

DISSERTATION ABSTRACTS*

Bennett, Gwen Patrice. Ph.D., University of California, Los Angeles, 2002.

The Organization of Lithic Tool Production during the Longshan Period (ca. 2600–2000 B.C.) in Southeastern Shandong Province, China. UnM: AAT 3059593.

While the emergence of sociopolitical complexity in North China during the Longshan period (ca. 2600–2000 B.C.) is a recognized phenomenon, the mechanisms by which this occurred are not well understood. Within the context of a Sino-US Project informed by chiefdom theory and using regional survey supplemented by excavation to recover settlement pattern, artifact, and other data, this dissertation uses Longshan period lithic and settlement pattern information to address local processes involved in developments towards complexity in the Liangchengzhen region of Rizhao, Shandong. These include identification and comparison of activities occurring at sites in the Liangchengzhen region; identification of change in regional craft production, exchange and consumption; and examination of ecological and social factors that impacted site location selection. The settlement pattern and environmental data suggest two considerations guiding settlement in the Longshan period: access to arable land and water in the inland; and access to marine and terrestrial resources as well as protection from high tides at locations situated at 10 m. a.s.l. in the coastal regions. The largest Longshan coastal settlements were located on estuaries. Additionally, Liangchengzhen appears defensively situated, with only three natural access routes, and its intra-site settlement pattern suggests detached centers of activity within a large area. The lithic data suggests these areas were not exclusively focused on agriculture. The lithic data set, while limited, indicates at least three differing organizations of labor: local production for small settlements, quarrying and initial production in an area of high quality greenstone, and elite-context secondary production at Liangchengzhen. Significant differences in raw materials used and tool types present at sites inside and outside the Liangchengzhen cluster of sites imply that particular

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tools made of high quality but local materials are objects suggestive of elite activity. One non-local but pervasive raw material, sandstone, stands out as a possible economic link between Liangchengzhen and several settlements 16 km. distant in the greenstone rich region of initial lithic production, near the closest sources of this material.

Brown, Miranda Dymrna. Ph.D., University of California, Berkeley, 2002.

Men in Mourning: Ritual, Human Nature, and Politics in Warring States and Han China, 453 BC–AD 220. UnM: AAT 3063305.

This dissertation treats changes in early Chinese political culture through the prism of three years mourning. Chapter 1 traces ideas about the connection between mind, body, and ritual from the Warring States (453–221 B.C.) through Eastern Han (A.D. 25–220). Incorporating medical categories and terminology, Han ritualists elaborated the basic insights of their Warring States predecessors, arguing that the mourning rites were the natural and inevitable expression of human emotion. Chapter 2 treats Warring States and Western Han (206 B.C.–A.D. 25) attitudes about kinship, as reflected in ritual prescription. Authors of ritual prescriptions believed that considerations of status should constrain expressions of sorrow through mourning. This belief was shaped by the concerns of statesmen about the negative effects of spontaneous expressions of affinity between kin. Chapter 3 analyzes shifts that occurred in the rhetoric of filial piety between the early Western Han and Eastern Han. Whereas official Western Han rhetoric stressed impartial public service, that of the Eastern Han increasingly focused on the body: safeguarding the body, properly disposing the body after death, and fulfilling through ritual emotional needs generated by human nature. Chapter 4 examines the startling attention Eastern Han mourning accounts give to depictions of the mother-son bond. Such attention can be explained in terms of the dominant associations of the mother-son bond: frequently depicted as emotional and private, the mother-son bond came to represent an ideological alternative to the early Han ethos of state service. Chapter 5 argues that the bond of son to mother, more so than that of son to father, or subject to lord, provided a rhetorical and ritual template for client-patron relations. Like mourning for a mother, mourning for a patron became an expression of opting out of state service. Chapter 6 challenges standard views that portray funerary inscriptions as attempts to flatter the social pretensions of paying customers. Such inscriptions also reflected assertions of autonomy from the court on the part of members of the local and political elites. Beliefs about the self, the family, and political association adopted by Eastern Han elites ultimately had a corrosive effect on dynastic authority.

Byington, Mark Edward. Ph.D., Harvard University, 2003.

A History of the Puyō State, its People, and its Legacy. UnM: AAT 3091736.

The earliest well-attested polity associated with Korean history, although its direct authority never extended to the peninsula proper, is the state of Puyō, which existed from about the third century B.C. until the mid-fourth century A.D. in what is today China's Jilin Province. The primary focus of this dissertation is the formation and history of the Puyō state and its people, while the secondary focus is the historiographical portrayal of the Puyō legacy by later peninsular states such as Koguryō and Paekche. The underlying theme of this project is state formation, both as a social process and as a political development, and it seeks to explore the questions of how the earliest "Korean" states came to exist and of how historiographic depictions of these earliest states developed. One commonly accepted view of history that will be explored and challenged in this dissertation is that the states of Koguryō and Paekche were the products of small-scale migrations from Puyō. The study of Puyō state formation is based primarily on analyses of archaeological data from the central Jilin region, most of which have become available only in the past two decades. Such analyses suggest that Puyō represents a case of secondary state formation catalyzed by influences exerted by the expansion of the Chinese states of Yan and Han and by interchange with the nomadic societies to the west of Puyō. For centuries, Puyō leaders reinforced their authority by engaging their neighbors in trade relations and military alliances, and this authority gained Puyō the respect of Chinese emperors and of its neighboring peoples. When those neighbors built states of their own in the wake of Puyō's collapse in the fourth century, their leaders claimed descent from the Puyō ruling house. Such claims were expressed in the form of foundation myths, but later historians have interpreted these myths as reflections of historical events and have postulated that small-scale migrations from Puyō were responsible for the formation of these later states. The present study suggests that such myths should not be addressed as history, and that they can more usefully be read instead as specific assertions of political legitimacy.

