of determining factors. On the one hand, Hang-chou is a very famous town. With the obvious exception of Peking, no other Chinese capital has been more extensively studied by Eastern and Western scholars alike. On the other hand, the unparalleled abundance and quality of first-hand historical materials relative to Lin-an fu permit a far more accurate and detailed reconstruction of the intramural city than can be envisaged for any earlier capital.

Hang-chou, also known as the "City of Heaven" or the "Earthly Paradise", stands out as one of the most glorified cities in history, for it has enjoyed over a millennium of uninterrupted praise.

The origin of this enduring fame can be traced back to numerous eulogies by two of China's greatest poets, Po Chü-i 白居易 and Su Tung-p'o 蘇東坡. At an interval of 250 years both great men were sent by the court to administer this remote corner of the empire. To others it might have been a bitter exile. To them, the city and more particularly its adjacent lake, which they helped to consolidate and embellish, turned out to be inexhaustible sources of joy and inspiration. Some of their most striking stanzas, produced while they were entranced by the ever-changing

splendors of the Western Lake have outlived all dynastic and republican vicissitudes, still forming an integral part of China's cultural heritage.

Hang-chou's second great chance was to lie on the path of the retreating Northern Sung rulers, who somehow took refuge within its walls and did not depart before nearly a century and a half had elapsed. They came to an important but somewhat undignified port and left a glorious city, which was never to forget the experience.

Its third chance for fame was to be immortalized by Marco Polo, who visited it in the course of his long journey from Peking to central and western Fukien in the late 1280's shortly after the advent of the Yüan dynasty, which he served as Assistant-Commissioner for Military Affairs.

Hang-chou's fourth claim to celebrity is not due to historical hazards, but to the beauty of its site. To the fastidious Chinese, always fond of vast, pulsative panoramas, natural beauty is nothing short of the sea, a river, a lake or a mountain. Hang-chou happens to be one of the rare localities where all these elements can be taken in at a glance. Moreover, both the Western Lake and the Ch'ien-t'ang 錢塘 river are famous beauty spots in their own right.

No wonder, therefore, that during the Ming and Ch'ing dynasties, Hang-chou continued to be haunted by pilgrims, artists, poets, lovers of history and pleasure seekers. A glorious past attested to by many relics and enhanced by an unusually picturesque setting plus the well-known elegance of its female population, the excellence of certain local products, such as silks, brocades, tea, fans, hams, tangerines and many delicacies, all contributed to sustain Hang-chou's reputation. The Manchu Emperors K'ang-hsi 康熙 and Ch'ien-lung 乾隆 were so infatuated with the city that they each paid it six lengthy visits. Not has the fame of Hang-chou suffered from the drastic changes, which followed the downfall of the empire. Even today the city is being used as a kind of official resting place for the grandees of the regime and their guests. The sources on which this atlas is based are in chronological order: Ch'ien-tao Lin-an chih 乾道臨安志 (ca. 1173), Tu-ch'eng chi sheng 都城紀勝 (with a preface dated 1235), Hsi-hu Lao-jen fang-sheng Lu 西湖老人繁盛錄 (late 1230's) Ch'un-yu Lin-an chih 淳佑臨安志 (ca. 1252), Hsien-ch'un Lin-an chih 咸淳臨安志 (ca. 1274) Meng-liang Lu 夢梁錄 (ca. 1275) and Wu-lin chiu shih 武林舊事 (first decade of the Yuan dynasty). The list is limited to contemporaneous testimonies. Such, otherwise very valuable descriptions, like Marco Polo's chapter on Quinsai (corruption of Hsing-tsai 行在, another name of Lin-an fu) have been deliberately eliminated since they

emanate from authors who came to know the city only after it had ceased to serve as a capital and had been greatly disfigured as a result of the Mongol invasion.

In its present form the atlas consists of the following sections:

1. Historical remarks on pre-Sung and Sung Hang-chou.
2. Introduction to Atlas proper.
3. About eighty maps which can be divided into four main groups, i.e. sources (Sung maps and previous reconstructions), topography, comprehensive maps showing all structures in relation to one another, and detail maps illustrating the religious, administrative, military, economical, cultural, social and demographic aspects of the city.
4. Legends grouped by main categories and permitting immediate identification of any individual unit.
5. Comprehensive Alphabetical Index (2,000 entries) referring simultaneously to the sources, maps and introductory notes.

The map illustrated here gives a general idea of the topography of the intramural city in the thirteenth Century.

(Editor's Note; Due to difficulties in binding, this map can be loosely inserted into this issue.)

LEGENDE

	murailles intérieures et extérieures
	porte de terre
	porte d'eau
	grandes rues
	rue centrale de quartier (fang) et porte d'entrée
	rue secondaire (hiang)
	" " reconstituée
	canaux
	" reconstitués
	pont
	" reconstitué
	gué
	écluse
	étang
	bassin
	" réconstitué
	puits
	" réconstitué
	canalisation sous-terreine
	passage de la canalisation sous la muraille
	montagne
	" reconstituée
	grotte
	roche
	gouffre
	ravin

NOTES AND QUERIES

I should like to call the attention of the readers of the Newsletter to an error in my brief note on Sung historiography, which appeared in the second issue. On page 61 stated that the phrase wei che chu sheng 惟折諸聖 as used by Li T'ao 李濤 in his memorial of presentation for the Hsu Tzu-chih t'ung-chien ch'ang-pien 續資治通鑒長編 means literally, "then I decide which is the more 'sagely' ." I further said that although the phrase is troublesome, its general sense must be along the lines I suggest.

