

BIBLIOGRAPHY

DISSERTATION ABSTRACTS*

An, Yanming. Ph.D., The University of Michigan, 1997.
The Idea of Cheng (Integrity): Its Formation in the History of Chinese Philosophy. UnM: AAT 9811022.

Cheng is a key term in Chinese culture. At the same time, it has been widely viewed as an “elusive,” even “the most unintelligible term” by both Chinese and Western scholars, because of its various, sometimes even contradictory usages and definitions. This dissertation points out that *cheng* possesses a core meaning—consistency. It is shared by all the usages and definitions, and legitimizes their validity as the members of the *cheng* family. The idea of *cheng* evolves mainly through two traditions, the traditions of influence and of reality. The first one emphasizes the impact of *cheng* on other people. It claims that *cheng* is the ultimate source from which comes a series of positive consequences. The second one treats *cheng* as essential attribute, or reality of a thing. It can explain why a thing exists as itself. Between the two traditions, *cheng*/influence is more prominent and complicated. The tradition of influence in turn divides into two sub-traditions, the sub-traditions of transformation and of change. One stresses that the sage with perfect *cheng* will effortlessly enlighten people, necessarily draw them to follow him. The goal of social transformation will be automatically realized in the above two-way process. The other emphasizes that *cheng* in a person’s heart/mind can be made to actively radiate out, impact on other people, and stimulate, inspire, and persuade them to do what the person treasures and wishes. The first one characterizes *cheng* in mainstream Confucianism, while the second is often found in various philosophers out of the mainstream. The work of Song Confucians signifies the summit of the evolution of the idea of *cheng*. They construct a system, with the notion of heaven, or the heavenly way as its foundation, and that of the transformation as its framework. In modern times, due to both theoretical rejections and practical challenges, the notion of heaven is decisively

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damaged. This results in the collapse of the system. The present task is not to rebuild the precious parts of the *cheng* tradition on the discredited heaven, but to rearrange them around the original core meaning.

Berkson, Mark Allen. Ph.D., Stanford University, 2000.

Death and the Self in Ancient Chinese Thought: A Comparative Perspective.
UnM: AAT 9961864.

In this work, I explore the conceptions of death held by Chinese thinkers of the classical period and examine the pictures of the self that underlie these conceptions. The dissertation focuses on thinkers from the Warring States period, from the 6th–3rd century BCE. I begin by looking at Confucius and one of his earliest followers and defenders, Mencius. Most of the work is focused on the thought of Xunzi, a Confucian, and Zhuangzi, a Daoist. I look at how each thinker approaches the following subjects: (1) Thoughts about death; (2) Facing one's own death; (3) Coming to terms with the death of loved ones; (4) The relationship of conceptions of death to pictures of the self, and the ethical and soteriological implications. The dissertation is a comparative enterprise in two ways: First, it compares the general Confucian and Zhuangzian approaches to understanding death and the self (and also the similarities and differences that exist among the Confucian thinkers). Second, it explores the Confucian and Zhuangzian pictures in light of the challenges and frameworks of a number of modern Western thinkers. I conclude by looking at how the Chinese traditions might fruitfully contribute to our current understanding and treatment of death. What each thinker conceives the proper attitude toward death to be rests, I argue, on his underlying conception of the self. In turn, these understandings of the self depend upon a number of factors which give rise to and support them—in particular, conceptions of temporality and (human) nature. I show that these Chinese thinkers come to terms with alienation and finitude through recognizing, cultivating and, for Confucians, expressing symbolically, various forms of connectedness and continuity. Confucian modes of connection—family and lineage; tradition; students and friends; leaving behind a name through accomplishments and character—are grounded in structured narrative temporality and selfhood, and depend upon our ability to remember. Zhuangzian modes of connection—the larger natural world; nondual experience cultivated through meditative practices and skillful absorption—are grounded in momentary, natural cycles or “wandering” temporality and the letting go of self, and depend upon our ability to forget.

Boucher, Daniel J. Ph.D., University of Pennsylvania, 1996.

Buddhist Translation Procedures in Third-Century China: A Study of Dharmaraksa and His Translation Idiom. UnM: AAT 9636133.

