

From Yao to Mao: 5000 Years of Chinese History

Professor Kenneth J. Hammond
New Mexico State University

Part I



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Kenneth J. Hammond, Ph.D.

Associate Professor of History, New Mexico State University

Ken Hammond was born and raised in Ohio and received his B.A. from Kent State University in History and Political Science. In the early 1980s, he studied and worked in Beijing, China, then entered Harvard University for graduate study in 1987. He received his A.M. in East Asian Regional Studies in 1989 and a Ph.D. in History and East Asian Languages in 1994.

Dr. Hammond joined the faculty of New Mexico State University in 1994 and has taught there since that time. In 2000, he became department head in history. He teaches courses in Chinese, Japanese, and Korean history and in East Asian gender history. He has also been active in developing Asian Studies at New Mexico State and in establishing exchange programs between NMSU and schools in China and Korea.

Dr. Hammond's research focuses on the cultural and intellectual history of China in the late imperial era, from the 10th through the 18th centuries, especially the history of the Ming dynasty, from 1368 to 1644. He has published articles and translations on Chinese gardens, as well as essays on the 16th-century scholar-official Wang Shizhen. Dr. Hammond also edited *The Human Tradition in Premodern China*, a biographical reader for undergraduate students.

In 1999, he received an American Council of Learned Societies research grant to spend five months at the Chinese Academy of Social Sciences in Beijing. In 2002–2003, he was an Affiliated Fellow at the International Institute for Asian Studies at Leiden, the Netherlands. In June 2003, he organized and chaired an international conference on Chinese cultural history in Leiden.

Dr. Hammond is past president of the Society for Ming Studies and has served on the Board of Directors of the Southwest Association for Asian Studies.

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From Yao to Mao: 5000 Years of Chinese History

Scope:

The 36 lectures in this course explore the history and culture of China, spanning a vast temporal and spatial domain and developing several themes to help understand this ancient and complex society. We will proceed in an essentially chronological passage through the unfolding of China's political and cultural evolution, with particular attention to important ideas and individuals and the roles they have played in shaping both China's historical past and its dynamic present.

Chinese civilization originated in the confluence of several regional Neolithic cultures nearly 5,000 years ago. Emerging from the mythological Era of Sage Emperors, such as Yao and Shun, China's historical record begins with the Shang dynasty around 1500 B.C.E. We will follow the growth of China from a small kingdom on the North China Plain to a major empire extending from the Siberian frontier to the jungles of Southeast Asia, from the Pacific coast to the Central Asian deserts.

One of our main themes will be the evolution of social and political elites and the mechanisms by which they acquired and asserted their power as rulers of China. Closely linked to this is the history of political thought in China, from shamanistic roots in prehistory through the Axial Age of Confucius and Laozi and the long process of crafting and adapting the Imperial Order over the past two millennia and more.

We will also be concerned with the ways in which the Chinese have thought and written about themselves and the world around them. Cosmological ideas about the nature of the universe, the metaphysical insights of Buddhism and religious Daoism, and the perennial mysticism of popular religion have blended and interacted throughout Chinese history in ways which have yielded both the beauties of art and the horrors of religious conflict.

Throughout these lectures, we will consider China's history as it relates to the world beyond China. For more than 2,000 years, China has been linked to the global economy, and traders and travelers have brought both the riches of the empire and tales of its splendor to the West. We will trace the increasingly close relations between China and the West from the age of the Mongol conquests in the 13th century through the rise of European imperialism in the 19th and into the present age of China's reemergence as a great world economic and political power.

By engaging with the history of China over the last five millennia, we will become familiar with one of the world's greatest civilizations and, arguably, its most persistent. Far from the popular image of China as a stagnant, unchanging

relic of a once glorious past, we will see China as a living culture that has flourished and declined, revived and returned to greatness several times over thousands of years. We will come to understand some of the key features that allowed China's political order to remain stable for more than 2,000 years and that continue to shape this country at the opening of the 21st century.

Lecture One

Geography and Archaeology

Scope: This lecture will set the stage for the developments to follow. We will begin with a consideration of the physical environment of East Asia and the specific sites in which Chinese civilization emerged: the mountains, coastline, and river valleys that defined the heartland of Chinese culture and remain the core of China today. We will also examine the prehistoric background of Chinese culture as it took form through the Neolithic era, with particular emphasis on the rise of settled agricultural societies and the multiple regional cultures that converged into the mainstream of China's historical identity.

- I. Before beginning to deal with the course of China's history, I want to take a few moments to suggest some general themes and concepts that will be part of this course and that will help us bring some coherence to the vast domain of China's past.
 - **A.** We will be concerned with how the Chinese have organized their society and government.
 - 1. How have social elites developed and evolved over time?
 - **2.** What have been the bases for power, and for the legitimation of power, through different periods?
 - **3.** How have the Chinese thought about their own society, and how have they seen the world around them?
 - B. We will consider the relationship between China and the outside world.
 - 1. First of all, this is a matter of Chinese civilization and the peoples living around China, often seen by the Chinese as "barbarians."
 - 2. We will also consider how China has been involved in larger regional and global systems of trade and communication.
 - 3. In later lectures, we will look at how influences from outside China have reshaped both the realities of life for modern Chinese and the ways in which China sees itself.
 - C. We will explore the connections between economic and social life and the worlds of art, literature, and philosophy.
 - Cultural life and political life have always been closely linked in China, and we will see how these linkages have changed over time.
 - 2. We will investigate the question of whether developments in China parallel those in other parts of the world, and if so, how and why that may be.

- D. China is, on the one hand, a unique civilization that sometimes seems to have taken a developmental path quite distinct from the West, yet in other ways, the Chinese experience can be seen as a set of alternative responses to common challenges and problems faced by people everywhere.
- II. In embarking on our exploration of Chinese history, let's begin by establishing just where and what China was and is.
 - **A.** China is located in East Asia and is defined by several significant geographic features.
 - B. On the east is the Pacific Ocean.
 - C. To the south lie the tropical lands of Southeast Asia.
 - **D.** The heartland of China is bounded on the west by mountains, from the border with Burma to the Tibetan plateau, and by the Gobi Desert.
 - E. To the north lie the grasslands of Mongolia and the rugged forests and mountains of Manchuria and Siberia.
- III. The core region of Chinese civilization is called China proper.
 - A. Four important areas can be defined within China proper.
 - 1. In the north is the North China Plain.
 - 2. In the south is a region of low hills and wet valleys.
 - 3. In the southwest is the Sichuan Basin, ringed by mountains and accessible mainly via the gorges of the Yangzi River.
 - 4. In the northwest is a dry plateau.
 - B. Two major rivers flow from west to east.
 - 1. The Yellow River rises in Tibet and forms a long loop called the Ordos before flowing across the North China Plain to the sea by the Shandong peninsula.
 - 2. The Yangzi River also originates in Tibet, flows through Sichuan and across central China, to reach the Pacific near modern-day Shanghai.
- **IV.** As China has expanded historically, peripheral areas have become part of its territory.
 - A. Chinese farmers have moved south and southwest into the highlands of what is now Guizhou and Yunnan.
 - **B.** Tibet has been linked to China since at least the 7th century.
 - C. Chinese power has extended into Central Asia along the overland trade route known as the Silk Road.
 - **D.** The Mongolian steppe has been a frontier zone that has sometimes been incorporated into the empire.

- **E.** The woodlands of Manchuria, in the northeast of modern China, have become part of the country only in the last four centuries.
- V. China's population has evolved in complex ways.
 - **A.** The earliest people to call themselves Chinese lived on the North China Plain.
 - 1. The earliest "states" included numerous tribal groups who defined themselves in contrast to the surrounding "barbarians."
 - 2. One key element in this self-definition was the possession of a system of writing.
 - **B.** As Chinese civilization expanded, neighboring peoples were either displaced or assimilated.
 - Chinese farmers moving south drove indigenous peoples out of the region or forced them to move from fertile river valleys to more marginal highlands.
 - 2. Some non-Chinese peoples continued to live in proximity to the much larger Chinese population, retaining distinctive cultures.
 - **C.** Today, the main ethnic group is called the *Han* and accounts for 95 percent of China's population.
 - The name derives from the Han dynasty, which we will learn about later.
 - 2. The other 5 percent of China's population is composed of 54 "national minorities."

VI. Let's return to the origins of Chinese civilization.

- **A.** The archaeological record tells us a good deal about the ancestors of modern man in China.
 - 1. The earliest human ancestors included Peking Man, whose fossil remains are dated to around 500,000 B.C.E.
 - 2. Other hominid fossils have been found in southwest China and in the Yellow River valley in the northwest.
 - 3. Modern *homo sapiens* remains appear in China about 40,000 years ago.
 - A series of cultures developed increasingly more sophisticated stone tools.
 - 5. The key to the rise of more complex cultures, leading to historical Chinese civilization, was the domestication of rice around 10,000 B.C.E. in what is now Jiangxi province.
 - By about 6,000–7,000 years ago, larger regional cultures began to emerge, setting the stage for the growth of true Chinese civilization.

- 7. The Neolithic, or New Stone Age, was a period of rapid development for regional cultures in China.
- **B.** Neolithic cultures were characterized by the use of pottery and the creation of settled farming communities.
 - Between 7,000 and 6,000 years ago, the Yangshao and Longshan cultures grew in northern China, distinguished by their particular forms of pottery.
 - 2. Other pottery styles marked the Liangzhu culture, which flourished further south, in the eastern Yangzi valley.
 - 3. The expansion of agricultural production yielded increasing surpluses, which allowed for the development of new social elites, often associated with shamanic cults.
 - 4. Somewhere around 5,000 years ago, people in both north China and in Sichuan began to mine and smelt copper, tin, and other metals and to cast bronze objects.
 - 5. The first evidence of territorially extensive, politically complex society is associated with what the Chinese traditionally believed to be the Xia dynasty, centered near the confluence of the Yellow and Wei Rivers, a little more than 4,000 years ago.
 - **6.** We will follow the development of the Xia, and the emergence of historical Chinese civilization, in the next lecture.

Michael Loewe and Edward L. Shaughnessy, eds., *The Cambridge History of Ancient China*, 30–73.

Supplemental Reading:

Kwang-chih Chang, The Archaeology of Ancient China.

- 1. How can we understand the relationship between the prehistoric populations of what is now China and the present-day Chinese people?
- 2. Why was the domestication of rice significant to the emergence of true Chinese civilization?

Lecture Two The First Dynasties

Scope: Neolithic village cultures began to consolidate into larger geographic and political units over the period from about 7,000 to 5,000 years ago. By 4,000 years ago (2000 B.C.E.), the first of the Bronze Age cultures that can be seen as directly ancestral to historical Chinese civilization had taken shape along the Yellow River in what are now Henan, Hebei, and Shanxi provinces. Later Chinese refer back to the first "dynasty" as the Xia, which was succeeded about 1500 B.C.E. by the Shang or Yin dynasty. The Xia provides the first indication of a highly stratified society with a ruling elite dominating a population of farming villages. A bronze industry was developed, which the Shang raised to much greater heights of technical and aesthetic achievement. This bronze industry, along with military forces and the royal ritual cult, became the defining features of early Chinese society.