Now Mr. Wang Teh-yi 王德毅 of Taiwan and Professor Charles Hucker of Michigan have been so kind as to point out a more probable meaning of the phrase. Mr. Hucker writes: "To my mind another kind of sense emerges which seems more true to the Chinese as given: 'If events have been recounted in two versions, then only if they have been evaluated by a sage could we get the truth.' To me, the passage has the strong ring of a disclaimer. . ." Mr. Wang's interpretation is even more specific, and I should like to quote it at some length:

惟有請求皇帝的折衷才能得其真象，此處「諸」字作「于」字解，「聖」作「皇帝」解。.....事實上，皇帝也不會去折衷，不過是進書表中的客氣話。

To be sure, if I have stumbled over this bit of agile panegyric, I find myself in good company, for Yang Lien-sheng in 1952 pointed out a similar error in Arthur Waley's biography of Po Chu-i 白居易 (see Harvard Journal of Asiatic Studies, volume XV) . We must conclude, then, that from at least T'ang times on, the living Sage could only be one's sovereign, and that to hold otherwise was treason, rebellion, or lèse-majesté.

Of course this interpretation makes Li T'ao appear less the sober historian, and more the astute courtier - two roles which were best combined, and the second at peril abandoned. I apologize for misleading readers on this point, and hope that the new Li T'ao will not overmuch disillusion them.

-- James Zimmerman
Yale University

* * * * *

Professor Hsu Dau-lin 徐道臨 of the University of Washington wishes to solicit information about a particular edition of the Ming-kung shu-chih ch'ing-ming chi 明公書制清明集. He wrote: "Recently I read in Chou

Yueh-jan's 周越然 Books, Books, Books 書書書 (Shanghai, 1944, p. 44) that he had in his collection the fragment of a Ming copy of 1611 by Sheng hih-hsüan 盛時選 with two-thirds more material than the Sung copy which is now available in the Japanese reprint of 1964." Any readers having knowledge of this should contact Professor Hsu directly or through the editor.

NEWS OF THE FIELD

I. Sung II Conference

The Sung II Conference sponsored by the American Council of Learned Societies was held from August 28 through September 3, 1971 at Feldafing on the Starnbergese, an idyllic resort village outside of Munich, Germany. Seventeen participants from the United States, Japan, Taiwan, Hong Kong, and Germany gathered for intensive discussion of the fourteen research papers prepared for the conference. Professor John Haeger of Pomona College served as organizational chairman, with Professor Dr. Herbert Franke of Munich acting as the local host. Papers broadly concerned the economy, political institutions, and intellectual life of the Southern Sung, with two papers on the Chin. The topics are listed below:

1. The Social and Legal Status of the Tenant Farmer during the Sung, Miyazaki Ichisada 宮崎市定
2. Fiscal Privileges and the Social Order in Sung China, Brian McKnight
3. K'ai-feng in 1126: Some Unsolved Problems, E. A. Kracke, Jr.
4. Urbanization and the Development of Markets in the Lower Yangtze Valley, Shiba Yoshinobu 斯波義信
5. The Bureaucrat of the Sung Dynasty, Aoyama Sadao 青山定雄
6. Political Recruitment in the Chin Dynasty, Tao Jing-shen 陶晉生
7. Regional Control in the Southern Sung Salt Administration, Edmund H.

Worthy

8. Neo-Confucianism under Attack: the Condemnation of Wei-hsüeh 偽學, Conrad Schirokauer
9. The Road to Neo-Confucian Orthodoxy; an Interpretation, James T. C. Liu 劉子健
10. 1126-27: Political Crisis and the Integrity of Culture, John Haeger
11. Sung Patriotism as a First Step to Sung Nationalism, Rolf Trauzettel
12. Recovery from Mid-season: Court Generals and Wine in the Reign of Kao-tsung 高宗, Peter Golas
13. Wine and Wine Monopolies under the Chin, Herbert Franke
14. First Sung Reactions to the Mongol Invasion of the North, Charles

Peterson

In addition to these scholars, the following three scholars

participated in the conference, but did not present papers: Ch'üan Han-sheng 全漢升, Gabriele Sattler, and James Zimmerman.

II. 28th International Congress of Orientalists

The twenty-eighth session of this congress convened in January 1971 at the Australian National University in Canberra held one panel dealing with the Sung. The papers presented were: A Note on Martial Law in Traditional China, Herbert Franke; The Position of Commercial Tax in National Income and Tax-Supervisors in the Northern Sung Dynasty, Sung Shee 宋唏 (published in Chinese Culture XII:1:102-111, March, 1971); New Light on the Battle of Ts'ai-shih 采石 in 1161, Tao Jing-shen 陶晉生; The Taoists' Knowledge of Tuberculosis in the 12th Century, Liu Ts'un-yan 柳存仁; Dissent in Sung China, John W. Haeger; and, Government and the City in Sung China, Collin Jeffcott. In another panel, J. D. Frodsham read a paper entitled Mei Yao-ch'en 梅堯臣 and the Poetry of Northern Sung.

III. Sung Activities in Taiwan

Since the last report on the Sung Colloquium (宋史座談會) in the second issue of the Newsletter (October, 1970), eight more sessions have been held.