Cohen, David Joel. Ph.D., Harvard University, 2001.

The Yueshi Culture, the Dong Yi, and the Archaeology of Ethnicity in Early Bronze Age China. UnM: AAT3028459.

This first work on the Yueshi Culture (which was centered in Shandong ca. 1800–1450 B.C.) in a Western language provides a discussion of previous research, basic characteristics, and the process of defining this culture. Primary data (ceramics) from the Panmiao and Shantaisi site excavations in Shangqiu, Henan, provide evidence for the local development of the

Yueshi Culture and for its continuation into the Upper Erligang period: this runs counter to common replacement models.

The Yueshi Culture was contemporaneous with the Erlitou and the so-called "Proto-Shang" Cultures of the Central Plains. In the Chinese culture-historical approach, these archaeological cultures are taken as representative of well-bounded social groups and are seen as equivalent to the historically-known Dong Yi, Xia, and predynastic Shang. Such equivalencies are highly problematic. Ethnicity theory shows us that the relationship between social identity and culture is much more complex and ambiguous: social boundaries do not enclose discontinuous units of culture, and alternative approaches to the archaeological culture are necessary to derive identity.

It is also argued here that when the historical evidence for the Dong Yi is considered in the light of social identity theory, the salience of a "Dong Yi" identity during the Shang period cannot be supported. A Dong Yi identity might have emerged as a reaction to the Western Zhou dynasty's new conception of the central place in the socio-political order of a culturally intergrated Zhou "Us" whose identity was maintained through opposition to an outside "Them" who, in the east, were the Dong Yi.

Based on the equivalence drawn between the Yueshi Culture and the Dong Yi, a common argument maintains that the Shang cannot be found where the Dong Yi were located and thus excludes the origins of the Shang dynasty in the eastern Henan region. Since the archaeological culture is not a direct reflection of identity and because a "Dong Yi" identity did not exist in the Shang period, the possibility of Shang origins in the east remains open.

Dramer, Kim Irene Nedra. Ph.D., Columbia University, 2002.

Between the Living and the Dead: Han Dynasty Stone Carved Tomb Doors.
UnM: AAT 3048124.

The performance of mortuary ritual within the tomb was an innovation that occurred during the Eastern Han period. Within the Eastern Han tomb the concept of death was blurred and ambiguous, allowing the living and the dead to undergo paired social initiations resulting in their rebirths as changed social personae. During mortuary rites for a dead father, for example, the deceased underwent initiation in order to join the ranks of the ancestors. At the same time, his living son, in the role of the chief mourner, underwent social initiation to assume his father's place as family patriarch. Tomb doors were another mortuary innovation of the Eastern Han period. This thesis analyzes tomb doors and thresholds as the organizational keys to tomb structure, decorative

program, and the performance of ritual necessary to ensure linkages between and transformations between the worlds of the living and the dead. Archaeological material from the Eastern Han tombs at Yí'nan, Dongjiazhuang and Dahuting is presented as the primary evidence of these innovations. By using a holistic approach to the tombs, the doors are reintegrated into their original architectural setting as the structure of the thesis directs the reader through the tomb from south to north, following the path of the Eastern Han mortuary audience. The carved stone doors signaled that the tomb was a locus of transformation to an audience of the living and the dead. Death, a system-endangering event of central importance, was defeated by the correct program of mortuary ritual at the site of the doors and doorways within the tombs. Mortuary ritual functioned as a homeostat, providing a mechanism to repair the tear in the fabric of Han society caused by the death of a family member. It accomplished this repair via the transmission of information at the site of the tomb doors. The doors were thus instruments linking the living and the dead and uniting the past, the present and the future for "ten thousand generations."

Dye, John Lindsay. Ph.D., University of Hawai'i, 2002.

Refining Discourse: Language, Authority and Community in Ancient China and Greece. UnM: AAT 3070698.

Chapter 13.3 of the Confucian *Analects* (*Lunyu*) proposes an intriguing solution to the problem of government: *zhengming*, conventionally translated "rectification of names"; Confucius suggests that we should be particularly mindful of the vocabulary we use in conversing with one another, as it plays an important role in shaping our communities and values. Language is not simply a transparent medium for the conveyance of information. Rather, it furnishes a complex and subtle form of discourse that affirms and reinforces certain values while neglecting others. By examining 13.3 and related passages in the *Analects*, we develop a greater understanding as to how *zhengming* works within the context-sensitive, process-oriented and pragmatic Confucian worldview. In light of *zhengming*, the Platonic emphasis on dialectic—a form of community inquiry that is rooted in a specific context—takes on added significance. Whereas Plato is often considered to be a champion of universal philosophical truth, the process of dialectical inquiry has much in common with the more localized *zhengming*. Important differences are also elucidated. Dialectic and *zhengming* are then contrasted with rhetoric broadly construed. In light of the *Gorgias*, Plato is generally believed to have been an outspoken critic of rhetoric. His *Phaedrus*, however, suggests a possible

way to reconcile rhetoric with philosophy. Xunzi and Aristotle, the intellectual descendants of Confucius and Plato respectively, offer additional insights about the nature of rhetoric and how it might be integrated into philosophical practice. Different forms of persuasive authority are compared for their respective merits and shortcomings. These philosophical views are then analyzed for their compatibility with pluralism. Finally, *zhengming* is used to challenge the expansion of economic language into a number of modern discourses, particularly academia.