- I. The Neolithic Transition brought China to a new stage of development.
 - A. The starting point for this was the emergence of agricultural societies.
 - 1. In China, this took place about 12,000 years ago.
 - **2.** Evidence of the first domestication of rice has been found in Jiangxi province in central China.
 - **B.** By 4,000 years ago, a new phase of historical development began.
 - 1. The archaeological record begins to be supplemented with textual traditions.
 - **2.** The emergence of a bronze industry reflects the more complex organization of society.
 - C. The Xia used elaborate sets of bronze ritual objects in what appears to have been ancestral worship by a "royal" family.
 - 1. One clan seems to have established primacy over all others.
 - 2. The shamanistic worship of the clan's totem seems to have been transformed into a more general worship of the royal ancestors.
- II. The Shang dynasty succeeded the Xia around 1500 B.C.E.
 - **A.** The Shang left an extensive historical record in the form of "oracle bones" and bronze inscriptions.
 - 1. Oracle bones were the shoulder blades of cattle or the plastrons of turtles.

- **2.** These were inscribed with divination questions to be asked of the ancestors on behalf of the kings.
- Official "diviners" who could read and write the early forms of Chinese characters interpreted cracks in the bones or shells to reveal the answers of the ancestors.
- **4.** Archives of oracle bones were maintained, recording the questions, answers and outcomes of divinations, which have been excavated in the 20th century, yielding a vast amount of information about the Shang period.
- **B.** The Shang political order was centered on a line of kings, hence the use of the term *dynasty*.
 - 1. Because life expectancy was so short, barely 30 years, the kingship passed not from father to son, but from older to younger brother within a generation, then to the oldest son in the next generation.
 - 2. The kings ruled from a capital city, but the capital was moved nine times in the course of the dynasty's perhaps six centuries of rule.
 - 3. The kings used military force to maintain their power and dominated surrounding peoples who were not related to them but were incorporated in a kind of federal system.
 - 4. They also used a public cult of ancestor worship to bolster their legitimacy.
 - The use of bronze ritual objects in offering sacrifices to the ancestors was central to this cult.
 - 6. The operation of the sophisticated metallurgical industry that produced these elaborately cast bronzes was sustained by the taxation of agriculture, thus creating the first state bureaucracy in China.
- C. Tensions in the Shang realm led to unrest by the 11th century B.C.E.
 - 1. Subordinate peoples resented the extraction of agricultural surplus by the Shang kings.
 - **2.** Peoples not subordinate to the Shang raided on the margins of Shang territory.
 - 3. Ambitious leaders sought to enhance their own power and overthrow the Shang, as we will see in the next lecture.

Michael Loewe and Edward L. Shaughnessy, eds., *The Cambridge History of Ancient China*, 74–291.

Supplemental Reading:

David N. Keightley, The Ancestral Landscape.

- 1. Why was ancestor worship so important to the Shang rulers?
- 2. Why did the Shang keep written records of the divinations they performed?

Lecture Three

The Zhou Conquest

Scope: The Shang state flourished for several centuries, expanding its territory by conquering neighboring peoples. By the 11th century B.C.E., one of these, the Zhou people, led a coalition of subordinate groups to overthrow the Shang. The Zhou then created a new dynasty and, in the process, elaborated critical concepts for China's political culture over the next 3,000 years. The justification for the Zhou rebellion and the founding of a new dynasty was the Mandate of Heaven. The Zhou also began to build a new kind of political order and expanded the territory under their control far beyond what the Shang had held. The very success of the early Zhou state created the conditions that led to its fragmentation in the early 8th century B.C.E. and to the period of chaos and warfare that followed.

- I. We have both mythological and archaeological accounts of early China.
 - **A.** As our modern understanding of the rise of Chinese civilization has developed, it has tended to confirm traditional mythological accounts.
 - B. China did not have a creation myth like those of the West.
 - **C.** The Sage Kings of High Antiquity, such as Yao and Shun, served as models of virtuous rule and founders of many cultural practices.
 - 1. Yao passed the throne to Shun, who was not his son, because Shun was the best qualified morally.
 - 2. This contrasts with the normal practice of Chinese states, which was to pass power down through families, and highlights the centrality of moral values in China's political culture.
 - 3. This moralistic aspect is key in the story of the rise of the Zhou.
- II. The rise of the Zhou people took place over several generations.
 - A. The Zhou lived on the western periphery of the Shang realm. Their early history saw them adopt agriculture, revert to hunting and gathering, and adopt farming again, perhaps reflecting their marginal environmental niche on the periphery of the agricultural zone.
 - **B.** According to their traditions, their leader developed a plan to unite other peoples under their banner to rise up against the Shang kings.
 - 1. This plan was formed by a man named Tai.
 - 2. Over the next three generations, the Zhou people moved closer to the center of Shang power and built alliances with other disaffected peoples.

- C. Under a man later known as King Wen, the Zhou planned their final rebellion around 1050 B.C.E.
- **D.** Under Wen's son, King Wu, the Zhou led a military coalition in an attack on the Shang capital at Anyang, most likely in 1045 B.C.E.
 - 1. At the outset of the campaign, King Wu gave a speech calling for the overthrow of the Shang as unjust and corrupt rulers who abused their power.
 - 2. According to ancient texts in the *Classic of Documents*, the battle was so fierce that the blood in the streets of the capital was deep enough to float blocks of wood.
 - 3. At the time of the Conquest, King Wu was, in fact, a young boy, and real power was in the hands of his uncle, the Duke of Zhou.
- III. After the Conquest, the Zhou elaborated the doctrine of the Mandate of Heaven to validate their overthrow of the Shang.
 - A. The Mandate of Heaven said that Heaven, which is the guiding power in the universe, had originally given the right to rule to the Shang kings, but when they became cruel and oppressive, they lost the Mandate, and it passed to the Zhou leaders.
 - 1. The worship of Heaven, *Tian* in Chinese, was the central religious belief of the Zhou.
 - **2.** *Tian* was not a divinity, but more of an operating system, which structured the way the world should function.
 - 3. This was a shift from the primacy of ancestor worship by the Shang, but the Zhou, too, observed a royal ancestral cult.
 - Ancestor worship remained part of Chinese culture and became widespread even among ordinary farming families in later centuries.
 - **B.** The Zhou used the Mandate of Heaven to explain the rise of the Shang over the earlier Xia, as well.
 - 1. The Mandate of Heaven became the basic rationale for political change in later Chinese political culture.
 - 2. It was a system that validated success.
- **IV.** The Zhou established a new, permanent capital and created a new form of political order.
 - A. The Zhou built a new city at what is now Xian, on the Wei River.
 - 1. The city was based on the model of a basically square capital, which went back to the Xia.
 - 2. The Zhou commitment to a permanent capital was a change from the Shang practice of shifting the capital every few decades.

- 3. The physical layout of the Zhou capital became the prototype for later Chinese capital cities.
- 4. It embodied the cosmological order in its orientation to the cardinal directions and its incorporation of ritual sites associated with the annual cycle.
- **B.** As Zhou rule flourished, the territory under their control expanded rapidly.
 - 1. Zhou power was extended to the south, into the Yangzi River valley.
 - 2. Zhou power was also extended to the north and southeast, beyond the limits of the former Shang domain.
- **C.** Growth in both territorial extent and in the size of the population led to administrative innovations.
 - 1. The Zhou kings could not manage all their lands from the capital.
 - 2. They began to appoint local administrators, often from the royal family, but as time went by, more and more military leaders or other non-royal administrators were named.
 - 3. Over time, these local leaders began to pass their positions on to their sons.
 - **4.** Relations of loyalty to the Zhou kings began to weaken as generations passed.
- **D.** The success of the early Zhou state created the conditions for its fragmentation, which we will consider in the next lecture.

Michael Loewe and Edward L. Shaughnessy, eds., *The Cambridge History of Ancient China*, 292–350.

Supplemental Reading:

Cho-yun Hsu and Katheryn M. Linduff, Western Chou Civilization.

- 1. Why did the Zhou feel they had to justify their overthrow of the Shang?
- 2. How did the change from the Shang royal ancestral cult to the Zhou worship of Heaven affect the nature of political legitimacy?

Lecture Four

Fragmentation and Social Change

Scope: Beginning in the 8th century B.C.E., local strongmen, originally appointed as representatives of the Zhou kings, began to arrogate to themselves the powers and titles of the royal court. The Zhou state waited too long to try to counter this and found its power slipping away as new "hegemons" arose in various parts of the empire. Small states proliferated and fought among themselves, ushering in a centuries-long age of warfare and chronic social and economic instability. Known as the Warring States period, the crises of this age led many Chinese to question the basic foundations of their society and to search for answers to the problems facing them. A new social strata of educated, professional administrators grew up at the many "royal" courts, known as the *shi*, and from the ranks of this class emerged many of the thinkers who shaped the great philosophical systems of Confucianism, Daoism, and the Hundred Schools.

- I. By the 8th century B.C.E., the Zhou order began to fragment.
 - **A.** The forces that led to fragmentation were, in part, a result of the success of the early Zhou rulers.
 - 1. Overall, the Zhou was the longest lasting of China's historical dynasties.
 - 2. The Zhou faced the challenge of administering a large empire, which they expanded far beyond what the Shang had ruled.
 - 3. They added territory in the Yangzi River valley and along the southeast coast.
 - 4. The peace and prosperity they maintained allowed the population to grow, as well.
 - **B.** As their empire grew, the Zhou kings had to delegate more power to local strongmen.
 - 1. As time passed, these local power holders began to resist the demands for revenue from the royal court.
 - 2. They adopted royal rituals and clothing and began to defy the power of the Zhou kings.
 - **C.** Because of military unrest on the northwestern frontier, the Zhou kings could not suppress their former subordinates.
 - 1. A new people known as the Qin began to build their power in the former homeland of the Zhou.

- 2. The Zhou were forced to move their capital east, to the site of present-day Luoyang.
- II. Through the next few centuries, the number of small states steadily increased.
 - **A.** This period is known as the Spring and Autumn period.
 - 1. The name comes from the Spring and Autumn Annals, which were records kept in the state of Lu, one of the most important of the many small kingdoms of this period, whose rulers claimed descent from the Duke of Zhou.
 - 2. Confucius, who we will talk about more in the next lecture, was traditionally said to have been the editor of the Spring and Autumn Annals.
 - **B.** As time went by, some local rulers began to covet the wealth or territory of their neighbors.
 - 1. Warfare became endemic across China as states fought over resources or population centers.
 - 2. Some strongmen began to emerge and build alliances with other states.
 - 3. These rising powers became known as *ba*, or "hegemons," meaning men who had power but did not have legitimate authority, which remained with the Zhou kings.
 - **4.** A new class of administrative specialists, known as the *shi*, developed at the new local courts, becoming a professional political elite serving the growing number of small states.
 - **C.** By about the 5th century B.C.E., the process of fragmentation began to reverse itself, as stronger states conquered and absorbed weaker ones.
 - 1. This period became known, appropriately enough, as the Warring States period.
 - 2. As some states became stronger, they competed for the best and brightest talents among the ranks of the *shi*.
 - 3. At the same time, many *shi* began to ask why China had fallen into such a prolonged period of instability and chaos.
 - 4. Local rulers developed new ways to increase their revenues and transformed the system of land ownership from one based on rewards to military leaders to one granting land to administrators as compensation for their services.
 - 5. In time, this led to the emergence of a market in land and to the beginnings of an agrarian-based national economy.
 - **D.** The 5th and 4th centuries B.C.E. became a critical period in China's history, as many schools of thought sought to address the problems facing the people. We will turn to these matters in the next two lectures.

Michael Loewe and Edward L. Shaughnessy, eds., *The Cambridge History of Ancient China*, 545–650.

