



## Dissertation Abstracts

We attempt to include in this section the most complete information about theses recently finished or topics currently under investigation (those marked \*). The following abstracts and titles are reprinted by permission from Dissertations Abstracts International (through June 1980) and from the Shulman bibliography cited below, or were submitted directly by their authors. If you are working on a dissertation and it is not listed here, or if you have completed one and no abstract is included, please inform us of your project and send in an abstract. In preparing this section, we have not construed our readers' interests narrowly and have chosen to err on the side of geographical and chronological inclusiveness.

Those theses listed with an order number may be ordered (microfilm or xerox) from Xerox University Microfilms, Dissertation Copies, P.O. Box 1764, Ann Arbor, MI 48106. For more information on how to obtain copies of dissertations, see Frank Joseph Shulman, ed., Doctoral Dissertations on Asia: An Annotated Bibliographical Journal of Current International Research 3.2 (Summer 1980):vi (published by the Association for Asian Studies, Inc.).

A CHINESE MILITARY STRATEGIST OF THE WARRING STATES: SUN PIN Order No. 7928381

BALMFORTH, Edmund Elliott, Ph.D. Rutgers University The State University of New Jersey (New Brunswick), 1979. 484pp. Director: Professor Jessie Gregory Lutz

Over two millennia ago there existed works by two "Sun-tzu" (Master Sun). Each was listed in the Ch'ien Han Shu (History of the Former Han), one as "Ch'i Sun-tzu" (Sun-tzu of the Ch'i kingdom: Sun Pin), the other as "Wu Sun-tzu" (Sun-tzu of the Wu kingdom: Sun Wu).

The work attributed to Sun Wu, known as the Sun-tzu, remained extant, but the Sun Pin was lost. This, plus the parabolic sketch of Sun Wu in the Shih-chi (Records of the historian), resulted in doubt about the existence of both men. Meanwhile, the Sun-tzu became China's preeminent military classic and has been translated frequently. Legends about Sun Pin the man nevertheless persisted due to evidence in such texts as the Shih-chi and Chan-kuo ts'ie (Intrigues of the warring states).

In A.D. 1972 graves dating between 134 and

118 B.C. were excavated, and bamboo slips were unearthed which included portions of works attributable to both Sun Wu and Sun Pin. That discovery made it possible to look for answers to problems besides that of the two "Sun-tzu," such as: What intellectual forces were at work on the author of the long-lost Sun Pin? What strategic and tactical concepts did he hold, and what attitude toward war, its conduct, and its tools? Could the text be chronologically placed, and if so, could any evidence be found about the social and historical framework of its period?

The principal method employed was examination of the reconstituted Sun Pin text, which was translated and appended to the thesis. The text's setting in turbulent chan-kuo (warring states) China was described, as was the scope of the recent discovery. The Sun-tzu and Sun Pin were examined with other sources for evidence of the lives of their authors. Finally, the Sun Pin text was analyzed. Western works were of value, but most work pertaining to the problems addressed was done in Chinese sources, primarily the Sun Pin itself.

The thesis found that both a Sun Wu and Sun Pin existed, and biographical sketches were created for each. The Sun Pin reflected a variety of intellectual concepts but no synthesis thereof. Its author accepted warfare but did not glorify it. He stressed that offensive action was to be taken only when victory was perceivable. Man was the most important factor in war. Troops, not spoken of as chattels, were ordinarily to be husbanded, but the commander had to be prepared to expend them as required to seize opportunity for victory. There was no hint of chivalry. Sun Pin acknowledged the efficacy of rewards and punishments, but his emphasis was on maintaining esprit (ch'i). Infantry, cavalry, and chariot units were dealt with, but the author concentrated on the chiang (commander). The ruler's martial function was maintenance of a strong logistics and manpower base. He was not to undertake a campaign lightly, but once he issued a mission order he was to give his commander free rein to accomplish it.

Unlike the long-extant Sun-tzu, the Sun Pin was tied to the reign (357-320 B.C.) of King Wei of the Ch'i kingdom. Also unlike it, the Sun Pin gave prominent place to T'ien Chi, Sun Pin's sponsor at King Wei's court and perhaps that of his successor, King Hsuan (r. 319-301 B.C.). New light was also

shed on the renowned battle of Kuei-ling of 353 B.C. Perhaps most significant, the newly-discovered Sun Pin did not contradict ancient history as known from other sources; rather, it largely supplements scholarly confidence in long-extant material.

**\*A STUDY OF THE POETRY OF INDIGNATION OF THE HAN, WEI AND THE SIX DYNASTIES.**

CHEN, Robert Shan-mu, University of British Columbia (Asian Studies). ADC: August 1982

Will contain an introduction adumbrating the impact of the Chinese poet's sense of mission in life vs. the social, economic and political changes in time; and a conclusion to explicate the sense of indignation as an essential criterion in Chinese poetics. Address: 12071, N.2 Road, Richmond, B.C. V7E 2G2, Canada.