Feng, Congde. Ph.D., École Pratique des Hautes Études, Paris, 2003.

Les cinq cycles et les six souffles, la cosmologie de la médecine chinoise selon les Sept Grands Traités du Suwen. (The Five Cycles and Six Breaths, the Cosmology of Chinese Medicine according to the Seven Grand Treatises of the *Suwen*.)

The system of the Five Cycles and the Six Breaths is one of the major frames of reference which we today refer to as 'Traditional Chinese Medicine.' We can say that this system, which establishes major linkages between the macrocosm and the microcosm, constitutes one of the high points of the development of the cosmological doctrine of Yin-Yang and the Five Phases, bases of all correlative systems of thought in China. It attempts to encompass all possible aspects of correspondence between the macro- and microcosms: the breaths of the heaven and earth, the movements of astral bodies, the calendar, changes in climate and phenology, natural disasters and social problems, epidemics, and the pulses and pathological conditions in humans. The Seven Grand Treatises together constitute the foundational text of this system. They are included in the *Basic Questions (Suwen)*, one of two essential parts of the *Inner Canon of the Yellow Emperor (Huangdi neijing)*, the most referenced classic of Chinese medicine in the past two thousand years. Thus it is these Seven Treatises that are the subject of the present thesis.

Although the contents of numerous Chinese correlative schemas are often, at first glance, the same as the theory of the four elements and four humors in Western medicine, or that of the five elements in the medicine of Siddha (India), there are three differences. The first crucial difference is in the manner in which they are treated. In China, the correlations were not used as a method of investigating the nature of things. The correlative descriptions were, in fact, prescriptions. The correlative schemas orient human beings, in a very practical manner, towards their external environment. As such, the Chinese were concerned less with astronomy than astrology. They were much more enthusiastic about the development of geomancy than that of geology. Science was always understood

as secondary to prevailing human values. Another difference lies in the relation between the Phases (*Éléments*) themselves. For the Five Phases of China, there existed cyclical orders of succession, such as that of production, inhibition, and conquest. These do not exist in the schemas of either India or the West. The third difference was that over and above the structure of the Phases, only Chinese cosmology developed a higher system, that of the Five Cycles and Six Breaths, which superimposed itself on an ancient cosmological system, that of Yin and Yang, and the Five Phases. According to the *Huangdi neijing*, and from the medical point of view, this latter system focused on man, whereas the new system of cyclical breaths described in the Seven Grand Treatises searched primarily for correspondence between man and his environment, in the context of the diverse and cyclical spatio-temporal notions. The superimposition of these two systems was more of an innovation than a revolution.

The divergence between China and the rest of the world can perhaps be explained by differences between the understanding of time and space in Chinese cosmology and those of other civilizations. The idea of a cyclical cosmology which affirms that movements in time and space are all cyclical has profoundly influenced Chinese thinking, in which the notion of cyclical time prevails over that of linear time, and where correlative reasoning becomes more important than causal reasoning. This cosmology, and in particular the notion of cyclical time, constitutes one of the particularities in Chinese thinking. It is different from the linear notion of time in the West, and equally distinct from Indian beliefs in reincarnation. In effect, the linear conception of time logically requires a beginning and an end, in other words, a creation *ex nihilo* by a personalized God at the beginning and a final judgment at the end of the world. Whereas the belief in reincarnation pushes man to search for cause and effect on his person/soul in the events, near or distant, of his multiple existences. The concept of cyclical time, on the other hand, implies neither the need for a creator God, nor a distant investigation. It contents itself with the here-and-now, and the successive cycles are not essentially different one from the other. "The Tao is not far from man; that which is distant from man is not the Tao" said Confucius. Man lies at the center of Chinese philosophy: the closer that a thing is to man (temporally or spatially), the more important it is. It is thus the here-and-now which is most important, and the collection of each here-and-now makes eternity. Certainly, there is death and a world of the dead. However, what we know is life, whereas death is something of which we are ignorant. All theories are valid, if they can appease our fear of death and harmonize our lives. "All that which is above the universe, the saint allows for its existence, but is not concerned with it" says the *Zhuangzi*. This is a crucial element

in understanding the Chinese valuation of life here on earth over that in the beyond.