Supplemental Reading:

Mark Edward Lewis, Sanctioned Violence in Early China.

- 1. Why did the Zhou kings appoint men from outside the royal family to administer territories far from the capital?
- 2. Why didn't the Zhou kings order local officials to follow proper ritual forms in the performance of their duties?

Lecture Five

Confucianism and Daoism

Scope: This lecture will explore the basic concepts and texts of Confucian and Daoist thought, which developed as a response to the crises of the Zhou order in the Warring States period. Confucianism is an essentially positivist approach to the world that seeks to understand the ways in which people can live together in social communities. Human relationships and a system of ritual are central to Confucius's concept of a well-ordered society, and learning is the mechanism for maintaining that order. Daoism is, by contrast, a radically skeptical system, which doubts that knowledge is reliable and views all human action that is based on lofty ideals and theories as dangerous. The Daoist thinkers Laozi and Zhuangzi advocated a naturalistic, *laissez-faire* approach to life, which asserted, "by doing nothing, nothing is left undone."

- I. From the late 6th through the 4th centuries B.C.E., several important thinkers appeared in China.
 - A. Two of the most important schools of thought in Chinese history originated with the ideas of Confucius and Laozi, who were contemporaries.
 - Not much is known about either of these men in terms of hard facts.
 - 2. Both seem to have been members of the class of *shi*, the professional administrative elite.
 - 3. Both men had later followers who further developed their ideas, most notably, Mencius for Confucius and Zhuangzi for Laozi.
 - **B.** There were many other schools of thought at this time, some of which we will consider in the next lecture.
- II. Confucianism is the school of thought deriving from the ideas of Confucius and Mencius.
 - A. Confucius spent much of his life trying to become a major political advisor to one of the rulers of the many small states in China.
 - 1. He was from the state of Lu, in what is now Shandong province.
 - 2. He held a series of minor posts in Lu and other states around the region but was never able to become the main advisor to a ruler.
 - 3. He eventually gave up on serving in office and devoted his time to teaching.

- **4.** Most of what we know about him and his ideas comes from records written down later by his students in a book called *Lunyu*, or *The Analects*.
- **B.** The key to the teachings of Confucius is the idea of relationships between people.
 - 1. Confucius believed that people could live together peacefully by recognizing their roles in networks of relationships.
 - 2. The family was seen as a microcosm of how relationships linked people together.
 - 3. Confucius used a model of Five Great Relationships to suggest how society might work.
 - 4. The Five Great Relationships are those between ruler and subject, father and son, husband and wife, elder and younger brother, and friend and friend.
 - 5. Each of these involved both hierarchy and reciprocity.
 - 6. In each pair, one role was superior and one, inferior; one role led and the other followed.
 - 7. Yet each involved mutual obligations and responsibilities.
 - **8.** Failure to properly fulfill one's role could lead to the abrogation of the relationship.
- C. Ritual was the mechanism for facilitating these relationships.
 - 1. By following proper ritual behavior, each person would fulfill his or her role in society.
 - 2. Any individual might be in a variety of roles at the same time, being both a father and a son, both a subject of the ruler and a master in the family.
 - 3. It was the adoption by local strongmen of improper rituals, not suited to their true roles, that had undermined the functioning of the Zhou regime in the 8th century B.C.E.
 - 4. Thus, Confucius came to advocate the "rectification of names" and the "return to the rites."
- **D.** The "gentleman" is the ideal figure for Confucius.
 - 1. The gentleman understands the workings of relationships.
 - 2. He observes proper ritual.
 - **3.** He engages in learning both to develop his personal moral character and to gain knowledge that is useful in serving others.
 - 4. He seeks to promote "the Way" (*Dao*) of living appropriate to a well-ordered society through both personal example and service in government.
- E. Mencius further developed the original ideas of Confucius.

- 1. Mencius lived about a century and half after Confucius.
- 2. He emphasized the mutual responsibilities of all the Great Relationships.
- He developed a new version of the Mandate of Heaven that used Confucian values to explain the bestowal and withdrawal of the Mandate and the right of the people to overthrow an unjust ruler.
- III. Daoism was almost the polar opposite of Confucianism, while sharing some important basic concepts.
 - A. Laozi is seen as the founder of Daoism.
 - Laozi lived around the same time as Confucius, but even less is known about his life.
 - **2.** Zhuangzi, like Mencius, lived later than Laozi and built on the ideas of his predecessor.
 - 3. A book simply called *Laozi* contains the basic ideas of Daoism.
 - 4. Chinese myths say that after he finished his work in China, Laozi left and traveled to India, where he became the Buddha.
 - **B.** Where Confucianism is positivist, Daoism is skeptical.
 - 1. Laozi and Zhuangzi question the ability of people to truly know things.
 - 2. For Daoists, all knowledge is partial and provisional.
 - **3.** By basing actions on such knowledge, people tend to make things worse rather than improve things.
 - **4.** The best way to live is to seek harmony with the natural flow of events, the *Dao*.
 - 5. This doctrine of "doing nothing" became the fundamental teaching of philosophical Daoism.
 - **6.** For Laozi, the ideal life was in a small village, where all one's simple needs were met, and though one could hear the dogs and roosters of neighboring hamlets, one never chose to go there.
- **IV.** Confucianism and Daoism were perhaps the most important schools of thought to arise in the Warring States period, but they were not the only ones, and we will turn our attention to some others in the next lecture.

Frederick W. Mote, Intellectual Foundations of China.

Supplemental Reading:

Benjamin Schwartz, *The World of Thought in Ancient China*. Herbert Fingarette, *Confucius: The Secular as Sacred*.

- 1. What were the shared assumptions of Confucianism and Daoism?
- **2.** How can Confucianism be seen as an ideology of the *shi* class, and can Daoism also be seen in this way?

Lecture Six

The Hundred Schools

Scope: Although Confucianism and Daoism can be seen as the most enduring schools of thought to develop during the Warring States period, they were only part of a rich field of philosophical activity. In this lecture, we will consider the range of other ideas put forward by Chinese thinkers during the so-called Axial Age. Perhaps the most important beliefs were those of the Legalists, who took an approach to social and political order that was fundamentally at odds with both Confucian and Daoist ideas. Legalism was closely linked to the state of Qin, one of the warring states; indeed, by the end of the 3rd century B.C.E., Oin had succeeded in destroying all the warring states and creating the first unified Chinese empire. Although lasting only 14 years, the Qin laid the institutional foundations for much of later imperial government.

- Chinese thinkers developed many different answers to questions about life and the nature of things.
 - **A.** Chinese have traditionally referred to this period of intellectual ferment as the time of the Hundred Schools.
 - 1. The kinds of concerns dealt with by different schools varied.
 - 2. Some were concerned with questions of knowledge and language and disputed such matters as whether a white horse was essentially "white" or "horse."
 - **3.** Others, such as the strategist Sunzi, were concerned with military affairs.
 - 4. Still others explored cosmology and speculative metaphysics.
 - 5. Two schools stand out in hindsight as having been of particular interest: the followers of Mozi and the Legalists.
 - **B.** Mozi and his followers propounded a doctrine of "universal love" and pursued a strategy of defensive warfare.
 - 1. The doctrine of universal love was, in part, a refutation of Confucian ideas about the priority of family relations, which Mozi saw as subverting the equality of all in society.
 - Mozi believed that individuals should treat each other as they would wish to be treated, a teaching quite similar to the "golden rule" in Judeo-Christian thought.
 - 3. The Moists developed expertise in defensive warfare in an effort to end the chronic conflicts of the age by making aggression unproductive.

- **4.** Moist technical advisors would offer their services to rulers of states under threat from powerful neighbors.
- 5. Although Moism flourished during the Warring States period, once the age of warfare came to an end, these doctrines receded in importance.
- C. Legalism was a system that proved to be quite effective in gaining power but was problematic for establishing a stable political order.
 - 1. The doctrines of Legalism originated in the practical political operations of the state of Qin, one of the warring states.
 - 2. The prime minister of Qin in the mid-4th century B.C.E. was Shang Yang, who set out the basic ideas of Legalism.
 - The central principle of Legalism was the use of rewards and punishments to produce conformity to the rule of clear and welldeveloped laws.
 - 4. The law was to be applied uniformly and strictly, to high and low, so that everyone understood their duties and knew the penalties for failing to fulfill them.
 - 5. In the 3rd century B.C.E., the philosopher Han Fei developed an intellectual rationale for Legalism, arguing that human nature was essentially blank and that people needed careful guidance by strong rulers to live in an orderly way.
- II. The Qin state, with Legalism as its ideology, succeeded in ending the Warring States era.
 - **A.** Under successive kings, Qin grew in military strength and expanded its territory in northwest China.
 - **B.** In the middle of the 3rd century B.C.E., a new king began the final campaigns to eliminate other states.
 - 1. The Qin defeated their rivals one by one, sometimes forming an alliance with smaller states to eliminate a larger one, then turning against their former allies.
 - 2. By 221 B.C.E., the last of the other states, the southern kingdom of Chu, fell to Qin power.
 - 3. The king of Qin now assumed the title by which he is best known in history, Qinshihuangdi, meaning the "First Emperor."
 - 4. His tomb, near the modern city of Xian, is the site of the famous terracotta warriors.
 - C. The Qin dynasty, as this first unified empire was known, laid the basis for an enduring imperial order but lasted only 14 years.
 - The Qin created a unified administrative system, eliminating many local systems of weights and measures, cart axle width, coinage, and so on.

- 2. Qinshihuangdi sought to standardize not only material things but the way people thought, as well.
- 3. In 214 B.C.E., he launched the infamous "burning of books and burying of scholars" to eliminate what he saw as unorthodox ideas.
- **4.** The taxes and labor levies imposed by the Qin led to great resentment and unrest.
- 5. When Qinshihuangdi died in 210 B.C.E., his son could not maintain the dynasty, which collapsed just three years later.
- **6.** In the aftermath of the Qin collapse, various forces contended for power. We will take up that story in the next lecture.

Burton Watson, trans., Mo Tzu: Basic Writings.

, trans., Han Fei Tzu: Basic Writings.

Supplemental Reading:

Sima Qian, The Records of the Grand Historian: Qin Dynasty.

- 1. The Qin state grew and flourished for several centuries; why did it finally collapse so suddenly?
- 2. What was the basis for public morality under the ideas of Legalism?

Lecture Seven

The Early Han Dynasty

Scope: The Qin dynasty was overthrown in 207 B.C.E. After a civil war, a new dynasty, named the Han, was founded by Liu Bang, a low-ranking official who rose to power through personal genius and extreme good fortune. The dynasty he founded lasted more than 400 years, and its name became one of the standard terms used to refer to the Chinese people. This lecture covers the establishment of the dynasty and its development through the reign of the emperor Wudi from 141–87 B.C.E. During this period, the structure of the imperial state was solidified, and the ideological framework of official Confucianism was constructed from the blending of Confucian, Daoist, and Legalist elements. Cosmological thought also went through a period of renewed development in the work of Dong Zhongshu.