**GOVERNMENT LAND POLICIES AND SYSTEMS IN EARLY IMPERIAL CHINA** Order No. 8013513

CROWELL, William Gordon, Ph.D. University of Washington, 1979, 446pp. Chairperson: Professor Jack L. Dull

Historically, the rulers of empires have sought to ensure the availability of the revenue and manpower necessary for the maintenance of their sovereignty and the operation of the administrative structure of the empire by stimulating growth of and extending control over "free-floating resources." One of the important ways in which the rulers of early imperial China undertook to guarantee the availability of such resources was through their policies with regard to land tenure and utilization.

Chinese political thinkers very early began to stress the importance of land as the source of wealth. They and the rulers they served attached great importance to a free peasantry as a source of manpower and revenue and as allies, albeit passive ones, in the struggle to maintain the primacy of the central government over locally powerful notables. If the central government were to promote the existence of a strong peasantry, then it had to ensure that the peasantry had land and the ability to work it. The efforts toward these ends of each regime from the Han dynasty (206 B.C.-A.D. 221) through the Northern Wei (A.D. 386-535) are described with attention to four areas: measures to ensure land for the individual peasant, government-administered lands, the promotion of agriculture, and the land tax.

To assure that the individual peasant had land, the Han dynasty distributed land on occasion to those who had none and acted against powerful notables who engrossed land. The Chin dynasty instituted a comprehensive system of limitations with amounts varying according to age, sex, and rank. In conjunction with this, a one-time allocation of land to those who had none was carried out. These measures were the precursors of a permanent system of land distribution--the system of equal land allotments--which was established under the Northern Wei in 485.

The most successful of the measures discussed were the government-administered lands. These were generally of two types: agricultural colonies and imperial lands. The former initially were worked by soldiers as a method of supplying troops in the

frontier regions during the Han, and they continued to have this function. Their success resulted in their being adopted in the form of civilian colonies by Ts'ao Ts'ao as the basis of his fiscal system. Under the Southern Dynasties, such civilian colonies were sometimes used to provide revenue for local officials. In contrast, the imperial fields were rented out. Under the Former Han, the revenue went to the imperial household, but subsequently it became part of general government revenues. From the end of the Later Han on, these lands were used to provide stipends for officials.

Promotion of agriculture was a policy common to all regimes of the period. It included irrigation and reclamation, dissemination of new techniques, relief measures, rewards to outstanding cultivators, and restriction of non-agricultural activities.

The land tax during this period was kept low as a means of encouraging people to take up, or at least not to abandon, agriculture. There were frequently remissions of the tax on auspicious occasions and when disaster struck. The tendency throughout the period was towards increasing simplification of collection.

Throughout the early imperial period, these policies operated with declining degrees of success. Most fundamental were the measures to ensure land to the peasant, but the elaborateness of these schemes was inversely proportional to the ability of the government to enforce them. The agricultural colonies were the most successful, but they could hardly be adopted as the fundamental social and economic structure of the empire. The other policies depended upon effective government, something that was increasingly in short supply.

**TRADITION AND HOLINESS IN THE ANALECTS OF CONFUCIUS** Order No. 76-20,666

GURDAK, Thaddeus John, Ph.D. (in Chinese) University of Wisconsin (Madison), 1976, 323pp. DAI 37, no. 6 (Dec. 1976): 3633-A.

**THE RISE OF THE MENCIOUS: HISTORICAL INTERPRETATIONS OF MENCIAN MORALITY, ca. A.D. 200-1200.**

HUANG, Chun-chieh, Ph.D. (in History) University of Washington (Seattle), 1980, 350pp.

Will eventually be available through University Microfilms International. Deals with the changing interpretations of Mencius' system of thought, focusing on Chao Ch'i, Han Yü, P'i Jih-hsiu, and Lin Shen-ssu. Address: 20-1, Lane 269, 3rd Section, Roosevelt Rd., Taipei, Taiwan 107, Republic of China.

**NATURAL MUTUALISM AND LAW IN TRADITIONAL SINISM AND THE WESTERN TRADITION** Order No. 8008905

LIM, Hyo-sun, Ph.D. Rutgers University The State University of New Jersey (New Brunswick), 1979, 253pp. Director: Professor Wilson Carey McWilliams

This thesis attempts to challenge "the ethos of modernity" and to contribute to a new "philosophy of life" through an examination of the idea of natural mutualism in "Sinism"--a uniquely Chinese world-view in ancient (or pre-Buddhist) China.