In examining the rhymes and taboo characters in the text of the *Huangdi neijing*, we are trying to resolve the thousand year old question of its dating, which falls in the time of the Northern and Southern Dynasties around the beginning of the 6th century C.E. This dating is in accordance with the theory of D. Keegan on the process of the compilation of the *Huangdi neijing*. It also provides additional evidence for the idea that this work cannot be considered as a homogeneous text. Rather, it was a "common fund" in which different sources from differing periods were put together. We believe that this will also prove that the Seven Grand Treatises should be now separated from the rest of the *Huangdi neijing* which was built on a Han dynasty core text. Thanks to this dating, we can better understand the nature of the text and that of the system of Five Cycles and Six Breaths. The study of this text has permitted us to show the existence of a cosmology particular to Chinese medicine as it is expounded in the Seven Grand Treatises. The system of Five Cycles and Six Breaths is a framework for bringing to medicine a theoretical cosmological structure. We know that the medical texts preceding the *Huangdi neijing* did not yet have a unified and coherent cosmological theory, as is shown by the texts from Mawangdui. The Han *Huangdi neijing* filled this vacuum with a unified theory of Yin and Yang and the Five Phases. But the versions of the *Huangdi neijing* also show that the relation between the macrocosm and the microcosm remains, despite this, dispersed and disorganized. The composition of the Seven Grand Treatises and their insertion in the *Suwen* is another attempt, with a system that is not only much more complete and complex, but also much better structured. It seems to us that this system most resembles the medical astrology of the Middle Ages in the West, though this resemblance cannot be pushed too far. Given that the system of cyclical breaths consists of *a priori* calculations, its foundations are to be found in phenological phenomena and seasonal climates which are more or less regular and which, in some ways, lend themselves more to the prediction of seasonal ailments and epidemics. In addition, as we have shown in our study, the system is largely empirical, which permits the doctor to adapt to the reality of the patient's situation. It is therefore closer to "chronobiology" and "chronopathology" than to medical astrology. This is the reason why, although Ming doctors criticized this system for its complexity and above all because it was often practiced mechanistically, without any great comprehension of the environmental background and epidemiology, they recognized its value as a guide to practical medicine when well understood and judiciously applied.

The present study comprises three parts. The first is concerned with

philology; the second, the system; and the third, the translation. In the two chapters of the first part, we examine the textual history of the *Huangdi neijing* and more particularly the dating of the Seven Grand Treatises. In chapter one, we present the Seven Grand Treatises within the *Suwen*, one of the two fundamental parts of the *Huangdi neijing*, the most important Classic in Chinese medicine. We also examine the textual history of all the versions that led up to the one that included the Seven Grand Treatises, after which we outline the different hypotheses concerning the origins of these Grand Treatises, and finally we critique these hypotheses before proposing our own theory.

Chapter Two concentrates on the dating of our corpus. In doing this, we employ new methodologies, notably the study of the rhymes and taboo characters. We show that the Seven Grand Treatises were not completed either under the Han, or under the Tang or the Song, but rather towards the end of the Six Dynasties, and more precisely between the second half of the 5th century and the first half of the 6th century C.E. In dating the text to this period, our conclusion differs from that of the ancients who considered the Grand Treatises as either a lost medical manual of the later Han, or a fabrication from the end of the Tang depending on their leanings. This new approach may resolve the thousand-year-old enigma of the dating of the Seven Grand Treatises.

The second part of the dissertation, in three chapters, focuses on the system of Five Cycles and Six Breaths. As this system was superimposed on the theory of Yin and Yang and the Five Phases, we examine how the transition from the theory of Yin and Yang and Five Phases to the system of Five Cycles and Six Breaths was accomplished, which is presented in the Seven Grand Treatises of the *Suwen*. We also see how these systems were used for diagnosis and therapy. In Chapter Three, we deal with the fundamental system of Yin and Yang and Five Phases. In fact, we see that the system of Five Cycles and Six Breaths was a system which was superimposed on the former one. In addition, we present correlative thinking and the system of stems and branches, another fundamental system for the cyclical breaths. The fourth chapter is dedicated entirely to the system of Five Cycles and Six Breaths. Both aspects of the system are touched upon, the constant aspect which can be calculated *a priori* with the aid of the stems and branches, and the variable aspect which cannot be known in advance. The latter consists in effect of observations of the environmental factors, such as the breaths of the sky and the earth, phenology, the movement of the planets, but above all the climate. The last chapter, Chapter Five, focuses on the application of the system of cyclical breaths. Given that no example of its application can be found in the Seven Grand Treatises, the twenty-two recipes which we present are

taken from later texts. It was after the incorporation of the Seven Grand Treatises into the *Suwen* in the Tang, that the system of Five Cycles and Six Breaths became widespread, but it was under the Northern Song and the Yuan that it came to occupy a dominant position in Chinese medicine. The great thinkers, such as Shen Gua, often had recourse to this system. Some contemporary traditional doctors still continue to practice the theoretical aspect of the cyclical breaths, and nearly all doctors adopt the principles of treatment and pharmacology described in the last chapter of the Seven Grand Treatises. We present these applications in this chapter.

The third part of our work consists of the translation of the Seven Grand Treatises. These texts comprise a third of the total content of the *Suwen*. There exist two French translations of the *Suwen* which are at our disposal, but unfortunately they contain many errors. It thus appeared necessary to us to propose an entirely new translation of the assembled Seven Grand Treatises. Our translation rests on the understanding outlined in the first two parts of this study. Furthermore, we have built a lexicon of terms, in consulting the two previous translations and a very detailed explanation of a Chinese doctor who specializes in the domain of the system of Five Cycles and Six Breaths.

Galambos, Imre. Ph.D., University of California, Berkeley, 2002.

The Evolution of Chinese Writing: Evidence from Newly Excavated Texts (490–221 BC).