- The fall of the Qin dynasty in 207 B.C.E. was followed by five years of civil war.
 - A. Two main contenders emerged in the struggle for power.
 - 1. Xiang Yu was a former general from the fallen state of Chu, the last of the warring states to be eliminated by Qin.
 - 2. Liu Bang was a minor local official who formed a rebel band after failing to fulfill his mission to transport prisoners to a Qin jail.
 - **B.** Both men joined the movement to overthrow the Qin but then fell into conflict over who should lead a new dynasty.
 - C. Xiang Yu nearly destroyed Liu Bang's forces in 204 B.C.E., but Liu regrouped and, in 202 B.C.E., succeeded in defeating Xiang Yu.
- II. Liu Bang founded a new dynasty, which he called the Han after the name of his native district.
 - A. Liu Bang established his capital near the present-day city of Xian.
 - 1. New palaces were built in the ruins of the former Qin city.
 - 2. The location of the capital reflected Liu's power base in the northwest.
 - **B.** Liu then set about creating a new system of government throughout the empire.
 - 1. The empire was divided into two major areas.
 - 2. The western half was ruled directly by Liu through a system of local administration, with officials appointed by the emperor.

- 3. In the eastern part of the country, power was held by military strongmen who had been followers of Liu Bang and were granted, basically, feudal power by him.
- 4. Over time, the descendants of these local strongmen began to manifest separatist behavior, threatening the coherence of the Han order, just as local power had fragmented under the Zhou.
- C. A series of challenges faced the Han in the first half of the 2nd century B.C.E.
 - 1. In the 180s B.C.E., the family of the empress, named Lu, gained great power at court and almost usurped the throne before being suppressed in 180.
 - 2. Between 180 and 141 B.C.E., the emperors Wendi and Jingdi moved to curtail the power of the eastern strongmen.
 - 3. In 154 B.C.E., there was a revolt by local power holders in the east, which was put down by the imperial army.
 - **4.** The eastern provinces were then incorporated into the regular imperial administration, with officials appointed by the emperor.

III. In 141 B.C.E., a new emperor, Wudi, came to the throne.

- A. Wudi ruled until 87 B.C.E.
 - 1. He oversaw what is sometimes called the Han Synthesis.
 - 2. This was a weaving together of elements of Confucian, Daoist, and Legalist thought into a new Imperial Confucian ideology, which became the orthodox doctrine of the Chinese state.
 - 3. Legalism was seen as an effective administrative system, but its harshness under the Oin had led to their downfall.
 - 4. Confucianism provided a sense of moral guidance and restraint on the ruler, who could be overthrown based on Mencius's interpretation of the Mandate of Heaven.
 - 5. Daoism and other cosmological doctrines provided a larger framework for understanding the nature of the world in which men lived.
 - 6. The philosopher Dong Zhongshu developed a theory of "correlative cosmology" to explain how natural phenomena were omens of political change.
- B. Wudi also developed a strong administrative machinery.
 - 1. He pursued military campaigns to expand China's territory, adding parts of Korea and Vietnam and pushing Chinese power into Central Asia.
 - 2. He set up government monopolies in certain critical commodities, such as salt, alcohol, and iron.

- **3.** He also promoted the recruitment of a highly educated administrative elite, a new version of the *shi*.
- IV. After Wudi's death in 87 B.C.E., the Han entered a period of stagnation.
 - A. A great debate was held about Wudi's economic policies.
- 1. Known as the "Debate on Salt and Iron," it pitted the advocates of a strong central state against those favoring more autonomy for local elites.
 - 2. In the end, later emperors abandoned many of Wudi's more assertive policies.
 - B. A succession of lesser emperors presided over the Han until 9 C.E.
 - The court became more concerned with extravagant social life than with administration.
 - 2. Powerful families sought to manipulate the throne through marriage alliances.
 - 3. Revenues declined, and military affairs were neglected.
 - **4.** Finally, in 7 C.E., the main line of inheritance failed, as the emperor Zhengdi died without an heir.
 - C. From 9–23 C.E., Wang Mang usurped the throne and declared his own dynasty.
 - 1. This short-lived regime attempted to reform the empire but fell after Wang died.
 - 2. The Liu family regained power and launched the Later Han, which we will examine in the next lecture.

Denis Twitchett and Michael Loewe, eds., *The Cambridge History of China*, Volume I: *The Ch'in and Han Empires*, 103–221.

Supplemental Reading:

William Theodore deBary and Irene Bloom, eds., *Sources of Chinese Tradition*, Volume I, 360–362.

Aihe Wang, Cosmology and Political Culture in Early China.

- 1. Why did the Han retain Qin institutions while repudiating the ideas of Legalism?
- **2.** Why would some elements in the Han political elite be opposed to Wudi's activist style of government?

Lecture Eight

Later Han and the Three Kingdoms

Scope: After a brief disruption of dynastic succession by the usurper Wang Mang from 9–23 C.E., the Later, or Eastern, Han dynasty continued to rule China. By the end of the 2nd century of the common era, however, internal problems combining institutional weaknesses, changes in the social and economic order, and turmoil in religious and spiritual life led to the collapse of the Han government. The empire was divided into three large states, and one of the more romantic periods in Chinese history, known as the Three Kingdoms, followed, from 220–265 C.E. This was a period of great military leaders and clever strategists and has provided stories and heroes for Chinese literature ever since. We will consider some of these figures and how they have been portrayed in poetry and drama.

- The restored Han dynasty ruled China from 23–220 C.E.
 - **A.** The Han dynasty as a whole was a period of transition and development in Chinese society and economic life.
 - 1. We have already discussed the creation of an imperial ideology through the synthesis of Confucianism, Legalism, and Daoism.
 - 2. Changes in the system of land ownership also took place.
 - **B.** The Liu family regained the throne and reestablished control of the empire after Wang Mang's death.
 - 1. For the next century and a half, the empire was stable, and both the economy and the population expanded.
 - 2. Continuing trends that had begun during the Early Han, the social and political elite became increasingly based in the ownership of land, and the military nature of the pre-Han ruling classes faded away.
 - Cultural sophistication and literary skill were seen as markers of elite status and as qualifications for service in government.
 - C. Within the imperial system, however, rival groups sought to increase their power and wealth.
 - 1. Great landed families intermarried with the Liu house and tried to manipulate the imperial succession.
 - 2. Military leaders used their power to intimidate weaker emperors.

- 3. Eunuchs, in theory merely menial servants in the imperial household, built up great power through their control of the inner chambers where emperors lived.
- II. By late in the 2nd century, the dynasty began to face serious problems.
 - **A.** The power of landed families had led to greater exploitation of the mass of ordinary farmers.
 - 1. As peasants were impoverished, they turned to mystical cults to seek comfort.
 - 2. Some of these became focal points for rebellions against the power of the wealthy landowners.
 - **B.** The military suppression of these rebellions gave new power to the generals.
 - 1. Military strongmen assumed control of large parts of the empire.
 - 2. The power of the eunuchs was destroyed by the military, but in the process, the dynasty was further weakened.
 - 3. By the early 3rd century, Han power was largely a hollow shell.
- III. The Han collapsed in the early years of the 3rd century, ushering in a period of division known as the Three Kingdoms, from 220–265 C.E.
 - **A.** Regional strongmen sought to protect their own power and fought amongst themselves.
 - Generals, such as Cao Cao, the adopted son of a eunuch, carved out domains under their personal control while still technically honoring the Han emperor.
 - 2. In the southwest, a collateral line of the Liu family seized power.
 - B. In 220, the last Han emperor was deposed and the empire split apart.
 - 1. Cao Cao's son, Cao Pei, founded the kingdom of Wei.
 - 2. Liu Bei, from a minor branch of the imperial family, set up the kingdom of Shu Han in what is now Sichuan.
 - **3.** Another general, Sun Wu, formed the state of Wu in southeast China.
- IV. The Three Kingdoms period was a time of romance and adventure.
 - **A.** The rivalry between the kingdoms and their rulers led to constant warfare.
 - 1. Strategy and clever intrigues were characteristic of this period.
 - 2. Great generals, such as Zhuge Liang, were known for outwitting their enemies, rather than for mere brute force.
 - 3. The exploits of these kings and generals became the stuff of legend and provided the plots and characters for plays, poems, and stories throughout later history.

- **4.** In one story, Zhuge Liang tricks his enemies into re-supplying him with arrows by fooling them into firing on boats manned by straw dummies.
- 5. In another instance, Zhuge Liang, without his main army, deceives his attackers by playing chess on the city wall while leaving the gates of the city open and undefended.
- **B.** Eventually, a coup overthrew the Cao family in the kingdom of Wei, and a new leader briefly reunified the empire.
 - 1. The Sima family seized power in 265 and held the empire together until 304.
 - 2. Invasions of non-Chinese peoples from the northwest led to a new age of disorder and division, which we will discuss in Lecture Ten.
 - First, however, we will pause to examine the arrival of Buddhism in China during the later Han and the impact it had on China's culture.

Moss Roberts, trans., Three Kingdoms: A Historical Novel.

Supplemental Reading:

Howard L. Goodman, Ts'ao P'i Transcendent.

- 1. Why did emperors allow eunuchs or royal in-laws to gain so much power at court?
- 2. Why is there such an emphasis on the use of clever stratagems in the history of the Three Kingdoms period?

Lecture Nine

Buddhism

Scope: While the Han dynasty was sliding toward collapse, a new religion was making its presence felt in China. Buddhism came from India around the 1st century C.E. At first largely a matter of novelty and court patronage, Buddhism's message of transcendence became increasingly popular as life became more difficult for large numbers of people with the decline of the Han. In this lecture, we will explore the basic concepts of Buddhism, its origins in India, and later transmission to China.

- I. Buddhism originated in India around the end of the 6th century B.C.E.
 - A. This period is sometimes known as the Axial Age.
 - 1. Around this same time, major philosophical figures lived in several parts of the world.
 - 2. It was the age of Confucius and Laozi in China.
 - 3. This was the age of the great Greek philosophers, including Socrates, Plato, and Aristotle.
 - 4. In India, this was the period when the Buddha developed his ideas.
 - **B.** The founder of Buddhism is known by several names.
 - 1. He was a prince in one of the many royal families living in what is now northern India and southern Nepal.
 - 2. His given name was Siddhartha, and he was also called Gautama.
 - 3. He is sometimes known as Sakyamuni, which means "the light of the Sakya family."
 - **C.** Siddhartha was raised in relative luxury but turned to a life of spiritual questing.
 - 1. Many stories recount his initial awakening.
 - 2. In one, he overhears the wailing of a funeral procession and learns about death and suffering in this way.
 - 3. In another, as a young prince, he is given a beautiful princess bride, but when he sees her drooling in her sleep, he realizes there is imperfection in the world.
 - 4. He left his family home and went into the world to seek answers to his spiritual questions.
 - D. The Buddha attained enlightenment and embarked on a path of teaching.

- 1. He studied with hermits and other spiritual masters, but none of them satisfied his mind.
- 2. One day when he was at a park near modern Varanasi, he sat under a Bodhi tree and had a sudden enlightenment.
- 3. He then set out to share the insights he had achieved and developed a corps of devotees who traveled with him.
- 4. After a number of years, he announced that it was time for him to leave this material world.
- 5. In some accounts, he ascended bodily into the heavens, while in others, he shed his physical body and attained pure spiritual liberation.
 - 6. After his departure from this world, his followers became his interpreters, giving rise to various schools of Buddhism.
- II. The teachings of the Buddha are fairly simple and straightforward.
 - **A.** The key to his enlightenment is the realization of the nature of suffering.
 - 1. Suffering is part of the normal life of people.
 - 2. Suffering arises from our attachment to things.
 - 3. If we wish to be free of suffering, we must liberate ourselves from our attachments.
 - 4. There is a way to do this through meditation and renunciation.
 - 5. These are the Four Noble Truths.
 - **B.** Buddhism denies the permanence of phenomena.
 - 1. All things arise and pass away; everything has a beginning and an end.
 - 2. The appearance of permanence in things is an illusion, sometimes called *maya*.
 - **3.** This does not mean, as is sometimes said, that nothing is real, merely that no reality is permanent.
 - **4.** Because all things pass away, attachment to them can yield only suffering.
 - **5.** Therefore, the way to free oneself from suffering is to realize and accept the impermanence of all things, including oneself.
- III. Buddhism developed in India over the next several centuries.
 - **A.** Two major schools of Buddhism took form.
 - 1. The first was Theravada, which was concerned with individual liberation.
 - 2. Theravada emphasized meditation and withdrawal from the world.
 - 3. Communities of Theravada monks formed the first monasteries.