It is argued that the homocentric and mechanistic-atomistic perspective, which characterizes the modern Western understanding of the world, is, at least in its major part, responsible for the emergence of "the ethos of modernity" and its corollary, "technomorphic culture." Hence, the modern Western world-view is in principle incapable of dealing with the problem of life in its root level.

The study is based on two assumptions. First, it is assumed that both Confucianism and Taoism--the main pre-Buddhist Chinese philosophical schools--are committed to the idea of nature. Thus, their doctrines, it is argued, cannot be understood adequately (or intelligently) if we ignore or mistreat the important role played by the concept of nature in them. Their concept of nature, which I characterize as "natural mutualism," is so central to both doctrines that they may even be called "philosophies of nature." This idea of nature is called "Heaven" by the Confucians, "Tao" by the Taoists.

The second assumption is that both Confucianism and Taoism can be treated as two aspects of what H. G. Creel calls "Sinism," the uniquely Chinese world-view, and that the differences between them need not be emphasized, as has been the general practice. Since they stem from the same source of ontological experience and insight, they seem to concur on the main metaphysical understanding of the world. True, there are many significant differences between the two doctrines. But it is also true that the over-emphasis of the difference has been a major source of misunderstanding of the Chinese philosophy in general and Confucianism and Taoism in particular. Thus, the uniqueness of Sinistic perception of the world has been largely obscured or mistreated when not entirely neglected. Taoism and Confucianism should, and will here be understood and treated as two aspects of Sinism.

The guiding motif in this study is my belief that, in Hans Jonas's words, "an ethics must be founded on a principle discoverable in the nature of things," and that the natural mutualism of Sinism might offer some insight to the problem. At the least, it is different and reminds us that, after all, we have alternatives. The Sinistic "natural mutualism" gives a telling lesson: Man may win a battle against man, but he can never win a war against "what he is," the Way of Nature!

#### THE REFORMERS OF 1898 AND PRE-CH'IN THOUGHT

NOETHER, Roger Eugene, Ph.D. St. Johns University, 1980, 259pp.

This dissertation discusses and interprets K'ang Yu-wei's, Liang Ch'i-ch'ao's, and Mai Meng-hua's interest in Pre-Ch'in Legalist Philosophers, including Kuan Tzu, Shang Yang, Han Fei Tzu, et al.

#### \*MIRRORS OF VIRTUE: BIOGRAPHY IN EARLY CHINA

NYITRAY, Vivian-Lee. Stanford University, ADC June, 1982.

The goal is two-fold: to develop a scheme for distinguishing religious from non-religious biography and then to examine Han and pre-Han biographical texts in light of these definitions, while also tracing the influence of various philo-

sophical schools on biographical writing in China.

#### ORAKELWESEN UND ZUKUNFTSDEUTUNG IM CHINESISCHEN ALTERTUM: EINE RELIGIONSGESCHICHTLICHE UNTERSUCHUNG ZUR ENTWICKLUNG DES WELT- UND MENSCHENBILDES WÄHREND DER ZHOU-DYNASTIE

[German: Oracles and Divination of the Future in Chinese Antiquity: an Historico-Religious Investigation of the Development of the Image of the World and of Man during the Chou Dynasty.]

SEIWERT, Hubert Michael, Dr., Philosophische Fakultät, Bonn, 1978, 352pp. (Published as Orakelwesen... Zhou-Dynastie (Bonn, 1979, 352pp.)

#### THE MORTUARY ART AND ARCHITECTURE OF EARLY IMPERIAL CHINA

THORP, Robert Lee, Ph.D. (in Art History), University of Kansas, 1980, xxvi, 322pp. + 1 vol. of illustrations.

A study of tomb structures and furnishings of the Ch'in and Han periods (until ca. A.D. 100) based on recent archaeological reports with attention to the development of new traditions of burial. (Will eventually be available through University Microfilms International.)

#### INTERPRETATIONS OF THE CENTRAL CONCEPT OF THE I-CHING DURING THE HAN, SUNG AND MING DYNASTIES

WHITE, Douglass Alan, Ph.D. (in East Asian Languages and Civilizations), Harvard University, 1976, 246pp. (Available at the Harvard University Archives, Pusey Library, call no. HU 90.11086.10.)