This study examines the evolution of Chinese writing during the Warring States period by exploring the structural (orthographic) variability of character forms. I argue against the traditional linear model of the evolution of writing in China, according to which characters developed along a single line from the Shang oracle-bone inscriptions to Zhou bronze inscriptions, all the way to the Qin small seal and Han clerical scripts. My contention is that this view is not only an oversimplification but in many cases is incorrect, as it mirrors the ideologically motivated unilateral genealogy of traditional historiography which traced the mandate of Heaven from mythical emperors to the ruling house. Modern scholars have observed significant graphical variability between character forms in documents excavated during the last few decades. This study shows that the variability of character structure was not always due to spatial or temporal factors but was de facto a part of Warring States writing, with clearly discernible patterns. The concept of an orthographic standard developed gradually only during the Han as part of the government's effort to establish a centralized bureaucracy. Thus the overall significance of Li Si's reform of writing was also a Han creation.

Giele, Enno (Ji Annuo 紀安諾). Ph.D., Freie Universität, Berlin, 2001.
The Duduan 獨斷 and Imperial Communication in Early China.

The orthodox histories of imperial China are full of quotes or paraphrases of official communication to and from the emperor. Yet, usually little or only cursory attention is paid to the question of how this communication was organized. This is because the few utterances that we have about the ancient classification of official documents seem either too weak a basis for substantial statements or they even contradict what can be inferred from the sources in general.

However, a detailed comparison of a part of the *Duduan* 獨斷, a text ascribed to Cai Yong 蔡邕 (133–192), with fragments of closely related texts, particularly a certain *Han zashi* 漢雜事, shows that at the end of the Han period there existed a classification scheme for official documents that fits most of what we can infer indirectly from the orthodox histories. This classification divides the documents from and to the throne into four categories each.

As this thesis tries to argue, the difference between the two most ubiquitous forms of submissions to the throne lay in the place where they were submitted: *zhang* 章 “petitions” were submitted—often but not always by low-ranking individuals—at the outer palace gate, while *zou* 奏 “memorials”, usually by high-ranking officials, were presented at audiences through the mediation of the imperial secretariat. At the same time, *zou* was undeniably also used as a term for “memorials” in general, perhaps because even petitions may eventually have been brought to the imperial attention at audiences, though without the petitioner being present. A special form of petition was a *fengshi* 封事 “direct memorial,” that did not have to pass any inspection by secretarial authorities.

Biao 表 “presentations” on the other hand seem to reflect a special kind of arrangement in which an individual presented a complex petition in person usually providing subsidiary reference material. This, probably late, form of communication required more action on the part of the throne than simple ratification or rejection, which in turn resulted in a different layout of the texts. Finally, an issue could be brought up as an *yi* 議 “argument” in the context of different kinds of assemblies or against (*boyi* 駁議) an accepted official position.

For downward communication, *zhi* 制 and *zhao* 詔 were the most ubiquitous devices of imperial command-giving. With *zhi*, matters were “decided” or prepared for decision (i.e., *zhi* features prominently in the dialogue at court between the emperor and the inner circles of decision-making), while *zhao* was subsequently used to “instruct” somebody with what had been decided, or simply, to “announce” the decision to a wider audience of command-receivers. However, it is important to stress that

the terms *zhi* and *zhao* do not directly mark *zhishu* 制書, “decisions,” and *zhaoshu* 詔書, “instructions.” Generally, imperial decisions addressed the executive council members (*sangong* 三公) and were reserved for institutionally important commands, such as were presumably automatically added to the codified law. Imperial instructions, too, could have law-like character, but probably entered the legal code in a different manner or as a different category.

The remaining two types of imperial commands were *ceshu* 策書 “diplomas” and *jieshu* 戒書 (or 誡書) “admonitions.” Diplomas granted or took away honors (including posthumous ones), while admonitions tried to motivate the recipient to live up to the honors already granted to him. Diplomas were a relic from pre-imperial times, which is reflected by their peculiar, anachronistic language as well as the fact that they were written on an extraordinary kind of stationery. Admonitions on the other hand seem to be a predominantly Later Han phenomenon, at least inasmuch as they were closely related to the term *chi* 敕 “imperial order,” as in *jiechi* 戒敕 or *zhaochi* 詔敕, that was concerned with the establishment or upkeep of public order and loyalty to the course of the dynasty.

Besides discussing the above classification of documents, this thesis also gives an overview of the institutional background in which these forms of communication were enacted and deals at some length with the question of legitimation of commands through application of imperial seals (*xi* 璽).

Holloway, Kenneth William. Ph.D., University of Pennsylvania, 2002.
The Recently Discovered Confucian Classic ‘The Five Aspects of Conduct’. UnM:
 AAT 3054951.

This dissertation covers the recently excavated Mawangdui and Guodian editions of “The Five Aspects of Conduct”; *Wuxing*. These Aspects of Conduct are: Humanity *ren*, Righteousness *yi*, The Rites *li*, Wisdom *zhi*, and Sagacity *shen*. Much of the recent scholarship on this text has sought to identify its affiliation with one of several early Confucian schools. Unfortunately, this debate has overshadowed the central question of what exactly the text has to say. This dissertation is a first step in correcting this oversight. Chapter One provides an overview of recent scholarship. Chapter Two is devoted to an overview of patterns in the text. Chapter Three provides a detailed analysis of these patterns as they pertain to central issues in the text: Noble Man *Junzi*, cautious when alone *shen qi du*, Sagacity and Wisdom, sensory acuity, and being adept vs. being virtuous (*shan* vs. *de*). Chapter Four develops two experimental means of understanding the unification of key terms in the text. Chapter

Five uses the patterns from "The Five Aspects of Conduct" to determine intellectual affinities with other Confucian texts.