1. June, 1970: 魏汝森: 蒙古的西征
2. October, 1970: 楊樹藩: 遼金兩朝的中央政治制度
3. November, 1970: 張壽平: 宋代的詞
4. December, 1970: 方豪: 宋代佛教對書畫的貢獻
5. March, 1971: 李符桐: 元史的謬誤
6. April 1971: 梁嘉彬: 關於宋諸蕃志的流求國 (今琉球)與毗舍耶國 (今台灣)之考證
7. May, 1971: 翁同文: 從宋代的出版業看資本主義的發展
8. November, 1971: 蕭啓慶: 國外對元史研究的概況

IV. News Briefs

The Japanese Committee for the Sung Project has completed and printed, in mimeographed form, a directory of Sung scholars in Japan; the title is: 宋代史研究者名簿 .

Names and addresses of well over 100 scholars are provided.

* * * * *

Professor Hsu Dau-lin 徐道臨 is prolifically publishing his research on Sung law. To date four articles have been published in Tung-fang tsa-chih 東方雜誌: 宋律佚輯注 (September, 1970); 宋律中的審判制度 (October, 1970); 法學家的蘇東坡 (March, 1971); 蘇東坡, 常州和揚州詩案 (May, 1971). Two other articles -- 宋代縣級司法 and 論鞫獄分司 -- are forthcoming.

PUBLISHING AND BOOK NEWS

I. United States

1. Two Twelfth Century Texts on Chinese Painting by Robert J. Maeda, Michigan Papers in Chinese Studies No. 8, Ann Arbor, 1970, 74 pp. US\$2.00.

This book consists of a fully annotated translation of two texts on Chinese painting and an introduction. The principal interest common to both texts lies in the insight they provide on the Imperial painting academy during the transition from Northern to Southern Sung. The introduction investigates the available biographical material about the two authors and gives a well-balanced evaluation of the importance of the texts, relating them to the history of painting, and the history of painting criticism of the period.

The first text is the Shan-shui ch'un-ch'üan chi 山水純全集 (preface dated 1121) by Han Cho 韓拙. Han Cho was probably a member of the painting academy himself. His discussion is systematic, and his intention maybe called didactic; the main emphasis is put on landscape painting. The first six of the nine chapters are arranged according to motifs of subject matter, such as mountains, water, forests and trees, rocks figures, etc. The problems discussed in the last three chapters include brush and ink, ch'i-yun 氣韻, connoisseurship, and questions on how to study painting.

The study of this text reveals that the familiar antagonism of the academy painter, who only strives for transcribing nature as literally as possible, versus the wen-jen 文人 painter, who regards painting as a means of self-cultivation and self-expression, cannot be applied so stringently to this period. In his introduction Professor Maeda shows, how so-called wen-jen ideas are mixed into this "academic" text.

The second translation comprises the last two chapters (9 and 10) from Hua chi 畫繼 (preface 1167) by Teng Ch'un 鄧椿. Hua chi which was written as a sequel to the famous Li-tai ming-hua chi 歷代名畫記 (preface 847), and T'u-hua chien-wen chih 圖畫見聞志 (ca. 1075), deals with the period from 1075-1167. The first eight chapters consist of painters' biographies. The last two chapters discuss systematically various topics, though in a less orderly manner than Han Cho's text. Most valuable is the specific information on the organization, the history, and the artistic ideals of the painting academy under Hui Tsung 徽宗.

The quality of translations of Chinese painting texts has steadily improved during the last decades. This body of literature may be further opened up by not only trying to understand what a certain text says about a certain problem, but also by analyzing in detail how its discussion differs from all previous discussions of the same problem. This would necessitate broad terminological studies with the help of (not yet existing) indices, and the tracing of specific concepts and ideas through a great number of texts. Seen in this perspective the present book is of special value, because the two texts focus on the same problem - the academy - from different viewpoints, and ample references to earlier texts are given in the translator's footnotes.

-- Lothar Ledderhose

2. Commerce and Society in Sung China by Shiba Yoshinobu 斯波義信 translated by Mark Elvin, Michigan Abstracts of Chinese and Japanese Works on Chinese History No. 2, Ann Arbor: Center for Chinese Studies, The University of Michigan, 1970, iv, 228 pp., Maps, Glossary, US\$2.00

This lengthy abstract now allows those without a reading knowledge of Japanese to profit from Professor Shiba's recent monumental treatise Sōdai shōgyō-shi kenkyū 宋代商業史研究(Tokyo, 1968) which needs no introduction to readers of this Newsletter. Only Chapter VII of the original work and most of Chapter I have not been included. The rest of the Japanese volume, including numerous passages from Chinese sources, has been judiciously abstracted and translated with little distortion to Professor Shiba's main points. The translator has conveniently provided five new maps and frequently adds his own footnotes. At the end of the text appears a useful glossary of Chinese terms plus a list of all the sources quoted.

II. Europe

- I. Tao und Jen - Sein und Sollen im sungchinesischen Monismus by Olaf Graf, Wiesbaden: Harrassowitz, 1970, xii, 429 pp., Glossary, Bibliography, Indices, DM 70.

When Olaf Graf O.S.B. published the first Western translation of the Chin-ssu lu 近思錄 (Tokyo 1953) he identified this work in his subtitle as the "Sung-Confucian Summa" suggesting its importance for Neo-Confucianism

and simultaneously inviting comparison with the work of Thomas Aquinas. In his new book Father Graf has worked out these ideas by providing, in Part I, a general account of Neo-Confucianism and then proceeding in Part II to a comparative study of Chinese and Western philosophy.