This dissertation continues the scholarship on the transmission of Buddhism from India to China by examining the translation idiom of one of the most prolific figures of this process. By concentrating upon a small body of translations within the huge corpus of texts translated by the third century Yuezhi monk Dharmaraksa, I hope to expose his terminological and stylistic adaptations for "translating Buddhism" to Chinese literati of the early medieval period. In this regard I have discovered that the infelicities and misunderstandings evinced by these translations will allow us to discern in greater detail the roles of the Chinese assistants in the production of these texts. In addition, because Dharmaraksa's translations predate our extant Sanskrit manuscripts of Buddhist texts by many centuries, they can in some cases provide data concerning the role of Middle Indic languages in the early transmission process, particularly so as to qualify some rash scholarly judgments about the role of the Northwest Prakrit in early China. There is also an appendix listing Dharmaraksa's entire corpus (159 texts) with a large bibliography of the most important work on them to date. It is my hope that this dissertation will both qualify and extend the range of questions that can be brought to these hybrid works frozen in time between two great ancient cultures.

Chao, YeMin. Ph.D., Yale University, 1996.

A Redefinition of Music Bureau Poetry and Its Place in the Chinese Tradition. UnM: n/a.

Yuefu or Music Bureau poetry has been variously defined as the poetry of the people, of social concern, of fictionality or of musical accompaniment. In fact the genre is so broad that none of these characteristics really describes it adequately or even accurately. On the one hand there is a need to comprehend the varying perspectives that can be taken of *yuefu* poetry and to identify persistent tendencies that define the genre. On the other hand its relationship with the dominant strand of lyrical expressive poetry written by the literati also needs to be clarified. This expressive verse written by the literati which mediates a personal vision through factual grounding in biographical circumstance is so important in Chinese letters that it is identified with the term *shi* which is synonymous with Chinese poetry in general. There are important differences between *yuefu* and *shi* which need to be defined in order that the different procedures of reading appropriate to each may be recognized. In

the process the contribution of *yuefu* to the development of *shi* poetry and to the heritage of Chinese *Shi* may then be acknowledged. All this calls for a redefinition of an ancient genre and of its place in the tradition which jointly constitute the task of this dissertation.

Chen, Zhi. Ph.D., The University of Wisconsin, Madison, 1999.
From Ritualization to Secularization: The Shaping of the Book of Songs. UnM: AAT 9939693.

There are two methodological conventions repeatedly applied in the study of the *Book of Songs*. One is the planimetric treatment of the songs as a collection of poems of the same era, the other is that the poems were seen as songs in one evolutionary culture. This dissertation aims to illustrate the potential of an interdisciplinary approach to this canonical anthology and argues that it actually went through a collection process incorporating early poetic or musical works with different provenance from different times. My method involves a paleographic and philological analysis of the perplexing graphs which designate sections of the *Shih ching*: "Nan," "Feng," "Ya" and "Sung." A syncretic study of the characteristics, structural principles, semantic stratification, graphical evolution and phonetic development of these graphs on a chronological base shows how the terms *sung*, *ya*, *nan* and *feng* evolved into sectional designations of the *Book of Songs*, and seeks to recover their initial meaning in different cultural backgrounds. This dissertation also requires a reconstruction of some musicological institutions of early culture. My methodology involves a combination of archaeological reconstruction and a reconstruction enabled by literary materials. In the light of these methods, the cultural clash between the Shang and the Chou, as far as music is concerned, led to two paths of acculturation. The rise of the *ya* music in the Kuanchung and its dominant applications interrupted the natural course of musical history in the central plains represented by the Shang culture. Throughout the Western Chou, the two cultures maintained their relative autonomy, though Shang elements had been absorbed by the Chou in their earliest encounters. The actual blending of the Shang and Chou musical cultures lasted for several centuries, and it was not completed until the Chou's gradual disintegration after its resettlement to the central plains. The *Book of Songs*, though anthologized in the Spring and Autumn times, incorporated musical and poetic works of variegated origins and pedigrees which is demonstrable in the works themselves in different sections.

Chittick, Andrew Barclay. Ph.D., The University of Michigan, 1997.
Pride of Place: The Advent of Local History in Early Medieval China. UnM: AAT 9811052.

