

DISSERTATION ABSTRACTS*

Baker, Timothy Danforth, Jr., Ph.D. Harvard University, 2006.
The Imperial Ancestral Temple in China's Western Han Dynasty: Institutional Tradition and Personal Belief. UnM: AAT 3217667.

This analysis of the imperial ancestral temple in the Western Han (206 BC–8 AD) addresses the issue that this institution is generally considered, at least in part, as a religious institution; and yet the use of that relatively recent Western cultural category to analyze it cannot help but skew our understanding of it. After showing how this concept has long been a problematic area for Western scholarship and how using this concept may be inappropriate in this case, I present another way to understand the debates over the ancestral temple by using the terms institutional tradition and personal belief. To present the background of the imperial ancestral temple, I consider this institution prior to the Han, both as we currently understand it and as it was understood during the Han. Then the development of the institution during the Western Han shows the ways in which the earlier tradition was the basis for its reinvention in terms of the institutional tradition, and how its proper arrangement was contested at length between the emperor and his ministers. Finally, I demonstrate how the notion of personal belief can be seen in contrast to the institutional tradition and that the interplay between these two aspects of the tradition is critical for its formation. To show the context of this debate more completely, I include an annotated translation for the portion of the *Hanshu* “Wei Xian Zhuan” chapter that is the major source of information on this topic.

Bergeton, Uffe. M.A., University of Southern California, 2006.
The Evolving Vocabulary of Otherness in Pre-imperial China: From 'Belligerent Others' to 'Cultural Others'. UnM: AAT 1437581.

In this paper I describe how changes in the *concepts* underlying the Zhou-barbarian dichotomy in pre-imperial China are reflected in the form and distribution of the *linguistic expressions* used to refer to foreigners. The

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main narrative that informed the conceptualization of foreigners changed from warfare in pre-Zhanguo times, to culture with the emergence of Confucianism in the late 5th to early 4th century BCE. In the earlier period foreigners were referred to using expressions denoting specific peoples or with the character *rong* 'belligerent others.' In the Zhanguo period the emphasis was on cultural differences and a number of general words for anti-Zhou 'barbarians' developed (*siyi*, *yidi*, *manyi*, etc.). Within these new paradigms of compound ethnonyms, the morpheme *yi* had the greatest combinatorial potential and was occasionally used alone to express the concept of 'cultural others.'

Cai Liang. Ph.D. Cornell University, 2007.

In the Matrix of Power: A Study of the Social and Political Status of Confucians (Ru) in the Western Han Dynasty (206 BCE–8 CE). UnM: AAT 3276800.

In my dissertation I reconstruct the social status and political power that Han Confucians as a group possessed through a statistical investigation of the social origins, intellectual orientation, and patterns of advancement of high officials from Emperor Wu's reign till the end of Western Han dynasty. In a finding that contradicts the dominant assertion that Emperor Wu promoted Confucians to power, I demonstrate that they amounted to a tiny minority in the upper levels of the bureaucracy. Socially and politically weak, Confucians painfully navigated officialdom, competing with powerful officials who had enjoyed power and privileges for generations. Sima Qian skillfully reproduced this struggle when he wrote "The Collective Biographies of Confucians" (*Rulin liezhuan*) in *The Grand Scribe's Records (Shiji)*. Not until Emperor Xuan came to power, approximately twenty years after Emperor Wu's reign, did Confucians gradually become a fairly competitive group in the high levels of officialdom. During the transition between Emperor Wu and Emperor Zhao, membership of the upper-level ruling class had undergone fundamental changes. The most powerful official families who had dominated the court for decades were almost all eradicated during the witchcraft scandal towards the end of Emperor Wu's rule. Under the regency of Huo Guang and Emperor Xuan, a new ruling class, among whom was a group of Confucians, rose to fill this power vacuum and entrenched their positions in the high levels of bureaucracy until Wang Mang usurped the Han throne.

Campbell, Roderick Bruce. Ph.D. Harvard University, 2007.
Blood, Flesh and Bones: Kinship and Violence in the Social Economy of the Late Shang. UnM: AAT 3264919.