The Survey of Sung Neo-Confucianism, the first to appear in German since the work of Alfred Forke, is centered on the Chin-ssu lu but also draws on the work of Forke, Needham, Fung Yu-lan 馮友蘭, Chan Wing-tsit 陳榮捷, Graham and other scholars in its discussion of the individual philosophers, explications of the technical terms of Neo-Confucianism, and analysis of Sung metaphysics and ethics. Some key terms, including Jen 仁, are left in transliteration, but for the central term of Neo-Confucian ethics, ch'eng 誠, the happy new rendering of "Wesenstreue" is suggested. "Geist" for "hsin" 心 by comparison seems less apt. The exposition of Neo-Confucianism is enlivened by references to Western philosophy intended here primarily as aids in understanding Chinese ideas as, for example, in the comparison and contrast Father Graf draws between Chinese Li 理 and Aristotle's forms (Morphé) or his suggestion that Jen in its cosmic role is not unlike Bergson's élan vital. Along with the discussion of philosophy proper, Part I also deals with other major themes of the Chin-ssu lu such as self-cultivation, government, education, heterodoxy, etc. It concludes with a short account of the Lu-Wang 陸王 school. Throughout, the author's admiration for Chu Hsi 朱熹 and other Neo-Confucian philosophers and his enthusiasm for his subject are much in evidence.

Part II begins with a discussion of the classic foundation of Confucianism starting with the "Four Books," the "New Testament" of Confucianism according to Graf who casts the "Five Classics" into the role of Old Testament. Next he deals with the I Ching 易經 praising the Sung Confucians for what they made of it while maintaining a critical attitude toward its influence on Chinese thought as a whole - he refers to it at the end of his discussion as a "Weisheit- oder Torheitsbuch." There follows a chapter on the relationship of the Chin-ssu lu to Buddhism and Taoism, but the bulk of Part II is devoted to a series of comparative studies with a chapter each devoted to Greek Antiquity, Hellenism, the patristic fathers, scholasticism, and a brief treatment of modern European philosophy. This is followed by a chapter on Tao 道 and Jen and a concluding chapter entitled, "Neo-Confucianism and Philosophia perennis."

This book covers a great deal of ground, both intellectually and historically, and the discussion of the two traditions leads to some interesting and novel juxtapositions from the comparison of Socrates to Confucius to that between William Ockman and Wang Yang-ming 王陽明. There

are also cases where Facher Graf finds that the two traditions converge as when he concludes that Plato's Agathon is Chu Hsi's Jen or when he points out that ethics was the same starting point for Plato and Kant as for the Chinese thinkers. Yet rather Graf reveals a sensitivity to the profound differences in the content as well as the pattern of development of Western and Chinese philosophy when he contrasts the Scolastic synthesis of Christian and Greek ideas with Neo-Confucianism in which the role of Buddhism was hardly comparable to that of Christianity in the Western intellectual world. He is equally interested in metaphysical differences and indeed suggests that the West progressed further on the road from Mythus to Logos than did the Chinese thinkers. He further stresses the absence of the concept of creation (creatio ex nihilo) as a factor limiting the development of oriental philosophy while noting the religious rather than philosophic origin of this idea in the West. Although he is generous in his praise for the philosophic contributions of Neo-Confucianism, Father Graf concludes that the Neo-Confucian intellectual edifice is not as impressive as that of Thomas Aquinas.

-- Conrad Schirokauer

2. Der Abschluss eines Vertrages: Diplomatie zwischen Sung-und Chin-Dynastie 1117-1123, by Dagmar Thiele, Munchener Ostasiatische Studien VI, Wiesbaden: Franz Steiner Verlag, 1971, 289 pp., 1 map. DM34.

This is a study of the genesis and problems concerning the first of five major treaties between the Sung and Chin concluded in 1123, a treaty which offends the traditional patterns of foreign policy in the Chinese Empire insofar as it was the Sung who took the initiative for diplomatic contact with "barbarians."

Part I presents an analysis of the historical and political situation which led up to the 1123 treaty and part II a chronological description of the diplomatic contacts and negotiations between the two states. All this serves to evaluate the significance of the two separate oaths sworn by the states for the following decades of their "co-existence." The main source of this study is the San-ch'ao pei-meng hui-pien 宋朝北盟彙編 (chapters 1-18) by Hsü Meng-hsin 徐夢莘 (1126-1207) presented to the throne in 1194. This text, a chronological description of the military and diplomatic relations of the Sung, Liao, and Chin for the years 1117 to 1162, contains quotations from many sources now lost.

The author's detailed account of all the primary sources gives an

idea of the wealth of documents (in addition to the two sworn oaths, 21 state documents) and embassy reports for the period 1117-1123. These documents, the author points out, are not to be understood as descriptions or explanations but as political acts in regard to their intention and function in the diplomatic arena.

After a careful and critical comparison of both the heretofore generally accepted so-called military alliance of 1120 between the Sung and Chin and the final treaty of 1123, the author concludes that there never existed nor was there ever fully intended an agreement of joint military attack against the Kitan, although this appeared to be the main subject of the negotiations.

An appendix to this volume provides a full translation of the relevant international documents for the period, supplemented with rich annotations.

-- Corinna Hana

3. Sung Ceramic Designs, by Jan Wirgin, The Bulletin of the Museum of Far Eastern Antiquities, Volume 42 (1970), 272 pp., 43 fig., 105 plates (1 color), map.