This work explores the origins of local history writing in China in the second to fourth centuries C.E., focusing on local history as an expression of ideals about the local community, its cultural distinctiveness, and its potential for political autonomy. The research centers on the reconstruction and analysis of the *Record of Old Xiangyang* (*Xiangyang qijiu ji*), written by Xi Zuochi in the late fourth century C.E. Local history is considered first within the context of the expansion of narrative writing in the early medieval period, which was closely associated with the desire to record local customs, *fengsu*. These were considered to consist of two distinct elements: those inherent in human practice, or *su*, and those inherent in localities, or *feng*; both were felt to have the power to influence men to moral, cultured behavior. In characterizing *su*, early local history writers drew upon the tradition of biographical writing to develop an ideal of elite behavior that emphasized a detached, apolitical role in the local community. The community itself was viewed as a cultural forum, for the purpose of demonstrating and lauding restrained behavior and cultural attainment. Characterizations of *feng* were handled with the more novel genre of locality stories, which served as an antiquarian repository for tales about a local area, especially those with classical roots or allusions to imperial power. Over time, as the early tradition of local biographical compilations died out or was absorbed into imperial history, the more flexible format of locality stories accommodated tales of locals and non-locals alike. The selection of apolitical and non-local standards of value in local history writing is evidence of the medieval elite's powerful sense of identification with a universal classical cultural system, and a correspondingly weak sense of localism.

Coyle, Daniel. Ph.D., University of Hawaii, 1999.
Guiguzi: On the Cosmological Axes of Chinese Persuasion. UnM: AAT 9951177.

The *Guiguzi* 鬼谷子, or *The Master of Ghost Valley*, is unique in that it connects and develops a *yinyang* cosmology with an elaborate system of applied "interpersonal psychology." Not only is the text a general handbook of strategic thought, but it is also specifically a comprehensive manual of persuasion—comprehensive because it offers a doctrine of persuasion in the context of an encompassing world-view. This dissertation consists of a philological and philosophical exploration of the *Guiguzi*, based upon a detailed contextual study which reveals a classical

Chinese cosmological framework. Within the *Guiguzi* text psychological activities are played out by implementing techniques of “ingressive persuasion” grounded in the continuous processions of *yin* and *yang*. The expression “ingressive persuasion” conveys one of the text’s main teachings, namely, “going inside” another and deliberately building a rapport with that other based on cosmological, neurolinguistic, and emotional resonances, as well as praxiological understanding. In this sense, ingressive persuasion is both a self-reflective and environment-reflective process. At the heart of this persuasion is the Chinese concept of *qing*: an idea which includes both human “emotional-psychological affects and states,” as well as “world-psychological affects and ‘realities.’”

Gao, Xing. Ph.D., The University of Arizona, 2000.

Explanations of Typological Variability in Paleolithic Remains from Zhoukoudian Locality 15, China. UnM: AAT 9965929.

Zhoukoudian Locality 15 is one of the most important Paleolithic sites in North China. It plays an essential role in assessing Pleistocene hominid adaptation and behavior, and defining Paleolithic cultural/technological traditions and transitions in North China and greater East Asia. However, the paucity of published original research hinders the accessibility of this rich archaeological collection and forces many discussions concerning this locality to be speculative and far-fetched. This dissertation makes a comprehensive study of this site and the rich data-set from it. Major topics covered by this study include geology, stratigraphy, chronology, paleoenvironmental reconstruction, lithic analysis, and a discussion of the current practice and theoretical framework of Paleolithic research in China. The centerpiece of the study is lithic analysis, including artifact typology and variability, core reduction, tool retouch and modification, and raw material exploitation and economy. Through these analyses, a series of theoretical and empirical questions are addressed, such as the nature of stone tool variability at the site, the capability and preferences of the Locality 15 hominids in handling the available raw materials and modifying lithic tools, the restrictions of raw materials placed on stone tool technology and stylistic features, the interaction between nature and hominids at the site, and the proper placement of the Locality 15 industry in Paleolithic cultural traditions and developments in North China. This study found that sophisticated direct hard hammer percussion was employed as the principal flaking technique to exploit vein quartz at the site, which is very distinctive from the *Sinanthropus* industry at Zhoukoudian Locality 1. However, the presence of Levallois technology at the site, as often mentioned, cannot be verified

by this study. The dominant tool type is simply modified sidescrapers. The stone tools' informal features, minimal modification, and variability in morphology and edge are perceived as closely related to raw material quality and availability and mainly the function of the original blank forms. The Locality 15 materials are also recognized as a direct challenge to the scheme of identifying a three-stage cultural transition and models classifying distinct Paleolithic technological traditions that currently prevail in North China and East Asia.

Grande, Laura Ann Smith. Ph.D., The University of Michigan, 1997.
From "Get" to "Can": A Natural Semantic Metalanguage Study of Chinese De Constructions in Three Pre-Modern Text Samples. UnM: AAT 9811085.