- 4. The second school, which developed around the 3rd century B.C.E., is called Mahayana, which means "Great Vehicle."
- 5. It is concerned not only with individual salvation but with the spiritual liberation of all sentient beings.
- 6. The Boddhisatva, an enlightened spiritual being who chooses to remain in the phenomenal world to aid others, was the ideal of the Mahayana path.
- B. Buddhism spread across northern India and to parts of Southeast Asia.
 - 1. The Indian king Asoka became a patron of Buddhism, staging great debates among masters from different religions.
 - 2. Theravada Buddhism took root in Sri Lanka and in what is now Burma and Thailand and moved to the Indonesian archipelago.
 - Mahayana Buddhism spread to the northwest and, eventually, to Central Asia and China.
- IV. Around the beginning of the Common Era, Buddhism first appeared in China.
 - A. Buddhist monks traveled along overland routes from northwest India to Central Asia. The trade routes of the Silk Road provided the main avenues for these sojourners.
 - **B.** Sometime in the 1st century C.E., the first monastery was set up in China, near the Later Han capital at Luoyang.
 - 1. Han emperors wished to appear as patrons of all spiritual paths.
 - 2. Buddhist monks became teachers at the imperial court, though without the same high status as Confucian scholars.
 - C. As the Han dynasty faltered and life became more difficult, many ordinary people began to embrace Buddhism.
 - 1. The Buddhist emphasis on suffering and the impermanence of things offered hope in times of trouble.
 - 2. Buddhism moved beyond the realm of elite patronage and became a more popular religion.
 - 3. At the same time, Buddhism was becoming the common religion of non-Chinese peoples living in Central Asia.
 - 4. At the beginning of the 4th century, these peoples began to move in to China in large numbers, launching a period of instability and cultural change, which we will turn to in the next lecture.

Arthur F. Wright, Buddhism in Chinese History.

Supplemental Reading:

Liu Xinru, Ancient India and Ancient China.

- 1. How did Buddhism differ fundamentally from the traditional indigenous thought systems of China?
- 2. Coming from India, what obstacles might Buddhism have faced in finding a place in Chinese culture?

Lecture Ten

Northern and Southern Dynasties

Scope: At the beginning of the 4th century C.E., great migrations were triggered in Central Asia by forces not yet fully understood. In China, this resulted in the influx of several waves of proto-Turkic invaders, who overran large tracts of northwest and northern China in the course of the next century and a half. They brought with them a more militant form of Buddhism and established conquest states in the very heartland of China's ancient culture. Over time, they intermarried with local Chinese and were culturally transformed by interaction with China, while also reshaping Chinese society in the north. Meanwhile south of the Yangzi River valley, a series of dynasties ruled over the remnants of the Han and Three Kingdoms states, preserving a "purer" form of Chinese culture in the face of the "barbarian" invasions of the north and the streams of refugees fleeing south.

- I. Around the beginning of the 4th century C.E., something triggered major population shifts in Central Asia.
 - **A.** It is not clear what caused these movements, but their effects were felt from East Asia to Europe.
 - At the western end of the Eurasian landmass, these movements led to the so-called barbarian invasions that resulted in the fall of Rome.
 - 2. In China, proto-Turkic-speaking peoples moved into northwestern China, displacing earlier non-Chinese peoples, such as the Xiongnu, who in turn, moved in a large arc westward across Siberia and into Eastern Europe, to enter Western history as the Huns.
 - **B.** The new arrivals in China overran much of the old heartland of Chinese civilization in what is now Shanxi, Shaanxi, and Henan provinces.
 - C. They established themselves as overlords and set up new states with themselves as the ruling elite and the Chinese farmers as their subjects.
- II. The Northern Dynasties were strongly Buddhist and developed a distinct culture blending Chinese and Central Asian elements.
 - **A.** Over the next three centuries, China was basically divided between areas north of the Yangzi River and those south of it, with non-Chinese dynasties in the north and Chinese dynasties ruling in the south.

- 1. The main state in the north was the Wei dynasty, founded by the Toba Turks.
 - 2. The Wei first had its capital near the modern city of Datong in northern Shanxi.
 - 3. At the end of the 5th century, the Wei capital moved south to the old Han city of Luoyang, near the Yellow River in Henan.
 - 4. Near each of these cities, the Wei built large cave-temple complexes, with massive Buddhist sculptures, to display their power and demonstrate their patronage to Buddhism.
 - **B.** As time went by, the Turkic-speaking elite began to intermarry with the Chinese population, and a process of cultural convergence took place.
 - 1. The leading Chinese families were eager to marry into the conquering elite to protect their interests and secure their land holdings.
 - 2. The process of intermarriage led to the growth of a population of blended ancestry, which came to provide a large proportion of military and civil officials.
 - **3.** As these blended families became more important in the northern regimes, cultural differences between the invaders and the Chinese began to diminish.
 - **4.** Turkic groups began to speak Chinese, which was used in government documents, and even adopted Chinese names for themselves.
 - Chinese elite families adopted some Turkic cultural practices, as well.
 - 6. By the 6th century, the northern states came to resemble classic Chinese dynasties in many ways, but with a Sino-Turkic elite as rulers.
- III. In the south meanwhile, a series of smaller dynasties sought to maintain a "pure" Chinese culture.
 - A. Many of these dynasties were based in Nanjing.
 - 1. Southern states had to absorb many refugees from the north, often from the northern elite, who brought their households with them.
 - **2.** The threat from non-Chinese invaders and the presence of refugee outsiders led to a sense of cultural insecurity in the south.
 - 3. As a result, southern culture sought to be "pure" and to show off its superiority to the "barbarian" influences in the north.
 - **4.** This led to a great age in prose writing and the development of calligraphy as an art form.
 - **5.** Wang Xizhi became the first great calligrapher, and his style became a model for later eras.

- 6. Around the same time, Gu Kaizhi became the first painter in Chinese history whose name as an artist has come down to us.
- **B.** Southern Dynasties also patronized Buddhism and adapted it to Chinese usage.
 - 1. Monasteries grew in many cities across the south.
 - 2. Many Buddhist texts were translated into Chinese.
 - 3. New schools of Buddhism, adapting the teachings to Chinese culture, began to develop, such as Tiantai and Chan, later known as Zen in Japan.
- **C.** Throughout the period of division, the dream of a unified empire remained alive.
 - 1. The fragmentation of China after the Han roughly paralleled the collapse of Rome.
 - 2. Later states preserved the cultural and political ideals of the Han era, and the goal of reunification was quite persistent, if elusive.
 - 3. By the later 6th century, however, conditions developed that set the stage for a new period of imperial unity.
 - 4. Population movements ceased in the north, and a process of cultural convergence had diminished the distance between northern and southern regimes.
 - **5.** The shared presence of Buddhism also contributed to the potential for reunification.
 - **6.** By the 580s, a new strongman in the north began to restore imperial unity; we will follow that story in the next lecture.

Essential Reading:

Scott Pearce, Audrey Shapiro, and Patricia Ebrey, eds., *Culture and Power in the Reconstitution of the Chinese Realm*, 200–600.

Supplemental Reading:

Albert Dien, ed., State and Society in Early Medieval China.

Questions to Consider:

- 1. Why was the image of a unified empire so enduring?
- 2. Why would elite Chinese families in the north have wished to intermarry with the "barbarian" invaders?

Lecture Eleven

Sui Reunification and the Rise of the Tang

Scope: By the late 6th century, the Turkic peoples who had moved into China from Central Asia had adopted many Chinese customs, including Chinese names, and had adapted their political systems to Chinese bureaucratic models. In the 580s, a general of mixed ancestry named Yang Jian overthrew his local ruler, and began to build a new dynastic state, which soon reunified China both north and south of the Yangzi. Known as the Sui dynasty, this state lasted through the rule of only two emperors, but it laid the foundations for a return to large imperial states, which remained the norm for the rest of China's imperial history. This contrasts starkly with the history of the post-Roman West, where Charlemagne's efforts to reunify a large empire ultimately ended in failure. In 618, the Sui fell and was succeeded by the Tang, which became one of China's greatest dynasties and lasted until the beginning of the 10th century.

Outline

- In 581, a general named Yang Jian seized power in one of the Northern Dynasties.
 - A. Yang was from one of the prominent Sino-Turkic families of the northwest.
 - 1. His family had intermarried with the Chinese and with other mixed clans, including the Dugu or the Yuwen, who ruled various minor dynasties.
 - Yang led his army in rebellion and overthrew the emperor of the Northern Zhou state.
 - 3. He proclaimed a new dynasty, which he called the Sui.
 - B. Yang set about reunifying China through a combination of military and civil methods.
 - 1. He conquered other states in the north to build his power base.
 - 2. He sent his son, Yang Guang, to be viceroy in the important city of Yangzhou, in the region known as Jiangnan, near the mouth of the Yangzi River.
 - **3.** He used patronage of Buddhism to build links to prominent families in the Southern Dynasties.
 - **4.** He had Yang Guang marry a princess from one of the Southern royal houses.
 - 5. By 589, Yang Jian had succeeded in bringing all of China proper under his rule.

- II. The Sui built a strongly integrated state but did not become a long-lasting dynasty.
 - **A.** Yang Jian undertook four main initiatives in developing his new dynastic order.
 - 1. He promulgated a new legal code, in 500 articles, providing a coherent body of law and administration throughout the empire.
 - 2. He adopted the so-called "well-field" system of land tenure, in which land was apportioned by the state every few years to prevent the accumulation of great estates in the hands of powerful families that might challenge imperial power.
 - **3.** There were enough exemptions and loopholes, however, to protect the existing landed elite.
 - 4. Yang Jian also established a system of agricultural colonies on the Inner Asian frontier to handle military defense on a self-sustaining basis.
 - 5. He established a system of public granaries to store grain during periods of plenty, which could then be released into the market at times of scarcity both to prevent famine and to keep prices under control.
 - B. Yang Jian was succeeded by his son, Yang Guang.
 - 1. Yang Guang continued his father's efforts to build a strong state.
 - 2. He launched military campaigns against Korea and in the northwest, to push new non-Chinese groups, such as the Uighurs, away from the border.
 - 3. He undertook the construction of the Grand Canal to move grain from the prosperous southeast to the less wealthy northwest, where the capital remained.
 - 4. The combination of military campaigning and major construction projects led to unrest among the population, which was subjected to both heavy taxes and labor conscription.
- III. In 617, a new dynasty arose that proved to be one of China's greatest, the Tang.
 - A. The Tang was founded by Li Yuan and his son, Li Shimin.
 - Rumors and mystical prophecies that someone named Li would take over the throne had led to the purging of several men by that name.
 - 2. Li Yuan was commandant of a garrison at Taiyuan.
 - 3. His son, Li Shimin, convinced him that it was best to rebel and seize power rather than wait to be destroyed by the Sui ruler.
 - 4. In 617, Li Yuan and his son led their army south, defeated the Sui, and proclaimed a new dynasty.