Huang, Bih-shia. Ph.D., Texas Tech University, 2002.

A Comparison of Greek and Chinese Rhetoric and their Influence on Later Rhetoric. UnM: AAT 3043218.

At the turn of the twenty-first century, some western scholars still hold that no classical rhetoric exists except classical Greek rhetoric. This paper presents the evidence to show that classical Chinese rhetoric is not only a natural practice but also a study of effective discourse like classical Greek rhetoric. In addition, the factors that contribute to the differences between two rhetorics are explored. Moreover, subsequent rhetorics that were influenced by classical rhetorics are discussed and compared. Chapter I explains the reason why this study must be done and introduces what is going to be addressed in the following chapters. Chapter II describes the Greek geographical features that led to the liberal types of politics, economy, and rhetoric. The emergence of the Greek Sophists followed the practice of the democratic system. Aristotle's *Rhetoric* is used as a model for Chinese rhetoric that is discussed in the second chapter. Rhetoric after the classical period is summarized so that the influence of classical Greek rhetoric on later western rhetoric can be understood. Chapter III explicates the Chinese geographical features that gave rise to the conservative type of politics, economy, and rhetoric. This chapter emphasizes classical Chinese rhetoric that occurred in the period of Spring-Autumn and Warring States (from the eighth to the third centuries B.C.). The classical Chinese thinkers whose speeches and theories influenced the later generations are introduced one by one. Rhetoric after the unification of the Chin (Qin) dynasty (221 B.C.) is also summarized in order to show the influence of classical Chinese rhetoric on later Chinese rhetoric. Chapter IV deals with the contrastive study between two ancient countries from the geographical, political, economical, social, and rhetorical perspectives. The reasons why Western rhetoric and Chinese rhetoric after the classical periods had their own emphases is explained. Chapter V concludes the causes, the development, and the suppression of both rhetorics and makes some suggestions.

Lai, Guolong. Ph.D., University of California, Los Angeles, 2002.

The Baoshan Tomb: Religious Transitions in Art, Ritual, and Text during the Warring States Period (480–221 BCE). UnM: AAT 3070086.

This dissertation explores historical transitions in funerary art, ritual, and text in their archaeological context by focusing on the tomb of a

high-ranking Chu official, Shao Tuo (d. 316 BCE), discovered at Baoshan in Hubei Province. The Warring States transition has long been regarded as a process of rationalization and secularization, developing from the mystical, superstitious Shang and Zhou dynasties to the rational, bureaucratic Qin and Han empires. This contextual study problematizes this vision of antiquity, arguing that religious transitions played a vital role in shaping the intellectual and religious foundations of a unified empire. Chapter 2 demonstrates that the tomb inventories and funerary gift-lists as ritual devices structured the communication between humans and spirits, and that tomb construction, modeled on the cosmos, expressed new conceptions of the afterlife that emerged during the Warring States period. Chapter 3 shows that the practice of burying *mingqi* ("spirit artifacts") and personal belongings was a form of a tie-breaking ritual, the purpose of which was to ritualize the gradual separation between the deceased and the living. Chapter 4 shows that the new categories of burial furnishings, such as lamps and folding beds, were chosen to perform specific religious functions. The lamps in the Baoshan tomb were to facilitate the spirit journey to the increasingly alienated, gloomy, and dangerous underworld, a conception of the afterlife that emerged in the Warring States era. Chapter 5 discusses the historical development of ancestral cults, changing from the use of living persons as impersonators to the concordant use of images. This transition led to the development of the burying of tomb figurines as substitutes of human servants, the use of spirit tablets, and a reinterpretation of the concept of *wei* ("position") in early Chinese ritual art. The pictorial representation of the human figure originated in the context of rhetorical uses of works of art. Finally, the appendix reconsiders Karlgren's linguistic method of distinguishing "free" texts from "systematizing" texts, and draws connections between funerary texts and the genesis of ritual texts in Early China.

Li, Yung-ti. Ph.D., Harvard University, 2003.

The Anyang Bronze Foundries: Archaeological Remains, Casting Technology, and Production Organization. UnM: AAT 3091619.

There have been only a limited number of bronze foundry sites discovered in Bronze Age China. During the long history of archaeological research at Anyang, the last capital of the Shang dynasty, archaeologists have found six sites with foundry remains since the early 1930s, the newest find being as recent as 2000. While these finds have provided a great deal of information concerning Shang bronze technology, it has become essential to re-evaluate previous excavations and research on the Anyang foundries and to synthesize data that were obtained under varying conditions over a period of seventy years. This thesis examines

the archaeology of Anyang foundries, including the history of excavations and archaeological features and remains related to foundry operations. It also attempts to reconstruct the form of production organization that may have existed at Anyang bronze workshops, using comparative models from porcelain production at Jingdezhen and stoneware production at Yixing. The intended goal of this thesis is to fill a gap in the study of craft production in Chinese archaeology and to provide empirical data from China for the study of craft production in general by studying foundry remains from Anyang and by reconstructing Shang production organization using ethno-historical models drawn from other types of craft production.

Luo, Shaodan. Ph.D., University of California, Berkeley, 2002.

Getting Beyond the Dichotomy of Authenticity and Spuriousness: A Textual Study on the 'Xinshu'. UnM: AAT 3063461.