This dissertation is a text-based study of Chinese *de* constructions in excerpts from *Lunheng* (1st century), *Dunhuang Bianwen* (9/10th centuries), and *Jinpingmei* (16th century). Historically a verb similar to "get, obtain," *de* has over the course of its history been associated with the expression of tense/aspect (cf get sick), possibility (cf get to go, gotta go), passive (cf get fired), result (cf get sick from something), and manner. It is thus of particular interest in the study of tense/aspect/modality expressions evolving from lexical verbs. A problem in the study of *de*—and of tense/aspect/modality systems in general—has been the unsystematic use of semantically complex terms to characterize meaning. This study addresses that problem by explicating meaning in Natural Semantic Metalanguage (Wierzbicka 1996), a mini-language comprised of semantic primitives (e.g., I, YOU, SOMEONE, HAPPEN, CAN) which are believed to have counterparts in all known languages. This approach not only avoids the pitfalls of traditional terminology, but is useful for cross-linguistic comparison because its terms—and its concepts—are (near-) universal. Using NSM, this study proposes for each major *de* construction attested in the data an explicit semantic account which reveals links across construction types, both synchronically and over time. *X de NP* ("X gets NP") for example, is explicated as meaning "Something happens. Because of this, X has NP." Rather than stopping at a paraphrase like "X gets NP," this semantic account captures the notions of happening and result that link nearly all *de*-constructions sharing that lexical source, including those where *de* is postverbal. *X de VP* ("X gets to VP," "X gets VP-ed") is explicated as "Something happens. Because of this, X VP," which captures its historical link to *X de NP* and demonstrates how preverbal *de* could have come to express CAN—namely, through the pragmatic inference that a HAPPENing not only can have a result, but can enable one.

Heitz, Marty Henry. Ph.D., University of Hawaii, 1999.

Distant Origins: Inscriptions of Life in Early Heidegger and the Zhuangzi. UnM: AAT 9940616.

Although much has been written concerning the comparison between the philosophy of Martin Heidegger (1889–1976) and various schools of Asian thought—particularly Daoism and Zen Buddhism—few if any scholars have to date undertaken such a comparison utilizing Heidegger’s early lecture courses, delivered in Freiburg between 1919 and 1923. In this dissertation I endeavor to help fill this lacuna by examining these lecture courses in the light of their similarities to, and differences from, the ancient Daoist text, the *Zhuangzi*. My thesis is that while there are significant, and indeed surprising, similarities between the philosophy of the *Zhuangzi* and Heidegger’s early philosophy of life (especially as reflected in his lectures of 1919 and 1920), a growing rift develops between them when Heidegger begins to develop his philosophy of *being*. Heidegger’s early concerns with life are gradually taken over by this concern for being, a shift that I term his “elision of life,” such elision coinciding with the first developments of his concept of “ontological difference.” I contend that it is this elision of life, as I interpret it, that ultimately separates Heidegger from the Daoism espoused in the *Zhuangzi*, and indeed in such manner that Heidegger’s early philosophy of being finds no authentic counterpart in Daoism. Although my chief concern in this dissertation is with the period of Heidegger’s thought between the years 1919 and 1922, I extend my analysis to include a brief survey of *Being and Time*, especially in light of the concept of authenticity, and find that this elision of life not only continues but intensifies. I suggest, then, that all of Heidegger’s later thought, based as it essentially is upon this early work, is separated from Daoism by a profound divide, necessitating a re-appraisal of what has so far been a quite favorable comparison between such later thought and Chinese Daoism in particular.

Herron, Richard D. Ph.D., Texas A&M University, 1998.

The Development of Asian Watercraft: From the Prehistoric Era to the Advent of European Colonization. UnM: AAT 9830920.

The development of Asian watercraft began with simple flotation devices: the log float, bundles of vegetation, inflated animal skins and pottery vessels. From these developed skin boats, basket boats and, most fundamental to the evolution of Asian watercraft, the dugout and the raft. Some form of raft or dugout was used by Australoid and Austro-nesian peoples to sail to the islands of South and Southeast Asia, possibly

as early as 80,000 years ago. Shell-first construction dominated the development of Asian watercraft. In South and Southeast Asia, planked hull vessels built up from a dugout base were common. Apparently, planks were originally attached using only ligature fastenings. In time, a combination of ligatures and dowels was used, and eventually boatbuilders, especially in Southeast Asia, increasingly relied only on dowels without any ligature fastenings along the planking seams. The majority of East Asian vessels was also based on the dugout, but in China both the dugout and the raft greatly influenced vessel development, resulting in the sharp-bottomed southern type and the flat-bottomed northern type of watercraft. By at least the first half of the second millennium A.D., in the areas of the South China Sea, a possible hybrid vessel type was being built which combined Chinese and Southeast Asian vessel features. Restrictions on Chinese shipping during the Ming dynasty resulted in the flat-bottomed, northern type of Chinese craft becoming dominant. Western observers give evidence that by this time the builders of some Chinese watercraft were using a combination of shell- and frame-first construction methods. After the advent of European colonization, some traditional Asian vessel types were changed due to Western influences. Nevertheless, recent research supports the knowledge that the majority of Asian watercraft continued to be built in traditional fashion, many of which still exist in some form today.