- **B.** The Tang dynasty consolidated its position over the next 10 years.
 - 1. Between 617 and 621, Li Yuan and his son defeated several other groups that were also trying to seize dynastic power.
 - 2. The Shaolin Monastery provided special fighting monks to serve as a bodyguard for Li Shimin, and they became famous for their prowess in martial arts.
 - **3.** In 626, Li Yuan abdicated the throne and his son, Li Shimin, became emperor.
 - 4. With Li Shimin's ascendance, the Tang was firmly in place.
 - 5. We will follow the history of this great age in the next two lectures.

Essential Reading:

Arthur F. Wright, The Sui Dynasty.

Supplemental Reading:

Victor Cunrui Xiong, Sui-Tang Chang'an.

Questions to Consider:

- Yang Jian used a combination of military force and diplomacy to reunite the empire. Why was he able to achieve this when none of his predecessors had?
- 2. Why did the Shaolin monks rally to the cause of Li Shimin, and how could Buddhist monks justify involvement in politics and warfare?

Lecture Twelve

The Early Tang Dynasty

Scope: Tang rule was established by the father-and-son team of Li Yuan and Li Shimin. The early Tang also saw the only period in Chinese history when the imperial throne was occupied by a woman ruling in her own name. Wu Zetian deposed her nephew in 690 and ruled as empress until 705. She has remained a controversial figure in later Chinese historical writing, largely because it has almost all been written by men. In the first half of the 8th century, Emperor Xuanzong presided over a long period of economic growth and cultural flourishing. But at mid-century, the dynasty was nearly brought to an end by a great rebellion, led by a general named An Lushan and sparked, in part, by rumors of An's illicit relationship with the emperor's favorite concubine, Yang Guifei.

Outline

- I. The Tang dynasty consolidated its rule and expanded its territory through the $7^{\rm th}$ century.
 - **A.** After taking over from his father in 626, Li Shimin held the throne until 649.
 - 1. Li Shimin proved to be an energetic and competent ruler.
 - 2. He regularized the administrative system of six ministries that the Sui had initiated and set up a separate bureaucracy to administer the imperial household.
 - 3. He pursued a series of successful military campaigns that added or regained territory in Korea and Vietnam and extended Tang power far into Central Asia along the Silk Road.
 - 4. His capital, called Chang'an and located at the modern site of Xian, had a population of two million people and was the largest city in the world.
 - **B.** As the Tang stabilized, economic and demographic growth was quick.
 - International trade brought many exotic goods to the capital markets.
 - 2. Peace and security in the empire led to increasing agricultural production.
 - 3. The population expanded both through new territorial acquisitions and through natural growth.
 - 4. The social order, which had evolved in an aristocratic direction during the Northern and Southern Dynasties, was codified and regulated by the imperial government, using official registers to maintain the genealogical records of the great families.

- **5.** These great families dominated court politics and provided the men who filled government offices.
- II. In 690, the dowager empress Wu Zetian took the throne.
 - A. No woman had ever ruled in her own right.
 - 1. Some empresses and their families had been quite powerful behind the scenes.
 - 2. Wu Zetian proclaimed her own dynasty, called the Zhou, but this has not been recognized in later official histories.
 - **B.** Although Confucian scholars have seen her as evil, Wu Zetian seems to have been a reasonably good ruler.
 - 1. Her 15 years on the throne were peaceful and prosperous for the country.
 - 2. She consciously worked to undermine the dominance of the great families from the northwest and, in the process, opened the government to fresh talent by recruiting men from other parts of the country.
- 3. She was a patron of Buddhism and seems to have allowed certain monks to strongly influence her decisions.
 - **4.** After she abdicated in 705, male Confucian historians have almost unanimously denounced her, not so much on the basis of what she actually did as on the grounds that it was simply not proper for a woman to rule.
- III. The restored Tang dynasty entered its greatest age in the first half of the 8th century.
 - **A.** The emperor Xuanzong, who reigned from 713–756, presided over an age of prosperity and cultural dynamism.
 - 1. The economy continued to flourish, and international trade grew even more extensive.
 - 2. Chang'an became an entrepôt for merchants and travelers from the Mediterranean, the Indian Ocean, Southeast Asia, and the Inner Asian steppes.
 - 3. Buddhist monasteries became centers of art and philosophy and grew in wealth and influence.
 - **B.** These years were also a great age for Chinese poetry.
 - 1. Some of the greatest poets in Chinese history lived and wrote at this time.
 - 2. Li Bo, Du Fu, and Meng Haoran were only three of the many poets who served at court or in the Tang government.

- C. As the years passed, however, Xuanzong withdrew from daily oversight of the government and became more involved with mystical religion and with his favorite concubine, Yang Guifei.
 - 1. In addition to his patronage of Buddhism, Xuanzong was fascinated with mystical Daoism and the quest for immortality.
 - 2. As he withdrew into the Inner Palace, he delegated more and more daily power to various officials, who competed among themselves for imperial favor.
 - 3. The emperor had many women in his household, but he became especially devoted to Yang Guifei, literally, "Yang the Precious Concubine."
 - 4. Yang shared the emperor's daily life in the palace and seems to have influenced him in state affairs, as well.
- **IV.** At the century's midpoint, a great rebellion threatened to bring the dynasty down.
 - A. The man who led the rebellion was An Lushan.
 - 1. An Lushan was a Uighur, from Central Asia.
 - 2. The Tang had adopted a policy of employing non-Chinese military leaders for border defense.
 - 3. An Lushan led the garrison at what is now Beijing.
 - 4. He was a favorite of the emperor, but his enemies at court whispered that he was having illicit relations with Yang Guifei.
 - 5. When the emperor ordered him to come to the capital, An Lushan brought his army with him, and this move was seen as rebellion.
 - B. The An Lushan rebellion lasted from 755 to 763.
- 1. The rebels drove the emperor from the capital; he fled to Sichuan.
 - 2. In 756, Xuanzong abdicated in favor of his son.
 - 3. An Lushan died during the rebellion, and his son took over leadership.
 - 4. Eventually, the Tang dynasty was able to overcome the rebels but at the cost of giving away much of its power to military strongmen in the south and southeast.
 - **5.** The dynasty never fully recovered, but it did survive for another century and a half, which we will turn to in the next lecture.

Essential Reading:

Arthur F. Wright and Denis Twitchett, eds., Perspectives on the T'ang.

Supplemental Reading:

Sally Hovey Wriggins, Xuanzang: A Buddhist Pilgrim on the Silk Road.

Questions to Consider:

- 1. Why were traditional historians so hostile to the reign of Wu Zetian? Is there anything inherent in Confucian ideas that would bias them against her?
- 2. The Tang dynasty has been seen by later Chinese as one of the most glorious periods in their history. It was also, perhaps, the most cosmopolitan period in China before the modern age. How might this perception of the past be a factor in China's self-image today?

Timeline Timeline

c. 500,000 B.C.E	Peking Man hominid fossils
c. 10,000 B.C.E	Domestication of rice in Jiangxi
c. 4600 B.C.E	Neolithic village cultures in northern China
c. 2100 B.C.E	Xia "dynasty" in Yellow River valley
	Shang state on North China Plain
1045 B.C.E	Zhou Conquest
722–481 B.C.E	Spring and Autumn period
	Warring States period
207 B.C.E.	Fall of Qin dynasty
202 B.C.E.–220 C.E.	Han dynasty
141–87 B.C.E.	
81 B.C.E.	Debate on Salt and Iron
9–23 C.E	Usurpation of Wang Mang
c. 100 C.E	First Buddhist temple in China
182 C.E	
220–280	Three Kingdoms period
c. 310	Turkic migrations into northern China begin
581–618	Sui dynasty
618–906	Tang dynasty
	Reign of Empress Wu Zetian
713–756	
755–763	An Lushan rebellion
768–824	Han Yu
	Official suppression of Buddhism
907–960guino	Five Dynasties period
907–1125	Liao dynasty of the Khitan people
960–1127	Northern Song dynasty
1126–1234	Jin dynasty of the Jurchen people
	905Conflecten ex

1130-1200	1127–1279	Southern Song dynasty
Name		
1260–1368 Mongol Yuan dynasty 1272–1290 Marco Polo in China 1313 Mongols restore Confucian examinations 1340s Great plague in Yangzi River valley 1368–1644 Ming dynasty 1402 Zhu Di usurps the throne 1405–1435 Ming voyages of exploration 1572–1620 Reign of Wanli emperor c. 1580 "Single Whip" tax reforms 1626 Nurhaci inaugurates Manchu language use 1636 Qing dynasty proclaimed by Manchus 1644 Fall of Ming dynasty and Manchu invasion 1661–1722 Reign of Kangxi 1673–1681 Rebellion of the Wu Sangui 1712 Kangxi's tax edict 1723–1735 Reign of Yongzheng 1736–1795 Reign of Qianlong 1793 British trade mission to China 1813 Secret society rebellion against Qing 1839–1842 Opium War 1850–1864 Taiping Rebellion 1864–1895 Self-Strengthening Movement 1894–1895 Sino-Japanese War 1899–1900 Boxer		Mongol <i>quriltai</i> elects Temujin as Great Khan
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1894–1895 Sino-Japanese War 1898 100 Days Reforms 1899–1900 Boxer Rebellion		
1898	1894–1895	Sino-Japanese War
		100 Days Reforms
1905		Boxer Rebellion
	1905	Confucian examinations abolished

October 11, 1911	
February 12, 1912	Abdication of last emperor
February 15, 1912	Yuan Shikai becomes president
1916	Yuan Shikai tries to become emperor
May 4, 1919	Student demonstration in Beijing
July 1921	Founding of Chinese Communist Party
1922–1927	First United Front of Communists and Nationalists
1926	Northern Expedition of Chiang Kaishek
April 1927	Split between CCP and GMD
1929–1934	Jiangxi period of Chinese Communists
September 18, 1931	Japanese invade Manchuria
October 1934–October 1935	Long March
December 1936	Xian incident: Chiang "arrested"
1937–1945	
1945	End of war with Japan
	Civil war between Communists and Nationalists
1948	Nationalists massacre Taiwanese
1949	
October 1, 1949	Mao proclaims People's Republic of China
1949–1952	Land reform
1950	
1958–1959	Great Leap Forward
indistinguish of grain findry plansif	Lushan Plenum: Peng Dehuai purged, Mao retreats from daily leadership
1962	Socialist Education Movement
1966–1969	Great Proletarian Cultural Revolution
1976	Death of Mao Zedong

1978–1994	Leadership of Deng Xiaoping
1989	Tiananmen student movement, suppressed June 4
1999	China and the United States agree on WTG
	membership
	zwilmośteń Gresz płagus in Yangzi River valley
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	nober 1934–(Scrober 1935Long March
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Glossary

Boxers: Mystical peasant movement originating in Shandong province in the late 1890s. Members believed that they were immune to Western weapons because of special chants and talismans. Opposed to Christian missionaries and the power of the Western nations over China.

Cohong system: System developed in the 18th century to regulate and control trade with Western merchants. Trade was restricted to the port of Canton (Guangzhou) in the far south. Western traders had to work with Chinese brokers and could not trade directly with Chinese merchants.

Confucianism: Based on the teaching of Confucius and Mencius, this became the official ideology of the imperial state from the Han dynasty on. Confucian doctrine emphasized social relationships, ritual, and learning.