The *Xinshu* is ascribed to an official-scholar named Jia Yi (200–168 B.C.). There has been a long debate over its authenticity. While acknowledging the inadequacy of the current proofs of authenticity, this dissertation finds out that all of what is considered as evidence of forgery can be explained by other factors than forgery. Some consider the *Xinshu* forged because some of its chapters lack proper beginnings or endings and hence look unlike chapters. The dissertation argues that those were originally paragraphs that were titled according to evidenced early metadata format. The dissertation also suggests that some scholars reasonably questioned the authenticity of certain books ascribed to Jia Yi but mistook those books for the *Xinshu*. The textual mismatch between the *Xinshu* and the citations of the *Xinshu* in pre-modern history books is often thought to be evidence of forgery. This argument overlooked the editorial role that early historians played when citing texts. While some official titles in the *Xinshu* are considered inappropriate for regional administrations and thus suspicious of forgery, archaeological discoveries indicate that this opinion fails to consider the regional lords' usurpation of the system of royal officialdom. A modern scholar finds the *Xinshu* suspicious because the author of the *Xinshu* believes in a six-fold cosmology whereas historical books show that Jia Yi considered five as an important number. However, history books have also recorded a theoretical shift in emphasis from six to five during Jia Yi's time. Besides, the dissertation finds the thoughts in the *Xinshu* coherent with the ideological development by Jia Yi's time and the style in the *Xinshu* consistent with that of a text of Jia Yi with undisputed authenticity. Contrary to the argument that the *Xinshu* was pieced together by quoting other books, the dissertation finds it likely that other books quoted the *Xinshu*. Jia Yi was well versed

in the *Zuozhuan*. The dissertation attributes the *Xinshu*'s lack of mention of the *Zuozhuan* to the hostility towards the *Zuozhuan* among the imperial academia. Finally the dissertation suggests treating the *Xinshu* as a usable text until we encounter any overwhelming evidence of forgery.

Park, Ah-Rim. Ph.D., University of Pennsylvania, 2002.

Tomb of the Dancers: Koguryō; Tombs in East Asian Funerary Art. UnM: AAT 3054987.

The Tomb of the Dancers represents the Ji'an style which was established in the 4th century in the northeast frontier of China. Han funerary art which became the ultimate model and foundation of funerary art in East Asia was transferred and transformed in the kingdom of Koguryō in the 3rd century and 4th century after Han's collapse. Han funerary art that was transferred to Koguryō was already in the process of modification in the next Wei-Jin period. It was the period of the movement of people from the Central Plain to border regions, and the period of the establishment of many kingdoms by non-Chinese, like Xianbei. Its temporal characteristics suggest the beginning of the incorporation of non-Chinese flavor and burial practice into Han funerary art. The change of Han funerary art tradition in the Wei-Jin period is very obvious in the initial stage of Koguryō painted tombs as we see in Anak Tomb No. 3 and the Tomb of the Wrestlers. Thus by the time when the Tomb of the Dancers was built, the basis that the Tomb of the Dancers was constructed already had mixed influences of the Han and the Wei-Jin. On the other hand, the Tomb of the Dancers already exhibited Koguryō style even though it was the early tomb in the region. It might tell us that by the time when the Tomb of the Dancers was constructed and decorated, Han funerary art was already fully integrated by Koguryō people, making it possible to put their favorite themes and ideological implication into the tomb painting and the tomb architecture. Thus the examination of the Tomb of the Dancers provides us with the solid proof of the establishment of the Ji'an art and style in the 4th century in the northeast Asia by Koguryō kingdom.

Pechenkina, Ekaterina Alexandrovna. Ph.D., University of Missouri, Columbia, 2002.

Diet and Health Changes among the Millet-Growing Farmers of Northern China in Prehistory. UnM: AAT 3075414.

Both Yangshao (7,000–5,000 BP) and Longshan (5,000–3,000 BP) Neolithic cultural traditions of Northern China were dependent on millet agriculture and herding. Change to a cooler and drier climate

at approximately 5,000 years ago brought the stable Yangshao society to a gradual demise. The subsequent rise of Longshan cultural tradition corresponded to rapid population growth and its aggregation into larger settlements. This was also a time of incipient society stratification, increase in social complexity and tension (Liu, 1996a). Here I use dental macrowear, stable isotope determinations and a broad spectrum of oral pathology indicators to assess dietary changes at the end of Yangshao and during Yangshao/Longshan transition. Non-specific health indicators such as achieved adult stature, porotic hyperostosis, and linear enamel hypoplasia were used to evaluate trends in community health. Human skeletons from two Yangshao sites, Jiangzhai and Shijia, representing two subsequent phases of the culture, and Kangjia site of Longshan from Shaanxi Province comprised the bulk of the materials. A sample from the later dynastic period of Western Zhou is used to assess whether the changes in diet and health seen during Longshan were temporary or persisted. Substantial differences in dental wear rate and oral pathology between the two geographically close Yangshao sites suggest that different subsistence strategies were developing in an attempt to adapt to cooler and more variable climate. Relative to Yangshao, the latter Longshan skeletons demonstrated reduction of dental wear, high frequency of caries and antemortem tooth loss, and a low calculus accretion probably due to a greater reliance on millet and transition to processed millet as a weaning diet during Longshan time. These changes were accompanied by declining community health. The Longshan pattern of health indicators was also observed in the Western Zhou sample, except that oral pathology was more similar to that of Yangshao. Therefore poor health during the dynastic period should be attributed to increased population density and possibly lower calorie intake, rather than to the changes in food composition relative to that of Yangshao.