Li, Feng. Ph.D., University of Chicago, 2000.

The Decline and Fall of the Western Zhou Dynasty: A Historical, Archaeological, and Geographical Study of China from the Tenth to the Eighth Centuries B.C.
UnM: AAT 9965111.

The present dissertation provides a systematic study of late Western Zhou history, investigating in particular the process of the dynasty's decline and fall. The dissertation integrates written records with archaeological evidence to demonstrate the historical move in China during the tenth to the eighth centuries B.C. from centralized royal control to regional competition. It also shows how this historical development was influenced by geographical conditions. The first chapter provides an extensive survey of the Zhou world, demonstrating the extent of the Western Zhou state. The second chapter examines the process of decline of the Western Zhou and investigates possible reasons for it. The third chapter presents a historical-geographical analysis of the war between the Zhou and the Xianyun, who eventually captured the Zhou capital in 771 B.C. It situates this long-term war in the actual terrain of western China. The fourth chapter examines historical problems involved in the fall of the Zhou dynasty, presenting a new interpretation of the political

crisis of the last reign of the Western Zhou. The fifth chapter deals with the transition to the Eastern Zhou, focusing on the eastward migration of the Zhou court and some Zhou states. The dissertation concludes with a study of the rise of the state of Qin, which moved into the Zhou homeland in central Shaanxi and thereafter began its long march towards the unification of China.

Lieblich, Matat H. M.A., California Institute of Integral Studies, 1999.
The Model of Emotions in the I Ching, the Book of Changes. UnM: AAT 1394630.

This thesis explicates the model of emotions in the *I Ching, The Book of Changes* (1111–249 B.C., China). The significance of this thesis is in presenting the psychological system contained in the *I Ching*. Content analysis was used to identify the content—categories for emotions in the text, and their formal placement in the text. Twenty-six categories of emotions were found in the text. The categories appear most frequently in the third line of hexagrams, which represent the transition between the inner and outer world. Furthermore, a developmental model of emotions which presents an ideal emotional development was found in hexagram 31, Feeling. The results show that emotions are viewed as important information regarding how to achieve harmony in life situations. The discussion includes the connection between emotion and reality in Chinese philosophy, individuation, and somatization of affect as presented by Arthur Kleinman in the medical anthropology field.

Luo, Chia-li. Ph.D., Indiana University, 1999.
Coastal Culture and Religion in Early China: A Study Through Comparison with the Central Plain Region. UnM: AAT 9950782.

This dissertation identifies and introduces the culture of the coastal region in early China from the Neolithic through the early historic period, with a focus on its religious aspect. In analyzing the religious tradition of the coastal region, the author also compares it with that of contemporaneous central plains region, conventionally known as mainstream Chinese religion. The primary purpose of the dissertation is to challenge the conventional view of a homogenous early Chinese culture, explore the cultural and religious plurality of early China, and provide a more solid basis for discourses on the origins of Chinese religions. The first half of the dissertation includes a survey of related fields and an introduction to the recently identified coastal culture in early China. The survey covers the fields of the Wu-Yue culture, the Hundred Yue culture, and the Yi culture—all located within or linked with the coastal

culture. It provides a summary of the archaeological research in the past few decades and a critical review of the common agendas of the fields. It is then followed by an introduction to the recent scholarship that establishes the identification of an early coastal culture, and a discussion of the physical features of the culture. The second half of the dissertation focuses on the religious aspect of the coastal culture, comparing it with that of the central plains culture. It includes two parts, the first part studies the cemetery layouts of both cultures, establishing the regionality of the central plains religious tradition (which is centered on lineage hierarchy and commonly considered as the "pan-Chinese" tradition) and the separate identity of the coastal religious culture. The second part aims to reconstruct the actual content of coastal religion, comparing it with an analysis of the religious paradigm of the central plains region. The dissertation concludes that the coastal religious tradition was fundamentally different from the central plains tradition, as shown in various aspects including the structure of the pantheon, the location of worship sites, and the views concerning the destiny of the dead and the relationship between the dead and the living.