In this study -- originally a doctoral thesis completed at Stockholm University in 1970 -- an attempt has been made for the first time to make a closer dating of the different ceramic wares of the Sung dynasty based on their designs. The work deals with all the various types of ornaments found during this period, and it is to a great extent based on recent excavations in China. The decorative themes are analyzed and related to the development of Chinese art in general; more particularly, the characteristic trends of Sung ceramic designs, such as the realistic interest in nature, are tied into to the mainstream of Sung art. Also treated are topics like the qualified acceptance under the Chin of Chinese schemes of decoration, and the evolution, through the Liao and Chin in ultimate conjunction with the more purely Chinese tradition, towards the style found under the Mongols after the end of the Sung dynasty. As a result of the analysis of the designs and the chronological and typological grouping of the material, ceramic art is made to take its proper place in art history to a degree hitherto not attempted.

This treatise is divided into four main parts. The first part gives an historical and cultural introduction to the period dealt with. The second part deals with the different ceramic wares, Northern celadon, ch'ing pai 青白, Ting yao 定窯, etc., and lists the most important types

found in each group. The third part deals with the principal motifs like peony, the lotus, the dragon, etc., explaining their symbolical meaning and giving an account of their use. The fourth part, which is called a tentative chronology, is an attempt to list the designs typical of the three main periods, Northern Sung, Chin and Southern Sung, and to analyze the styles characteristic of each period.

The author of this richly illustrated work has drawn upon and reproduced specimens from all the main private and public collections in Europe, U.S.A. and Asia as well as recent archaeological finds from China. An extensive Chinese and Western bibliography is also provided.

-- Jan Wirgin

4. Études Song in memoriam Étienne Balazs, Série I Histoire et Institutions, edited with introduction by Françoise Aubin, Paris: École Pratique des Hautes Etudes, VIe Section and Mouton & C.; Fascicule 1, 1970, pp. 1-84, Guilders 15.50; Fascicule 2, 1971, pp. 97-180, Guilders 15.50.

This long awaited collection of articles commemorating a Western pioneer in Sung studies reflects the progress made in the field since he first began his research almost forty years ago. Some nearly thirty persons representing an international cross section of many of the leading Sung scholars have contributed to this memorial volume which is being issued piecemeal in fascicules in two separate series. One series concerns topics broadly related to "civilization," and the other "history and institutions." Six articles out of fourteen have appeared to date in this latter series. The first fascicule contains a brief necrology of Balazs written by Paul Demieville, in addition to an introduction to the entire section on history and institutions. A condensed chronological table of major events mentioned in the various essays is also provided with reference to the article(s) discussing them.

The lead article by Ho Ping-ti 何炳隸 entitled "An Estimate of the Total Population of Sung-Chin China" concludes that the population of China in the 12th and 13th centuries was "in excess of 100,000,000." The author goes into some detail about the Chin demographic figures and method of registration; in discussing the Sung statistic he suggests modifications in some Katō Shigeshi's 加藤繁 earlier studies on the topic. Herbert Franke's contribution -- "Treaties between Sung and Chin" -- is a careful examination, with lengthy translations, of the texts of the first three of the five treaties between the Sung and Chin, specifically the "sworn oaths" for 1123, 1126, and 1141, these being the treaties for which the most complete documentation

exists. This study reveals the rationality and flexibility of Sung foreign politics in the face of military reality, not strict adherence to ideology

The second article on diplomatic history -- "Les guerres entre les Sung du Nord et le Hsi-Hsia 西夏" by E. I. Kycanov -- is the first article in the second fascicule. (All the articles in this fascicule were translated into French by the editor from either Russian or Japanese.) Each of the seven incidents of war are discussed, with the conclusion that the primary cause for the conflicts was the Northern Sung's reluctance to admit the existence of the Hsi Hsia state. The military historian S. A. Skoljar in his illustrated essay on "L'artillerie de jet à l'époque Sung" analyzes the technical aspects of launching devices and projectiles, including explosive missiles; he also shows the tactical application of these weapons. The final two articles treat popular uprisings. G. J. Smolin presents at some length a very complete picture of a mid-eleventh century rebellion in his article "La revolte de la société secrète du Mi-le-chiao 彌勒教 conduite par Wang Tse 王則 (1047-1048)." Finally, Miyazaki Ichisada's 宮崎市定 very brief but incisive piece "Ya-t-il eu deux Sung Chiang 宋江?" clears up the confusion that has existed concerning the various Sung Chiang figures.

III. Australia

1. Index to Biographical Material in Chin and Yuan Literary Works, First Series, by Igor de Rachewiltz and Miyoko Nakano, Centre of Oriental Studies: Oriental Monograph Series No. 6, Canberra: Australian National University Press, 1970, 69 pp., Introduction, Table of Titles, Authors and Editions, Character Index, n.p.

This index of biographical materials -- for the most part tomb inscriptions 墓志銘, epitaph stelae 神道碑, and records of conduct 行狀 -- is based on 23 wen-chi 文集 of the Yuan and Chin periods. A second compilation covering approximately the same number of literary collections is projected as the second series of this project. The compilers intend this index to be a supplement to the Harvard-Yenching Combined Indices to Thirty Collections of Liao, Chin and Yuan Biographies which indexes primarily biographies from official and semi-official historical compilations; and truly not only new materials are indexed but also a number of figures not to be found in the Harvard-Yenching work, most notably women and Buddhist and Taoist priests, are included. Several features distinguish this index making it particularly useful. Each main entry for 3 figure provides his or her courtesy name(s) 字, literary or religious sobriquet(s) 號,

and posthumous name 縉 if known. All literary and religious sobriquets are also listed with cross-references in the index, which is arranged alphabetically according to the Wade-Giles system of romanization. Finally, entries for females provide, when known, the relationship, usually that of mother or wife, to a male figure; likewise the corresponding entry for males indicates the name of known female relatives with biographies indexed in the compilation.