The Shang dynasty has occupied a central place in both Chinese history and archaeology of the last century. As the earliest period in China for which there is near unanimous agreement on the presence of "state" societies, the Shang period has also figured prominently in archaeological discussions of social complexity.

However, in framing historical development in terms of movements from kinship to bureaucracy, sacred to secular and religion to philosophy, traditional accounts of Early China have embedded Shang history in Enlightenment teleologies while avoiding the issues of how "belief" and authority are produced through historically situated social-economic practices and institutions. Moreover, recent comparative analyses of early polities have tended to shoe-horn the Shang polity(ies) into categories derived from other societies without adequate regard or understanding of the historical particulars of the physical, practical and discursive constitution of Shang society and world.

Eschewing backward projected teleologies or content-free generalizations, I argue for a study of the past in terms of the many braided relationships between social practices and the constitution of being and world. After critically reviewing recent theory on early polities and its application to China, I present an up-dated account of North China in the 2nd millennium B.C. and through a synthetic analysis of archaeological, epigraphic and transmitted textual evidence sketch an outline of the socio-political landscape of the Late Shang. Reconstructing Late Shang practices of authority and their material bases, I focus on sacrifice, warfare and burial in their role in the constitution of social identity and hierarchy as intersecting practices of kinship and violence.

Based on these analyses I argue that the Late Shang world was ceaselessly ordered through domesticating practices based on communal violence, ancestral construction and sacrifice, recursively (re)producing, through differential participation in these practices a hierarchy of being that stretched from sacrificial victims to deified ancestors and the high god Di. Moreover, with place and identity experienced in terms of hierarchical relationships of kinship and patronage, social obligation and political authority were produced through universal participation and investment in a radically inegalitarian social economy of kinship and violence.

Chan Yuet-ping. Ph.D. The Chinese University of Hong Kong (People's Republic of China), 2006.

A Comparison of the Cultures of Wu and Yue: A Research Focusing on the Inscriptions of Bronze Wares Excavated During Zhou Dynasty. UnM: AAT 3254512.

Wu and Yue, located in the south-east China, contended with the feudal lords in the Central Plain for the hegemony during the Chunqiu and Zhanguo Periods (770 B.C.–221 B.C.). These two neighboring countries had similar cultural characteristics. For instance, they shared the same language, similar living customs and political systems. The author holds the view that the cultural elements of the Wu and the Yue were fairly similar to the Han people in the Central Plain. However, due to the barbaric origins of the Wu and the Yue ethnic groups, they were regarded as outsiders and were rejected to participate in the ritual affairs with the feudal lords of Zhou Dynasty B.C. 1122? until B.C. 585.

By analyzing the written documents and the inscriptions of the bronze artifacts excavated in the Ningzhen and Shaoxing regions, the author concludes that there was a long period of cultural dissemination and exchange among the kingdoms in the Central Plain with the Wu and the Yue people between the region of Huai River and the Yangzi River where Wu and Yue were located. Due to the geographical advantage, Wu and Yue gradually merged into a greater cultural entity which eventually had the same religious beliefs and social customs. However, as indicated in the following discussion, both the cultural traditions of the Wu and the Yue maintained their uniqueness in various aspects. First, they adopted different strategies and attitudes in absorbing the Han culture. Second, both the Wu and the Yue discarded part of their aboriginal cultures, while modifying their own traditions by integrating cultural elements from neighboring feudal kingdoms. Third, since the cultural strategies of both the Wu and Yue differed, they directly affected Wu's and Yue's cultural and political development. For example, there were conflicts and disputes among the ruling classes, especially during the early period of their contending hegemony with the feudal lords in the Central Plain. After a long period of cultural acculturation, new cultures were formed under the reigns of the Wu and the Yue's rulers.

This thesis focuses on explaining different processes of cultural acculturation among the Wu and the Yue, and the culture between their neighboring countries. By examining the evidence from written literature and bronze inscriptions, the author emphasizes the internal and external political developments that affected the pace and the direction of their cultural development.