Panayotaki-Papathanassopoulou, Vassiliki. Ph.D., The Union Institute, 1997.

Human Potential in the Philosophies of Socrates, Plato, Confucius and Yoga.
UnM: AAT 9733513.

My P.D.E. consists of two essays; the title is "Human Potential in Socrates, Plato, Confucius and Yoga philosophy." By human potential I understand an innate, a priori capability which is dormant until after different procedures awaken it; the activation of this human potential is directed towards bringing fulfillment on different levels and to different degrees. My subject is the existence, the emergence and the development of these human potentialities despite time and place. Through the creative awakening of this innate dormant force, I hope for a fulfilled humanity and a better way of life. My main sources are ancient Greek philosophy (especially Socrates' and Plato's philosophy) Confucianism and Yogic thought. In the first essay I analyze Socrates' philosophy, with emphasis on the parts that refer to my subject. I also study the intellectual, social and political situation of ancient Athens as well as the moral crisis of that city, as foreseen by Socrates. I continue my essay by comparing the ancient moral crisis with the contemporary moral crisis of our world and by finding their possible similarities. In the first chapter of the second essay, I present Confucianism as a philosophical system with emphasis on the parts connected to my subject. Then I compare the ancient religious, social and political situation of

China with the modern one, always in relation with Confucius' teachings. The conclusion is that Confucius' philosophical and moral teaching is of great value for both ancient and modern China. In the same chapter I also include extensive comparison of Confucius and Socrates and I analyze the similarities and differences between their philosophies. The second chapter of the same essay refers to Yogic philosophy and practices. I follow the same method that I followed for the two previous philosophies but for Yoga I emphasize the practices more than the philosophy. The reason is that Yoga's practices offer a practical point of view in my P.D.E., since they present concrete experiences and practices for the activation of human potential.

Railey, Jim Alan. Ph.D., Washington University, 1999.

Neolithic to Early Bronze Age Sociopolitical Evolution in the Yuanqu Basin, North-Central China. UnM: AAT 9947476.

Archaeological sites in the southern Yuanqu Basin of north-central China provide a continuous record of long-term sociopolitical evolution during the Neolithic and early Bronze Age (ca. 6500–1100 B.C.). This research examined this long-term evolutionary trajectory, using both ceramic and settlement data. Pottery data were used to evaluate the relevance to this case study of theories concerning the relationships between ceramic production and sociopolitical evolution. Utilizing geographic information systems (GIS) software, I analyzed settlement patterns in the study area to assess the dynamic relationships between environmental factors and changing sociopolitical conditions through time. These data were assessed through a theoretical framework that draws on a variety of approaches to social evolution developed over the past several decades. Analyses of the ceramic data revealed a progressive increase in the numbers of vessel shape classes over time, consistent with theoretical models which predict an increased diversity of ceramic forms with increasing sociopolitical complexity. The data, however, revealed little or no evidence of increasing standardization of individual vessel forms, nor increasing specialization of ceramic production, over the course of the time span included in this study. The settlement pattern analysis revealed population growth, increases in the size of the largest settlements, and the emergence of settlement hierarchies and scalar growth in local social integration over the more than 5,000-year time covered by this study. Integration of the Yuanqu Basin into an emerging world-system was also evident. The results of this study contribute both to the broader, theoretical picture of long-term sociopolitical evolution, and to a clearer understanding of how this process played out on a historically-unique stage in north-central China.

Specifically, the results support a growing recognition that human social evolution is driven by the opposing social forces of competition and cooperation, and that, over the long run, selection has favored large groups at the expense of smaller ones.

Richey, Jeffrey Lynn. Ph.D., Graduate Theological Union, 2000.
Magical Power and Moral Law in Early Chinese Thought. UnM: AAT 9969460.