IV. Hong Kong

Sung-tai shu wen-chi ts'un 宋代蜀文集存, compiled by Fu Tseng-hsiang 傅增湘, Lung Men Press, Ltd. reprint, 1971, 1,269 PP., Table of Contents, Hardback US\$70.00, Paperback, US\$60.00.

The contemplated reprinting of this important, but rare collection originally published in 1943 was announced in the first issue of the Newsletter. The compiler gathered more than 2,600 writings by some 450 Sung period authors from Szechuan. The extent and value of the compiler's efforts can be illustrated by the fact that the Ssu-k'u catalogue records no more than 30 wen-chi written by Szechuan scholars from the Sung. Also provided in this work are detailed reference information for the sources of the material collected and biographical data about the various authors.

Professor James T. C. Liu 劉子健 has prepared a brief preface to the reprint explaining its merits and the importance of Szechuan in the Sung period. A newly compiled table of contents facilitates use of this volume.

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Reprint

Sung-tai ch'ao-yen chih-tu yen-chiu 宋代鈔監制度研究 by Tai I-hsüan 戴裔宣, Shanghai: Commercial Press, 1957, reprint Hong Kong, 1971, HK\$36.

V. Taiwan

1. National Taiwan University history and Literature Series

The following three titles relating to Sung studies were published in 1969 in this series (國立台灣大學文史叢刊) which is not very widely known outside of Taiwan. Each of these works is based on an M.A. thesis written at the National Taiwan University.

a. Sung-tai te t'ien-fu chih-tu yü t'ien-fu shou-ju chuang-k'uang 宋代的田賦制度與田賦收入狀況, by Chao Ya-shu 趙雅書, National

Taiwan University History and Literature Series No. 30. Taipei, 1969, 2, 172 + 2 pp., Table of Contents, English Abstract, n.p.

This treatise on the land tax system approaches the subject primarily from a national or central government point of view, with relatively little attention given to the many regional differentiations and situations. Accordingly, the author has for the most part utilized official documentary sources and has not extensively tapped the materials to be found in wen-chi or even the few extant Sung gazetteers. These reservations do not, however, diminish the value of the author's presentation of the complicated land tax policies and structure in the Northern and Southern Sung. Among other topics, he discusses the attempts to reform abuses and to make the tax more equitable; the ways of tax collection and the general rates are also treated at some length. Finally, in one chapter the author reviews the corvée labor practices of the dynasty.

b. Sung-tai hua-pen yen-chiu 宋代話本研究, by Lo Heng-chün 樂衡軍, National Taiwan University History and Literature Series No. 29, Taipei, 1969, 2, 234 PP., Table of Contents, Bibliography, n.p.

While the major portion of this treatise is devoted to establishing and authenticating the hua-pen genuinely of Sung creation, the author also considers the origin, nature, and structure of these story prompt books. The concluding chapter presents a literary analysis of the hua-pen.

c. Tseng-pu Su Tung-p'o nien-p'u hui-cheng 增補蘇東坡年譜會證, by Wang Pao-chen 王保珍, National Taiwan University History and Literature Series No. 27, Taipei, 1969, 2, 5, 249 + 1 pp., Table of Contents, English Abstract, n.p.

Originally an M.A. thesis completed in 1961, this work has been substantially supplemented and revised before publication to include the results of more recent scholarship and discoveries, in particular the first chronological biography of Su dating from the Sung that was uncovered in Japan in 1965. There have been six nien-p'u of Su Tung-p'o, and the author of this seventh points out the discrepancies in these, adding his own interpretations and interpolations. In the course of his chronological account he gives special emphasis to Su's literary efforts and to his influence on the literature and literary trends of the times.

2. "Bibliography of Works of the Sung's Scholars" 今存宋人著述知見書目初稿 by Yang Chia-lo 楊家洛 and Chuan Kia-tyng 莊嘉廷, Chinese Culture, volume 11 number 4 (1970) and volume 12 numbers 1, 2, 3 (1971).

This impressive bibliography is the initial phase of an ambitious

project which will eventually update and amend the Sung dynastic history's bibliographical treatise (藝文志). The present work, including nearly 2700 entries, lists the many works by Sung authors, and these books' various editions, which are still extant and which Professor Yang has personally seen. Those books whose existence he cannot certify from personal inspection but whose existence is generally unquestioned will be included in a future supplement to the present bibliography. Professor Yang also has the hope of combining these two bibliographies with another, to be compiled sometime in the future, recording the works by Sung authors now lost. These bibliographies would then be tantamount to a new 藝文志.

The arrangement of the present bibliography basically follows the Ssu-k'u classification with some modifications introduced by Professor Yang. The compilers take care to mention for each title the different extant editions which have appeared since Sung times either separately or in collectanea. Furthermore, any major discrepancies between these editions, such as in the number of chüan, are also pointed out. An index to the authors and compilers of these Sung works still remains to be published.