#### THE CITY UNDER SIEGE: TECHNOLOGY AND ORGANIZATION AS SEEN IN THE RECONSTRUCTED TEXT OF THE MILITARY CHAPTERS OF MO-TZU

YATES, Robin D. S., Ph.D., Harvard University, 1980

This dissertation is divided into two parts, an introduction followed by the complete reconstruction, and translation, of chapters 14 and 15 of the Eastern Chou text Mo-tzu. The reason for attempting this reconstruction is that the content of the chapters has been ignored by historians of early China because corruption of the text in the course of transmission has made it nearly impossible to understand, secondly because scholars have considered them devoid of philosophical interest and unrelated to the other chapters of Mo-tzu, and thirdly because the chapters have been thought to be Han forgeries. Since, however, chapter 14 provides detailed information on the technological methods of defending a city under siege and chapter 15 gives precise requirements for organizing the civilian and military population under attack, and the laws and other regulations which should be enforced to ensure a successful defense, reconstruction of the text proves the chapters to be an extraordinarily valuable source for the historical study of the period just prior to the unification of China in 221 B.C. The complex historical process which led up to this unification, which had such a profound effect upon the course of the whole of Chinese history, is still only partially understood. The reconstruction of the chapters together with the many recently excavated texts, such as the

Ch'in state legal codes, and other important archaeological discoveries, provide us with far more complete materials to analyze the development of the Chou, Ch'in and Han dynasties. The introduction of this dissertation therefore places the chapters within their historical context, evaluates the philosophical interest, examines the question of forgery and describes the method whereby the chapters have been reconstructed.

## Part 1

### The Historical Context

Since chapter 15 details the administration and laws of a city under siege and since China has long been known for its complex bureaucracy and highly stratified society, these aspects of the Shang and Chou polity are examined in the light of recent theories of state development elaborated by anthropologists and archaeologists of China and other geographical regions. The somewhat surprising conclusion is drawn that states developed in China probably only in the early Eastern Chou, that the Shang may have been only a minimal state, and that the Western Chou, far from being a sophisticated feudal empire, as proposed by other scholars, may in fact have consisted only of a number of chieftaincies vying for prestige amongst each other. The increasing internal differentiation of administration and elaboration of social stratification in the Eastern Chou states examined in the light of the Mo-tzu and other texts, including the new Ch'in laws, suggest that these developments may have been as much the result of the military organization and laws as of the civilian. This analysis, therefore, calls into question the "normal science" view of the development of Chinese civilization in the period when the foundations of the Chinese tradition were laid.

### Philosophical Interest

The Mohists, known as the philosophical opponents of the Confucians and as engineers who actually engaged in the defense of cities, are shown to have derived this latter interest from their belief in the restoration of cosmic and social harmony by preventing encroachment of one state upon another and by classifying all knowledge. They considered the group as the moral entity and concentrated in their own schools upon individual non-differentiation. This was probably the direct result of the proliferation of segmentation in Eastern Chou society. The Mohists therefore sought to control the cosmic disorder that this created by themselves remaining undifferentiated and active in the preservation of boundaries. The military chapters must therefore be seen in the light of the whole of Mohist philosophy, and any consideration of the latter must take account of the former.

### The Question of Forgery

Comparison with the newly excavated Ch'in legal code shows that the system of punishments in Mo-tzu, the use of certain titles and of other technical legal terminology, were in fact employed in the late Warring States period, and the chapters therefore are unlikely to be of Han date. Furthermore, the Mohist military laws may have been influential in the development of law in the late Eastern Chou, Ch'in and Han. In addition, reconstruction of the

text allows us to identify correctly certain objects recently excavated and which have been misinterpreted by archaeologists on the ground. Terms found in the new texts may also be interpreted through their appearance in the Mohist chapters. This demonstrates the close collaboration that must be maintained in the analysis of new data between historians and archaeologists.

### Method of Textual Reconstruction

The text is broken down into its component fragments as it was written on bamboo or wooden strips in the late Warring States or early Han period, before it was written as one continuous whole. The two chapters are shown to contain probably 148 fragments, a number of which are second, third, or fourth versions of other passages. It is clear, however, that a large part of the original text is lost.

## Part 2

Pages 57-613 contain the complete reconstructed text with full annotation of the two military chapters. A large number of sources, including later military treatises, newly discovered texts and artifacts, and other early works, have been utilized for the interpretation of individual words, objects, and whole sentences. All textual variants are recorded and, as far as has been possible, the interpretations of previous scholars are carefully evaluated.

This reconstruction enables historians to analyze the high level of military technology developed by the Mohist engineers. Details of the construction of such important weapons as the trebuchet (catapult), gas blowing pumps, varieties of pulleys and many others, can now be understood. Since cities and towns were the seats of government administration in traditional China, the methods of Mohist defense for such cities are of great historical interest: it can be seen that Mohist military techniques were employed at least through the T'ang dynasty, probably until the invention of gunpowder made them obsolete. It should also be noted that the military organization of communities adopted by the early Japanese state may well have ultimately derived from Mohist military organization: further research is required to clarify the implications of this aspect of the sinification of early Japan.

(Copies can be obtained by writing to the author, c/o Dept. of East Asian Languages and Civilizations, 2 Divinity Ave., Cambridge, MA 02138.)