Previous studies of early Chinese thought have labored under a number of unhelpful assumptions: (1) early Chinese thought is divisible into "Confucian" (*Rujia*) and "Daoist" (*Daojia*) categories, each exclusive of the other; (2) early Chinese texts are the composition of single authors from discrete historical periods; (3) early Chinese ideas are best understood as "philosophical" rather than "religious" in character. Working with groundbreaking new research on the historical development of early Chinese thought this dissertation argues against these three assumptions. It highlights features of thought, vocabulary, and practice common to both early "Confucians" and "Daoists," suggesting that these terms imply an anachronistic separation between ancient Chinese spiritual lineages. It adopts the increasingly-accepted "accretional development theory" of representative early Chinese texts such as the *Laozi* [*Lao-tzu* or *Tao Te Ching*], *Lunyu* [*Analects*], *Mengzi* [*Mencius*], and *Zhuangzi* [*Chuang-tzu*], presenting evidence in favor of extensive and highly heterogeneous redaction histories for these works. Finally, by tracing the parallel development of these texts across the Warring States and early imperial eras (ca. 479–150 BCE), it demonstrates that early Chinese thought is best understood as combining an interest in "magical" cosmology and causality with a commitment to "moral" psychology and agency. Thus, theoretical models from the study of philosophy (e.g., the metaethics of Josef Fuchs, S.J.) and religion (e.g., Poo Mu-chou's notion of the "extrahuman") help to make sense of the many historical, literary, and thematic connections between the "Confucian" and "Daoist" traditions. Furthermore, the use of joint disciplinary perspectives from philosophy and religious studies allows for meaningful comparisons between functionally-similar systems of thought and practice in other cultures, such as contemporary Christian ethics and traditional African magical practices.

Shang, Ge Ling. Ph.D., Temple University, 1999.
The Religiosity of Zhuangzi and Nietzsche: Human Liberation As Affirmation of Life. UnM: AAT 9938699.

My thesis is that Zhuangzi and Nietzsche share a similar religiosity of life affirmation that expresses itself in the former as a vision of *xiao-yao-you* or "carefree and boundless wandering," and in the latter as

"Dionysian spirit." This topic was motivated by a more or less singular concern. I noted the widely diverse and contradictory readings of both Zhuangzi and Nietzsche in the literature. I wanted to test my alternative reading of these two philosophers, separated by 2500 years and by an enormous historical and cultural gap, by finding a common attitude between them. I decided to look for that commonality under the rubric "religiosity." From this new perspective, I found that both Zhuangzi and Nietzsche's attack on traditional values was not so much an attempt to present new values as it was an attempt to overcome and transcend tradition to create an option for a new state of human life. To understand this unexpected convergence, I try to make a comparative study of Zhuangzi and Nietzsche in order to find a common ground in these two great, seemingly disparate thinkers, separated by centuries. Zhuangzi and Nietzsche nevertheless reflected a common concern with spiritual emancipation, though they expressed different ways of achieving this emancipation. By looking at each philosopher in light of the other, I propose a way of seeing Zhuangzi and Nietzsche as complementary, rather than opposed, in their philosophical outlooks. In the creative and vital spirit of Nietzsche's work, as in the tranquil and inward spirit of Zhuangzi's work, a surprisingly similar vision of human freedom exists—one in which spiritual transcendence is possible by religiously affirming life, this life, as sacred and divine. In a concluding chapter I reflect upon the importance of this rethinking of the religiosity of Zhuangzi and Nietzsche for some issues in Western postmodern philosophy and contemporary Chinese thought.

Simonis, Fabien. M.A., McGill University, 1998.

A Chinese Model of Cognition: The "Neiye," Fourth Century B.C.E. UnM: AAT MQ43950.

This is an attempt at construing descriptions of cognitive activities found in the *Neiye*, an early Chinese text (fourth century BCE) preserved in the *Guanzi* compilation. Through the notions of metaphor and cognitive model, and by means of hermeneutic principles developed by George Lakoff and other theorists, I scrutinize the text, trying to unravel the peculiar understanding of the cognitive functioning of the body upon which it is predicated. I focus on four words: *xin* (heart), *shen* (spirit), *qi* (breath), and *qing* (emotions). As a result of this enquiry, the physicality of cognitive activities in the *Neiye* stands out clearly. The importance of the body in cognitive activities should appear as clearly in translations if we want to get closer to the Chinese understanding of their own writings instead of reading them through categories which only make sense in our own constructed reality, our *Lebenswelt*.

Tu, Chia Chi. Ph.D., Chinese University of Hong Kong, 1999.
A Bibliographical Study of the Hsin Hsu and the Shuo Yuan. UnM: AAT 9945652.