Dao: Literally, a path or road and, by extension, "the Way." The ideal of a well-ordered society, whether by human design or by natural pattern. Also used in Buddhism to signify the spiritual path.

Daoism: The philosophy based on the teachings of Laozi and Zhuangzi, emphasizing skeptical views about knowledge and action and promoting harmony with natural order. Later became a more religious movement with a strong mystical dimension focused on the quest for immortality.

Daoxue: Literally, the "Learning of the Way." The metaphysical interpretation of Confucianism that developed during the Song dynasty and was given its mature form by Zhu Xi.

Dynasty: A period of time during which a single family controlled the throne and the succession of rulership.

Gang of Four: Radical followers of Mao Zedong in the 1970s who pushed an anti-bureaucratic vision for the Chinese Communist Party. Led by Mao's wife, Jiang Qing, it also included Yao Wenyuan, Zhang Chunqiao, and Wang Hongwen.

Great Leap Forward: Mass mobilization campaign in 1958–1959 aiming to dramatically increase China's agricultural and industrial output. The People's Communes were the main organizational form, in which tens of thousands of farming households were joined into single accounting and decision-making units. The Great Leap collapsed when misreporting of harvests led to overconsumption of grain; faulty planning and bad weather also greatly reduced yields and led to widespread food shortages.

Guwen: Literally, "old-style writing." A literary reform movement in the later Tang dynasty, largely led by Han Yu (768–824). It was part of a revival of Confucian values and a critical reevaluation of the place of Buddhism in China.

Land reform: The seizure and redistribution of land between 1948 and 1952 designed to eliminate the old system of land tenure, in which a small elite held much of the land while many farming families had none at all. Land was distributed to all peasants, male and female. These actions combined to break the power of the landlord class over rural society and created the basis for expanding agricultural production.

Legalism: A philosophical system closely associated with the state of Qin during the Warring States period. Legalism was based on a system of rewards and punishments. Laws and regulations were established by the state, and anyone who violated them, whether high official or lowly peasant, would be punished equally.

Li ("pattern/principle"): A fundamental concept in Neo-Confucian thought. By observing natural patterns, one can discern the underlying principles of the operation of the universe. Good or proper actions are those that are in harmony with natural patterns, while evil consists in transgressing or violating them.

Li ("ritual"): Ritual is the system of gestures and roles that structures and facilitates social interactions. It can be as simple as bowing or shaking hands when meeting someone or as elaborate as an imperial sacrifice or the recognition of successful examination candidates, involving thousands of participants in complex performances.

Literati: The educated elite, from which came the officials who staffed the imperial bureaucracy. Membership in the literati was based on educational accomplishment, but because this required certain economic resources to achieve, the literati tended to be an economic elite, as well.

Long March: The epic journey of the Chinese Communist Party and the Red Army from Jiangxi in the southeast to Shaanxi in the northwest between October 1934 and October 1935. Of the 115,000 people who set out, only about 15,000 survived the journey. They were regarded as heroes of the revolution ever after.

Mandate of Heaven: The central concept of legitimacy in the traditional political culture. Heaven, which is something like an organic operating system, bestows the Mandate on a particular individual and his descendants, as long as they rule in the general interests of society. If the rulers become cruel and abusive, Heaven will withdraw the Mandate, the dynasty will be overthrown, and a new dynasty will be established by whoever receives the Mandate.

May 4th Movement: Student demonstrations in Beijing in 1919 to protest the perceived betrayal of China by the Versailles Peace Conference after World War I, which allowed Japan to keep the former German territorial concessions in Shandong. The movement spread to anti-Japanese boycotts and strikes across China and helped galvanize a new age of revolutionary activity.

Moism: The teachings of the Warring States thinker Mozi. Mozi emphasized a doctrine of "universal love," in contrast to what he saw as the family-centered

teachings of Confucius. Mozi also sought to render the aggressive warfare of the Warring States period unprofitable by developing and sharing techniques of defense.

Neo-Confucianism: The English term generally used for the ideas of *Daoxue*. In English, the emphasis is on the new and innovative aspects of *Daoxue*, while the Chinese have seen it as a more retrospective doctrine, in line with traditional Confucian concepts of reverence for the past.

New Culture Movement: Cultural movement of the 1910s and 1920s that rejected the "dead weight" of traditional culture, especially Confucianism and the imperial state. Its members promoted the use of vernacular language in writing and began the process of simplifying the writing of Chinese characters.

Quriltai: The grand assembly of the Mongol tribes that could elect a Great Khan. It did not meet regularly but could be convened by anyone with sufficient following among the Mongols. Temujin convened a *quriltai* in 1206, at which he had himself proclaimed Chinggis Khan, which means "Oceanic Ruler."

Shi: The administrative elite that emerged during the Zhou dynasty. Initially made up of men appointed to work at the many local courts, the *shi* changed over time into a landholding semi-aristocratic elite during Han-Tang times and into the educationally based elite of the late imperial age from the Song on.

Single Whip reforms: A set of changes to the fiscal and revenue policies of the Ming dynasty in the 1580s. The main result was that taxes were paid in silver rather than in grain or cloth, as had been the case. This benefited the commercially advanced coastal and riverine provinces but set the stage for problems in the arid northwest and the rugged hills of the southwest.

Spring and Autumn period: The period, from the mid-8th through the early 5th centuries B.C.E., when the central authority of the Zhou kings began to decline. Named for the historical records of the state of Lu, which were later believed to have been edited by Confucius.

Taiping: Literally, "Great Peace," this term is also shorthand for the Taiping Tianguo, or the Heavenly Kingdom of Great Peace. This was the rebel state created by Hong Xiuquan between 1850 and 1864, which controlled much of central and south China and ruled over, perhaps, 100 million people.

Warring States period: A prolonged period of chronic warfare and insecurity from the 5th through the late 3rd centuries B.C.E. Stronger states slowly conquered weaker ones until only a few remained in the 3rd century. Finally, the state of Qin defeated the last of its rivals, destroying the southern kingdom of Chu in 221 B.C.E.

Biographical Notes

Abaoji (r. 907–926): Founder of the Liao dynasty of the Khitan people on the northern frontier of China following the collapse of the Tang dynasty.

An Lushan (d. 757): Turkic military commander for the Tang army garrison at modern Beijing. He was a favorite of the emperor Xuanzong but came under suspicion of an illicit relationship with the emperor's favorite concubine, Yang Guifei. Led a major rebellion in 755.

Cao Cao (155–220): Late Han general whose military genius became legendary. Father of Cao Pei, who founded the Kingdom of Wei at the beginning of the Three Kingdoms period.

Chen Duxiu (1879–1942): Intellectual leader of the May 4th Movement and early advocate of Marxism. Helped found the Chinese Communist Party in 1921, though he did not attend the First Congress in Shanghai.

Cheng Hao/Cheng Yi (1032–1085/1033–1107): Brothers who were early advocates of the ideas that developed into *Daoxue* Neo-Confucianism in the Song dynasty.

Chiang Kaishek (1888–1975): Military leader and strongman of the Guomindang Nationalist Party from 1926 until his death. Strongly anti-Communist, he directed Nationalist forces primarily against the CCP, rather than the Japanese who invaded China in the 1930s. After defeat in the civil war, he led the Nationalist regime on Taiwan.

Cixi (1835–1908): Consort of emperor Xianfeng in the 1850s, she was the mother of the Tongzhi emperor (r. 1860–1872) and, later, as Empress Dowager, was the power behind the throne in the last decades of Manchu rule.

Confucius (551–479 B.C.E.): Political thinker in the Warring States period whose ideas about human relations, ritual, and learning came to be the core ideology of the imperial state.

Deng Xiaoping (1904–1997): Joined the Communist Party as a student in France in the 1920s. Later returned to China and took part in the Long March. Rose to a leading position in the 1950s, then was purged during the Cultural Revolution. Returned to power in 1978 and became supreme leader, guiding the reforms of the 1980s.

Dong Zhongshu (2nd century B.C.E.): Political and cosmological thinker during the reign of Wudi. His ideas about connections between natural phenomena and human actions influenced concepts of legitimacy and succession for the imperial state.

Duke of Zhou (11th century B.C.E.): Uncle and chief advisor of King Wu at the time of the founding of the Zhou dynasty. He became the model of the sage advisor, the ideal for the later *shi* administrative elite.

Fan Kuan (active c. 1023–1031): Landscape painter during the Northern Song dynasty. His depictions of massive mountains with tiny human figures in marginal positions typified the changing view of man and nature in the 11th century.

Gu Kaizhi (c. 345–c. 406): First identifiable painter in China. Several paintings attributed to him survive but most are probably slightly later copies.

Guangxu (1871–1908): Next-to-last emperor of the Qing. Dominated by his great aunt, the Empress Dowager Cixi, he began to rule in his own right in the mid-1890s. His support for reform in the summer of 1898 led to his house arrest in September. He died in 1908 on the eve of Cixi's death, leading to speculation that he was poisoned.

Han Fei (d. 233 B.C.E.): Philosopher of the state of Qin. He developed a sophisticated rationale for the Legalist doctrines of rewards and punishments. Han Fei argued that human nature was a blank slate and that, by use of rewards and punishments, people could be shaped to be obedient citizens.

Han Yu (768–824): Scholar and official in the late Tang dynasty who promoted a Confucian revival through his advocacy of *guwen*, or "ancient-style," prose writing. He criticized what he saw as the baleful influence of Buddhism on Chinese culture and called for a return to the values of the early Han dynasty.

Hong Xiuquan (1813–1864): Founder and leader of the Taiping Heavenly Kingdom. He was a failed examination candidate from Guangdong province who had visions that he believed to be a revelation that he was the younger brother of Jesus Christ. His movement almost toppled the Qing dynasty, and its suppression cost some 20 million lives.

Hu Yaobang (1915–1989): Communist Party official who rose to be general secretary during the reform period of the 1980s. His death in April 1989 triggered the student movement that culminated in military suppression in June.

Jiang Qing (1914–1999): Wife of Mao Zedong. During the Cultural Revolution, she was responsible for the reform of performing arts. She became the leader of the so-called Gang of Four, who sought to promote a radical vision of egalitarian revolution.

Jiang Zemin (1926–): Communist Party official and former mayor of Shanghai who became general secretary after the suppression of the Tiananmen student movement in June 1989. He restored order and returned to the path of reform and openness to the outside world inaugurated by Deng Xiaoping.

Kang Youwei (1858–1927): Confucian reformer who was one of the leaders of the 100 Days Reforms of 1898. He later became a conservative advocate of a constitutional monarchy.

Kangxi (1654–1722): Second emperor of the Qing dynasty. He presided over the suppression of the rebellion of Wu Sangui and launched campaigns to bring the Mongol tribes of Xinjiang into the Qing Empire. His tax edict of 1712 fixed the fiscal system of the dynasty "in perpetuity."

Khubilai (1214–1294): Grandson of Temujin and first emperor of the Mongol Yuan dynasty in China. He completed the conquest of the Song and established the Mongol capital at Dadu, present-day Beijing.

Laozi (6th century B.C.E.): Semi-legendary philosopher of the Warring States period whose ideas became the foundation for Daoism. He rejected the positivism of Confucian thought and encouraged a skeptical approach to knowledge and action; he also advocated seeking harmony with nature.

Li Dazhao (1889–1927): Educator and radical thinker during the May 4th period. One of the founders of the Communist Party. Killed during the split with Chiang Kaishek in 1927.