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Briefly Noted

Sung Chia-ting-pen chung-hsing kuan-ko lu 宋嘉定本中興館閣錄, Sung Yuan chen-pen shan-pen ts'ung-shu, First Series, 宋元珍本善本叢書 第一輯, Taipei: China Cultural Enterprises 漢華文化事業公司, 1971, NT\$2,000. This reprint is a photo-facsimile of the extremely rare original Sung woodblock edition now held in the National Central Library in Taiwan.

VI. Japan

1. Iwanami kōza shekai rekishi 9 岩波講座世界曆史 9 Chōsei 3 中世 3
Tokyo: Iwanami shoten 岩波書店, 1970, 9, 550 pp., ¥1000.

This volume in the distinguished series on world history by Japanese historians is divided into two parts, one on inner Asia and the other dealing with East Asia, mostly China. In all there are eighteen essays, including two introductions to each part, which generally treat various topics of Sung, Liao, Chin, and Yuan history.

The articles are listed in the bibliography at the end of this issue of the Newsletter.

2. Gendaishi kenkyū bunken mokuroku 元代史研究文獻錄, compiled by Yamane Yukio 山根幸夫 and Ohshima Ritauki 大山鳥立子, Tokyo: Kyuko

Shoin 汲古書院, 1971, 213 pp.

This classified bibliography includes books and articles written about the Yuan dynasty in either Chinese or Japanese between 1900 and 1970. Actually, it is a re-compilation of the data in Tōyō-gaku bunken ruimoku 東洋學文獻類目, Nihon ni okeru Tōyōshi rombun mokuroku 日本に於ける東洋史論文目錄, Chung-kuo shih-hsüeh lun-wen so-yin 中國史學論文索引, Kuo-hsüeh lun-wen so-yin 國學論文索引, and Chung-kuo shih-hsüeh lun-wen yin-te 中國史學論文引得.

THESIS REGISTRY

I. Dissertation Résumés

- I. Der Huang-ho und die historische Hydrotechnik in China unter besonderer Berücksichtigung der Nördlichen-Sung-Zeit. Mit einem Ausblick auf den vergleichbaren Wasserbau in Europa, by Klaus Flessel, University of Tübingen, Ph.D. thesis, 1971, 255 pp. + glossary + index.

This thesis describes the Huang-ho 黃河 and the historical hydro-technology in China, particularly during the Northern Sung. Some aspects of comparable technology in Europe are also discussed. There are two basic reasons why special attention is devoted to the Northern Sung period out of the long history of Chinese river conservancy. 1) The documents from the Sung period are the earliest dealing exhaustively with the details of the engineering and organization of river conservancy. Such details can be found in Sung-shih 宋史, Hsu tzü-chih t'ung-chien ch'ang-pien (shih-pu) 續資治通鑿長編(拾補), Sung-hui-Yao 宋會要, and Ho-fang t'ung-i 河防通議. 2) Not only do the Sung documents reflect a wealth of river conservancy experience, gained through previous centuries, but they also provide the cornerstone for hydrotechnical practice up to modern times. There were no further fundamental innovations in this field in China until the introduction of Western technology and the use of concrete as a building material.

The first section of the thesis investigates the origin of the name "Huang-ho", which contrary to a remark of Biot was in use long before the Sung. The speculations concerning the sources of the Yellow River are reviewed, and the history of their real discovery, which first came to an end in 1954, follows. A detailed physical geographical description of the Huang-ho and its basin, to which modern Chinese research work has given special preference, serves as a background to the main part of the thesis.

The next section begins with a discussion of the manifestations of the early passive attitude towards the Huang-ho, above all, local sacrifices to the river, which with small modifications became an integral part of the state sacrifices of subsequent dynasties.

River dam works of the seventh century B.C. mark the first step of active measures. Considerable correspondence between the functions of embankments in China and those in Europe, first introduced in 11 B. C. according to Tacitus, permits a comparison of the respective dyke constructions. This similarity of European and Chinese river conservancy techniques helped suggest German equivalents for Chinese engineering

terminology not found in standard reference works. Many pictures and drawings are used to illustrate the technical terms.

In addition to earth dyke constructions, the production and use of fascines, particularly roll fascines (sao 掃), a typical Chinese technique, are discussed in detail. Fascines were often further processed into "wooden bank" (mu-an 木岸) which together with "saw-teeth" (chü-ya 鋸牙) "wooden dragons" (mu-lung 木龍) and other devices were used for the protection of embankments. The high level of ancient Chinese hydro-technology is further shown in the use of riverbed dredging machines (chün-chuan-pa 純川杷), in the manipulation of the watercourse by groyness (ma-t'ou 馬頭), and in artificial waterways in the form of branch canals (chih-ho 直河), or diverting canals (chien-shui-ho 減水河). In general the thesis examines these and other hydrotechnical engineering practices up to Ch'ing times.

The next chapters on the planning and organization of large-scale works on the Huang-ho focus exclusively on the case of the Sung dynasty. Much attention is given to the situation of the individual corvée labourer and his working hours, leave of absence, remuneration, and working standards. Sung China had a calculation system allowing, cum grano salis, the predetermination of the amount of labourers, material, time and money needed for dyke repairs, river maintenance, and similar public works. The supervision of these enterprises was in the hands of professional officers who made regular inspection tours and had agencies outside the capital, in contrast to pre-Sung times when the responsible officers executed their tasks from the remote metropolis. During the Sung all-important public works for flood prevention, embankment protections, and the like, were under control of the central government, not of the local administration. This situation differs from that described by Twitchett for the T'ang dynasty.