Venture, Olivier. Ph.D., Université Paris-VII, 2002.

Étude d'un emploi de l'écrit dans la Chine archaïque (XIIIe–VIIIe siècles avant notre ère) (A Study on the Use of Writing in Archaic China (13th–8th centuries B.C.E.).

Since the discovery of the oracle bone inscriptions in 1899, Chinese epigraphy has been enriched with a very large number of inscriptions from the 13th to the 8th century B.C.E. In analyzing this material, the author shows that not only did this first evidence of Chinese writing commonly refer to objects linked to ritual practice such as the cult of the ancestors or divination, but especially the association of a text with these objects was fundamentally a religious act. Writing was a means of giving permanence

to glorious or pious acts, and hoping therefore to prolong the benefits which the spirits would dispense as reward for these acts. Writing, as it presents itself throughout these inscriptions, was therefore essentially limited to the domain of the sacred. The author also proposes to try and place these materials in the context of a larger reflection on the role and function of writing in Archaic China. He underlines in particular that in order to better understand the development of Chinese scribal practices of this era, it is necessary to grasp the importance of the phenomenon of the progressive diffusion of the knowledge of writing in the society.

Zeng, Hong. Ph.D., University of North Carolina at Chapel Hill, 2002.
Temporality and Self: A Deconstructive Reading of Chinese Natural Philosophy in Poetry. UnM: AAT 3070928.

This dissertation is a deconstructive reading of the prevailing views on Chinese Natural Philosophy and its impact on Chinese literature and the arts, especially its impact on Chinese poetry. The deconstruction is unfolded through three interrelated aspects: time, subject and language. The deconstruction posits: a double, conflicting sense of temporality rather than a unified time consciousness characterizes Chinese Natural Philosophy, poetry and other art forms under its influence. The subject (self), instead of being a uniform one, which is at once absent and omnipresent as indicated by the syntax of classical Chinese poetry, is often divided against itself. As to language, instead of being a transparent language reflecting the real-life world unimpeded by human intellect, is often a plural text where linguistic characteristics are double-edged. In other words, the dissertation is a rethinking of Chinese Natural Philosophy and poetry under its impact: how their serene, holistic vision is undercut by intrinsic contradictions that are only partly redeemed by aesthetic means, which have their pitfalls that end in suffering as well as in celebration. The dissertation is divided into three chapters besides introduction and conclusion. The first part of Chapter I is a deconstructive reading, in respect to time, language and subject, of Taoist philosophy expounded in *Lao Tzu* and *Chuang Tzu*, and of the aesthetic strategies of Zen Buddhism. The second part is a panoramic, deconstructive reading of diverse art forms under its philosophical influence, including classical Chinese painting, novels, and poetry, contemporary Chinese "Seeking Root"; films, as well as modern American poetry (especially the poetry of Wallace Stevens and Robert Bly) influenced by classical Chinese poetry and Taoist aesthetics. Chapter II is a deconstructive reading of some major Classical Chinese poets under Taoist influence. In my view, instead of a unified lyrical voice, classical Chinese poetry is often dialogic. The chapter examines the dialogue of omniscience (mythic) and limitation

(empirical) in some major Chinese poets at the lexical, syntactic and imagistic level, a hidden split perpetuating the division within Taoist philosophy—between history and myth, mythopoetic and historical self, poetic sensibility and impersonal aspect of poetic form. Chapter III is a deconstructive reading of a contemporary Chinese poet—Gu Cheng. In this chapter, I explore how the hidden ruptures in time, self and language latent in Chinese Natural Philosophy and classical Chinese poetry open up abysmal chasm in Gu Cheng. The concluding chapter examines the affinity of Chinese Natural Philosophy and Western tradition of tragedy.

Zhu, Yongping, Ph.D., University of Minnesota, 2002.

A Study of the Historical Development of Chinese Coverbs, with Special Reference to the Grammaticalization of the Coverb 及. UnM: AAT 3047676.

Chinese coverbs are “verbs with prepositional functions” (Lord, 1993). This “amphibious nature” (Chang, 1977) of the Chinese coverb is the result of the evolution of the Chinese language. Linguists studying Chinese coverbs have generally described in great detail how coverbs developed from verbs diachronically. My dissertation is an explanation of the development of Chinese coverbs through a specific case study: the grammaticalization of the Chinese word 及, which develops from a verb to a coverb, and then a conjunction, and eventually disappearing in modern spoken Chinese. Unlike earlier linguists, I approach the grammaticalization of 及 both synchronically and diachronically. Synchronically, accepting that language is created by human beings for the purpose of communication, I hypothesize that language change is motivated primarily by the interaction of hearers and speakers. To support this hypothesis, I illustrate how the hearer’s abductive inference initiates the language change and how the speaker’s expressiveness makes the change observable based on the Relevance Theory (which contemplates the roles played by both hearer and speaker in the communication). Diachronically, I investigate the history of the word 及 from 1400 B.C. (Oracle Bone Inscriptions—the earliest Chinese written documents) through the 10th century (Dun-huang manuscripts) to demonstrate that grammaticalization is a long and gradual process, and that language change motivated by hearers and speakers may last for several generations. The data about grammaticalization derived from the diachronic investigation further supports my hypothesis of language change.