Li Shimin (597–649): Second emperor of the Tang dynasty. He encouraged his father, Li Yuan, to rebel against the Sui dynasty and found a new order, then succeeded his father in 626.

Li Zicheng (1606–1645): Leader of a peasant rebellion against the Ming in Shanxi in the early 1640s, he succeeded in capturing Beijing in April 1644. He established a short-lived dynasty of his own but was chased out of the capital by Wu Sangui and the Mongols in early June.

Liang Qichao (1873–1929): Reformer and writer. He was active with Kang Youwei in the 1898 Reforms and, later, became a publisher of radical newspapers in Shanghai and Japan.

Lin Biao (1908–1971): Communist military leader and later minister of defense. He became Mao's designated successor in 1969 but, shortly thereafter, was killed in an apparent split within the radical leadership. He is reported to have attempted to assassinate Mao before fleeing in an airplane, which was shot down over Mongolia.

Lin Zexu (1785–1850): Qing official who was put in charge of opium suppression in Guangzhou in 1838. His strong efforts to eliminate the drug trade led the British to launch the Opium War (1939–1942).

Liu Bang (247–195 B.C.E.): Petty official of the Qin state who rebelled and raised an army that allowed him to establish a new dynasty, the Han, in 202 B.C.E. Reigned as first emperor until his death.

Liu Bei (162–223 C.E.): Descendant in a minor line of the Han imperial family, he founded the state of Shu Han in 220 at the beginning of the Three Kingdoms period.

Liu Shaoqi (1898–1969): Communist Party leader and president of the People's Republic in the 1950s and early 1960s. He became the chief focus of opposition to Mao and was denounced as a "capitalist roader" in the Cultural Revolution, when he was purged from office and imprisoned. Died of cancer while still under arrest.

Mao Zedong (1893–1976): One of the founders of the Communist Party, he became an advocate of the "peasant strategy" in the late 1920s. Became chairman of the Party in 1935 and remained its chief leader until his death.

Marco Polo (1254–1324): Venetian traveler who visited China from c. 1275–1290. He served as an official under Khubilai and left a rich memoir of his travels, which was criticized in Europe as wildly exaggerated.

Mencius (372–289 B.C.E.): Philosopher and interpreter of Confucius. Mencius emphasized the reciprocal nature of social relationships, especially the right of people to overthrow unjust rulers. He also stressed the natural division of society into those who labor with their backs and those who work with their minds.

Mozi (late 5th—early 4th centuries B.C.E.): Warring States period thinker who advocated "universal love" and promoted defensive warfare to make aggression unprofitable.

Nurhaci (1559–1626): Creator of the Manchus. He sought to revive the former Jin dynasty of the Jurchen people and overthrow the Ming dynasty.

Ouyang Xiu (1007–1072): Scholar and official of the Northern Song, he was a representative figure of the "literary gentlemen," who advocated clear prose writing and traditional Confucian values.

Peng Dehuai (1898–1974): Military leader and veteran of the Long March. He led Chinese forces in the Korean War and served as minister of defense in the 1950s. Purged in 1959 for criticizing Mao over the Great Leap Forward.

Puyi (1905–1967): Last emperor of the Qing. He was put on the throne in 1908 at the age of three. Abdicated in 1912. He was later puppet emperor of Manchuguo under the Japanese from 1934–1945.

Qianlong (1711–1799): Fourth emperor of the Qing, he reigned for 60 years, from 1736–1795. Retired in order not to exceed the reign of his grandfather, Kangxi. Qianlong's reign was, in some ways, the high point of the Qing era.

Qinshihuangdi (259–210 B.C.E.): King of the state of Qin at the end of the Warring States, he proclaimed himself First Emperor in 221 B.C.E., when Qin's last rival was defeated. His mausoleum near Xian contains the famous terra cotta warriors.

Shun (c. 2200 B.C.E.): Legendary sage king of antiquity. Named to succeed Emperor Yao, who set aside his own son in favor of Shun's moral uprightness.

Siddhartha (6th century B.C.E.): Indian prince who founded Buddhism. He rejected the material luxury of his life and sought to understand the origins of suffering and how to transcend it.

Sima Guang (1019–1086): Statecraft thinker of the Northern Song. Critic of the reforms of Wang Anshi, he promoted a view of government that emphasized the role of the literati as sage advisors to the emperor.

Su Shi (1037–1101): Scholar, official, and literary theorist. Follower of Ouyang Xiu, he promoted the assimilation of classical literary models as a basis for one's own spontaneous expression.

Sun Quan (181-252): Three Kingdoms ruler of the southeastern state of Wu.

Sun Yatsen (1866–1925): Nationalist revolutionary leader and founder of the Guomindang, the Nationalist Party. Developed the three People's Principles of nationalism, democracy, and socialism.

Sunzi (6th century B.C.E.): Military strategist of the Warring States period. His doctrines of deception and careful preparation became fundamental to Chinese military thinking.

Temujin (c. 1162–1227): Leader of the Mongols in their great age of expansion. Became Chinggis Khan, or Oceanic Ruler, in 1206.

Wang Anshi (1021–1086): Statecraft thinker and political leader. Presided over the reform effort known as the New Policies in the 1070s. Advocated a stronger role for the central government and restriction of the powers of local elites.

Wang Mang (33 B.C.E.–23 C.E.): An official at the Han court, he seized power in 9 C.E. and proclaimed his own dynasty, the Xin. He instituted various reforms, but following his death in 23 C.E., the Liu family reclaimed the throne.

Wang Yangming (1472–1528): Philosopher and official who developed new interpretations of Confucian ideas about knowledge and action. Believed that everyone has an "innate knowledge of the good" and that there was a necessary link between knowing and acting. His ideas have been seen as a Chinese version of individualism and humanism.

King Wen (d. c. 1045 B.C.E.): Last leader of the Zhou people before their overthrow of the Shang. He guided the consolidation of the alliance of subordinate peoples that brought the dynasty to an end.

King Wu (d. c. 1039 B.C.E.): King of the Zhou at the time of the Conquest, he was largely guided by his uncle, the Duke of Zhou.

Wu Sangui (d. 1678): Chinese general who allowed the Manchus to cross the Great Wall in 1644. He was given a large territory to govern in south China but rebelled in 1673 in the last serious challenge to the new dynasty.

Wu Zetian (625–705): Concubine in the harem of Li Shimin, she became empress consort of the next emperor and mother of yet another emperor. In 690, she set aside the Li family and assumed the throne for herself, becoming the only woman ever to rule China in her own name. She abdicated in 705, and the Li family regained the throne and restored the Tang dynasty.

Wudi (r. 142–87 B.C.E.): Dynamic emperor of the Han dynasty, he pursued an activist policy for the state in economic and social life; launched military campaigns to expand the empire; and promoted the synthesis of Confucian, Daoist, and Legalist thought that became the imperial orthodoxy.

Xiang Yu (233–202 B.C.E.): Military leader of the former state of Chu, he joined the rebellion against Qin in 207 B.C.E. and soon became one of the major contenders to found a new dynasty. He was defeated by Liu Bang in 202.

Xuanzong (r. 713–756): Emperor of the Tang, he presided over a long period of growth and stability. Over time, however, he withdrew from active participation in court life and devoted himself to his favorite concubine, Yang Guifei. His jealousy was exploited by officials and led to the rebellion of An Lushan.

Yang Guifei (d. 756): Daughter of an official, she became a consort of the emperor Xuanzong. They became so close that she influenced his decisions on government. Jealous officials alleged an illicit relationship with An Lushan, which led to his rebellion. Yang Guifei was strangled and left by the roadside as the emperor's entourage fled the capital in 756.

Yang Jian (540–605): General who overthrew his emperor and established his own dynasty, the Sui, in 581. He ruled as emperor until his death and was succeeded by his son, Yang Guang.

Yao (c. 2300 B.C.E.): Legendary sage ruler of antiquity. He set aside his own son to appoint Shun as his successor because of his sterling moral qualities.

Yongzheng (1677–1735): Third emperor of the Qing. His attempts to reform the finances of the state were thwarted by both local officials and elites.

Yuan Shikai (1859–1916): Military leader of the late Qing. He commanded the modernized Beiyang Army in northern China. In 1898, he supported the suppression of the reformers. In 1911, he negotiated the abdication of the emperor and secured the presidency of the new Republic for himself. After an abortive attempt to assume the throne in 1916, he fled Beijing and died shortly thereafter.

Zeng Guofan (1811–1872): Military leader and provincial-level official who led the Hunan army against the Taipings in the 1860s. He played a leading role in the early Self-Strengthening Movement.

Zhang Juzheng (d. 1582): Chief grand secretary for the young Wanli emperor, he supervised much of the Single Whip tax reforms. His attempt to carry out an empire-wide survey of landholdings to revise the tax registers was resisted by local literati elites.

Zhang Xueliang (1898–2001): Warlord in northwestern China who placed Chiang Kaishek under house arrest in December 1936 to coerce him into forming a new alliance with the Communists to resist Japanese aggression. After the negotiations concluded and Chiang was released, he placed Zhang under arrest; Zhang was held by the Nationalists until 1996.

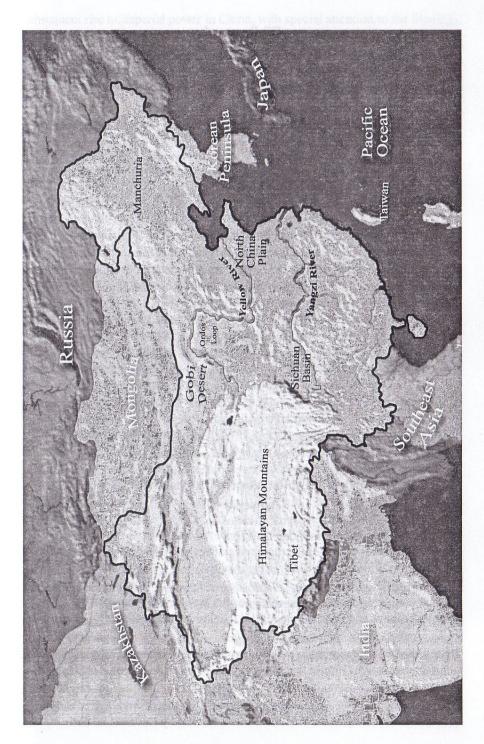
Zhu Di (1360–1424): Third emperor of the Ming dynasty. Fourth son of Zhu Yuanzhang, Zhu Di resented the naming of his nephew as emperor in 1398 and soon rebelled. He captured Nanjing in 1402 and took the throne for himself.

Zhu Xi (1130–1200): Philosopher who brought together ideas about natural patterns and principles and the nature of moral values to synthesize the school of *Daoxue*, the "Learning of the Way." His interpretations of the Confucian classics became the standard for the imperial examination system from the mid-13th century on.

Zhu Yuanzhang (1328–1398): Founding emperor of the Ming dynasty. He rose from being an impoverished orphan to become leader of the Red Turbans rebel movement at the end of the Yuan. In 1368, he defeated the last Mongol forces and established his new regime. His paranoia about the literati led him to launch repeated purges of his officials, claiming tens of thousands of victims.

Zhuangzi (late 4th—early 3rd centuries B.C.E.): Philosopher who developed and interpreted the teachings of Laozi. He emphasized the relativity to knowledge and the ideas of uselessness and emptiness.

Zhuge Liang (181–234): General known for his clever stratagems during the Three Kingdoms period. He was an advisor to Liu Bei, ruler of the Shu Han kingdom in modern Sichuan.



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