It is well-known that the *Hsin hsü* and the *Shuo yüan* are two collections of anecdotes and tales from Chinese history from earlier philosophical and historical texts. However, argument has often been raised by scholars as to whether Liu Hsiang was the writer or the editor of these two works or to the accuracy of some of the story. This thesis tries to answer some of the questions by comparison of the text with earlier sources. The topics are as follows: (1) the source; (2) the structure of the text of the contents; (3) Liu Hsiang's aim in compiling these two books and the political background of the time of compiling; (4) how books were put together in the West Han period. The main conclusions are: (1) most fragments were taken from earlier texts while some of them were rewritten while others were original compositions or written by Liu Hsiang; (2) the contents of these two books were arranged by topics grouped for the convenience of the reader who wished to be instructed in the art of government; (3) the concept of a "book" in the West Han period is not the same as today; (4) these two books belong to a unique genre where editing takes the place of original compositions. From these conclusions, the thesis can be put forward that Liu Hsiang can be said to be the editor as well as the author of the *Hsin hsü* and the *Shuo yüan*.

Wang, Youru. Ph.D., Temple University, 1999.
Deconstruction, Liminology and Pragmatics of Language in the Zhuangzi and in Chan Buddhism. UnM: AAT 9921204.

This dissertation investigates three related issues—deconstructive strategy, liminology of language, and pragmatics of indirect communication—in two great traditions of Chinese philosophy and religious thought. These three issues have drawn contemporary Western thinkers' close attentions and have entailed a variety of discussions. The dissertation attempts to bring the traditions of the *Zhuangzi* and Chan Buddhism into a postmodern focus concerning these three areas. It borrows insights, ideas and terms from contemporary and/or postmodern discourse to rediscover or reinterpret these two traditions. In doing so, it carefully redefines and analyzes those ideas and terms, and places them strictly in the Daoist and Chan Buddhist contexts. It bases its philosophical investigation, its rediscovery or reinterpretation of two traditions, on the solid study and critical examination of ancient texts and history of thought. One thread running through the investigation of these three areas in the *Zhuangzi* and Chan Buddhism is the study and exploration

of different linguistic strategies, the otherness of language uses. Although there is no “linguistic turn” in the thought of the *Zhuangzi* and in the mainstream of Chan, linguistic strategies play an indispensable role and serve the purpose of soteriological practice. The result of this investigation shows that these two traditions are great resources for the study of these three related issues. The treatise not only allows us to understand the central teachings of the *Zhuangzi* and Chan anew, but also lets these two traditions speak for themselves, addressing postmodern issues from their own perspectives. The conclusion is two-fold. On the one hand, the novel interpretation of the *Zhuangzi* and Chan challenges many conventional understandings of these two traditions concerning three areas. It highlights certain aspects of these two traditions that we have largely neglected before. On the other hand, the articulation of Daoist and Chan Buddhist views contributes to, enriches, and throws light on contemporary Western discussions of these issues, and even invites certain criticisms of postmodern discourse.

Xiao, Yang. Ph.D., New School For Social Research, 1999.

The Invention of the Will: A Critical and Comparative-Historical Study in the Philosophy of Action and Ethics. UnM: AAT 9941993.

This dissertation deals with the following three questions which will likely be classified as questions in different areas of specialization, *the philosophy of action*, *comparative-historical studies*, and *ethics* (moral psychology) respectively: (1) What is the essence of voluntary action? (2) Do classical Chinese philosophers have the concept of voluntary action? (3) What role does the concept of the will play in ethics? In this dissertation I argue for two related theses. As an answer to question 1, my first thesis is that the essence of voluntary action is *not* the will. This thesis is the basis for my argument against a relativist answer to the question 2. Some scholars have argued that classical Chinese philosophers do not have the concept of *voluntary action*, because they do not have the concept of *the will*. Their argument is based on a false answer to question 1), i.e., the false idea that the essence of voluntary action is the will, which is exactly the opposite of my first thesis. So if my first thesis is true, their arguments would collapse. My second thesis is my answer to question 3 “If the will is not invented for a theory of voluntary action, what is it invented for?” My answer is the following: for a large class of cases—usually historical figures such as the early Wittgenstein, Augustine, Confucius and Mencius—in which we find the concept of the will, the will is invented for *ethical* purposes. The dissertation consists in two parts. Part I is my argument for the first thesis. My argument is based on the later Wittgenstein’s work. I also show the limits of his

arguments and how to fix them. In Part II, I show in details how the actual histories of the inventions of the concept of the will vary greatly from Augustine to the early Wittgenstein, and to Confucius and Mencius. The significance of the dissertation is that this diverse picture will help us imagine new possible forms of ethical life, which is, I believe, the purpose of historical-comparative studies. Or, indeed, the purpose of philosophy.