Cunnar, Geoffrey Eugene. Ph.D., Yale University, 2007.
The Production and Use of Stone Tools at the Longshan Period Site of Liangchengzhen, China. UnM: AAT 3267234.

This dissertation focuses on the role of technology, specifically the production and use of stone tools, in one of the first complex societies in China, the Longshan (ca. 2600–1900 BC). The Longshan period of Late Neolithic China existed just prior to the rise of the Xia and Shang Dynasties and, as such, is a crucial period relevant to the understanding of the rise of complex society. Specialized production of ceramics, jade and other wealth items, along with the appearance of walled towns, proto-writing and incipient bronze metallurgy, are seen as hallmarks of the period. Research on ground and polished stone objects has been biased towards those tools of fine craftsmanship, such as jade *yue* “battle axes” and other stone items thought to represent prestige goods. This dissertation concerns itself mainly with utilitarian tools and the domestic economy. It addresses the analysis of 2,557 ground and polished stone tools and 2,043 chipped stone tools and associated debris that were excavated from the large Longshan town of Liangchengzhen in southeastern Shandong province.

I focus on two major aspects of emerging civilization within the context of late Neolithic China at the site of Liangchengzhen: (1) defining the nature of production and use of primarily utilitarian stone tool forms, and (2) the application and advancement of ethnoarchaeological, technological and use-wear studies to ground stone tools. Through these analytical methods I am able to describe the organization of utilitarian stone tool production at Liangchengzhen. I argue that the production and use of the utilitarian stone tools was largely autonomous of direct elite involvement. I further argue that the production of certain tool types, like projectile points and the *yue* “battle axe,” were highly symbolic artifacts even for the non-elite members of society. As the result of the comprehensive use-wear studies, replication of tools, and spatial and technological analyses, I demonstrate that the non-elite members of the “neighborhood” that was excavated were engaged in part-time specialization of certain tool types.

DeFalco, Daphne Li-mei. M.A., California State University, Long Beach, 2007.
The Silk Road in China. UnM: AAT 1442141.

For many centuries the Silk Road was the place where the eastern and western cultures met and interchanged. This thesis will examine the relationship between China and the West on the Silk Road which is

considered the oldest trade route in the world. Through the Silk Road, China and the West influenced one another economically, historically and culturally. This thesis will analyze the establishment and the demise of the Silk Road which coincided with the prosperity and decline of China. This thesis will also discuss how the religions of the West were introduced to China, how Chinese inventions were transported to the West, with influences in both worlds. Travelers on the Silk Road will be discussed because they created and promoted the communications on the Silk Road. Cities on the Silk Road will be studied because they are landmarks where the cultures were exchanged. By knowing the past we understand the present and can better project the future. All races contributed to human civilization. The history of the Silk Road is one chapter in the development of human civilization.

Eng, Jacqueline Trey. Ph.D., University of California, Santa Barbara, 2007.

Nomadic Pastoralists and the Chinese Empire: A Bioarchaeological Study of China's Northern Frontier. UnM: AAT 3283707.

Frontier interaction between nomadic pastoralists and the agrarian-based Chinese empire was a complex phenomenon that was shaped by ecological and cultural constraints. Previous studies and interpretations of this interaction have focused on the Chinese perspective and relied upon textual data from ancient Chinese sources, as well as archaeological evidence of material culture. In this study, the nature and health consequences of the interactions between agriculturalists and pastoralists were documented using multiple lines of bioarchaeological evidence to test longstanding assumptions about dietary dependency and violent conflict between ancient China and nomadic societies of the northern steppe frontier.

This research has had two major aims: (1) to examine the extent to which differing economic strategies affected populations in paleopathological markers and (2) to determine the health impact upon peripheral and frontier societies associated with the level of Chinese imperial influence as measured over different time periods and geographic distances. I collected bioarchaeological data from the skeletal remains of 979 people from 11 archaeological sites. These data open a new window into the health and socioeconomic consequences of long-term core-periphery interactions. Furthermore, these skeletal studies of stress markers, patterns of violence, and dietary change document the physical manifestations of frontier interaction.