All the discussions of the various problems in connection with the Huang-ho are brought to bear on understanding the practices described in the Sung-shih hsin-pien 宋史新編. Because this work gives, in the proper historical getting, most of the details about controlling the Yellow River, a translation of ch. 24 ("river and canals") is incorporated into the thesis.

--- Klaus Flessel

2. Sung Government at Mid-season: Translation of and Commentary on the Ching-k'ang ch'uan-hsin lu 靖康傳信錄 by John Winthrop Haeger, University of California, Berkeley, Ph.D. thesis, 1970, 350 pp.

The first part of the thesis consists of a complete translation

of the Ching-k'ang ch'uan-hsin Lu (3 ch.) [Transmitted record of the Ching-k'ang period] by Li Kang 李綱 (1083-1140), a political memoir written in 1127 describing events in the Sung capital of K'ai-feng 開封 between the twelfth month of 1125 and the ninth month of 1126. The translation is followed by historical and textual notes, and by three chapters of commentary. CKCHL is technically accurate, but its overtly political purpose involves some interpretive distortions. It was composed primarily to ensure the good reputation of its author, who, unable to prevail in the actual events of his day, was determined to prevail in the historical record. CKCHL is most significant for its testimony on the Confucian approach to crisis, on the justification and tolerance of political dissent and on the political and social values of Sung men.

-- John W. Haeger

II. Theses in Progress

1. Settlement Patterns and Economic Development in Western Ssu-ch'uan, ca. 1050-1850, Andrew Han-ting King 金翰庭, University of Pennsylvania.

An analysis of agriculture and settlement patterns in the Ssu-ch'uan 四川 rice region between A.D. 1050 and 1850, centered on the Ch'eng-tu 成都 Plain, as a case study of the possibilities and limitations of economic development in rural China. I shall attempt to establish an early (1050-1150) and a late (1750-1850) reconstruction, focusing on an analysis of the causes of change between the two periods, and the process of growth and redevelopment after the Yuan period. This region will be taken as a subject for the application and testing of demographic and location theory in the factors affecting economic growth.

-- Andrew Han-ting King

2. The Thought of Su Hsun: An Essay on the Social Basis of Intellectual Pluralism in Northern Sung, George C. Hatch, Jr., University of Washington.

The thesis examines some implications of the Naito sociology for Sung thought. Su Hsün 蘇洵 is taken in the context of a relation between a rapid social mobility and a high incidence of intellectual pluralism. Chapter I consists of a biography of Su Hsün, with conceptual emphasis on his unusual self-image as a regional social consciousness, and the manner in which he projected it onto the normative culture. Chapter 2 attempts to discuss briefly his literary style and the manner of its endorsement in Ou-yang Hsiu's 歐陽修 circle of classical prose stylists.

The classical sources of Su Hsun's rhetorical style are analyzed toward an understanding of his formal conceptualizations of political and historical writing and their function as political advocacy. Chapter 3 attempts to develop Su Hsun's political writing about history and society as a point of contact between regional social values and the normative Confucian culture. Liberally translating from both banal and highly original material, Su Hsun's tendencies toward historicism, anomy, and psychological reductionism in political behavior are analyzed as a self-conscious anti-traditionalism. The implications of his preference for hero over bureaucrat, ability over morality, and the affective aspects of human nature over its metaphysical properties are employed in judging him a political romantic, who indulged his personal values in volumes of historical romance rather than submit to classical Confucian norms. Chapter 4, in conclusion, attempts to place the ambiguity of Su Hsun's reputation in his own day against the larger tension between intellectual pluralism and orthodoxy. Though he attacked Confucian ethical culture as effete and inadequate to its political responsibilities, he called himself still a ju 儒, implying a social status without ideological content. Wang An-shih 王安石 tried anyway to read him out of Sung thought as an anomic anachronism. The role which behavioral imperatives of bureaucratic institutions may have played in suppressing intellectual pluralism as destructive of authority, decision, and action is reviewed.

-- George C. Hatch, Jr.

3. The Tz'u of Su Shih (1036-1102), Lee Hua-chou 李華宙, Columbia University.

This dissertation examines Su Tung-P'o's 蘇東坡 tz'u 詞 poetry, his contribution to the development and survival of the tz'u as a serious literary genre, and his influence on tz'u poets of following generations.

--- Lee Hua-chou

4. A Chinese View of Twelfth Century Korea: A Translation and Study of Hsu Ching's 'An Illustrated Account of the Embassy to Korea in the Hsuan-ho Reign Period', Douglas Merwin, Columbia University.

The object of my research, the Hsuan-ho feng-shih Kao-li t'u-ching 宣和奉使高麗圖經 (KLTC), is rather an obscure work, but one, nonetheless, of major importance to an understanding of Northern Sung-Koryō relations. I am translating the entire KLTC (40 chuan in 4 volumes), but will omit some portions in the final rendering. The annotated translation

will constitute rough two-thirds of my dissertation. The other third will be a detailed analysis of the KLTC in terms of its literary, cultural, and strategic significance. In this last regard, I intend to investigate tentative evidence suggesting that the Hsuan-ho embassy was an intelligence-gathering mission, and the KLTC a report presented to the Sung court by a keen and intelligent observer of the Koryō scene. The predominating theme of the work is that of the Chinese ideal (as embodied in the Chou-li 周禮) of a loyal vassal state set in the Confucian familial milieu.

-- Douglas Merwin

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