This research has shown that the link between diet and violence in the interaction between nomads and China was dependent on several

components, including distance and temporal considerations. Thus, the relationship between nomads and China was dynamic and fluid, influenced by a complex array of ecological, social, and historical factors.

Hicks, Melissa. Ph.D., University of Nevada, Las Vegas, 2006.
Characterizing Global Archaeocyathan Reef Decline in the Early Cambrian: Evidence from Nevada and China. UnM: AAT 3226620.

This study presents new data on the sedimentology of the northern Yangtze Platform, the $\delta^{13}\text{C}$ stratigraphy of South China and Nevada, and the decline and virtual extinction of archaeocyaths. Paleocological, sedimentological, and chemostratigraphic data were collected from multiple localities that span from the mid-Early Cambrian of Nevada (Poleta Formation) and China (Xiannudong Formation) to the late-Early Cambrian of Nevada (Harkless Formation) and China (Tianheban Formation).

Facies represented in the Xiannudong Formation describe a Bahamas-type platform for the Yangtze Platform with a static and negative $\delta^{13}\text{C}$ record. All four formations analyzed show a static $\delta^{13}\text{C}$ record that varies from slightly negative to slightly positive. This is unexpected because stasis is not observed in the composite $\delta^{13}\text{C}$ record of the Siberian Platform, suggesting that our data may represent intrabasinal $\delta^{13}\text{C}$ records and not global.

Another important feature I observed in the Xiannudong Formation is a faunal changeover from predominantly regular-type archaeocyaths in the lower Xiannudong Formation to predominantly irregular-type archaeocyaths in the upper part. This changeover is also seen between the Poleta Formation and the Harkless Formation in Nevada.

Finally, I analyzed the physical changes in archaeocyathan skeletons over time. A progressive thinning of skeletal thickness was expected, however a distinct trend of skeletal thickening was observed. Skeletal thinning was expected due to a lowered carbonate saturation state driven by rising atmospheric CO_2 . To explain thickening, I propose that irregular archaeocyaths contained photosymbionts, which are documented to counteract a lower carbonate saturation state. Irregular archaeocyaths, which inherently contain more elements in their intervallum, and hence, more soft tissue, could house more endosymbionts than regulars. Therefore, regulars declined due to the lack of abundant photosymbionts, while irregulars flourished.

Currently, there is no definitive evidence to support our hypothesis that the ultimate extinction of archaeocyaths was due to increased sea surface temperatures due to the greenhouse warming effect of increased pCO_2 . Prolonged temperatures would have increased thermal stress

on the archaeocyaths until some threshold was reached in which even irregulars could not survive. This scenario may have implications for modern reef reactions to anthropogenic CO₂ and greenhouse warming.

Indrisano, Gregory G. Ph.D., University of Pittsburgh, 2006.
Subsistence, Environmental Fluctuation and Social Change: A Case Study in South Central Inner Mongolia. UnM: AAT 3232858.

According to the early Chinese textual accounts, the polities of the Central Plain beginning in the Zhou colonized the territory north of the Wei River, through the Ordos Region under the Great Bend of the Yellow River and north to the borders of modern Mongolia. The historical model suggested that military expansion and cultural diffusion expanded the agricultural lifeway of the empire through population replacement, but the texts do not describe the local social and political environment into which these policies were imposed. Liangcheng County, in central Inner Mongolian Autonomous Region, is an excellent location to study the integration of populations into the Central Plain political system (500 BCE–200 CE). Archaeological survey provides the diachronic perspective that is necessary to examine the process of integration and to facilitate an understanding of how the intrusive social systems affected the indigenous social and political environment.

During the chaotic Warring States period, Central Plain bureaucrats co-opted the feudal manor system of the Western Zhou and created a system of compact villages that assisted administrative control and increased agricultural production. The data here suggest that it is the village system that is exported to Liangcheng. Although the traditional interpretation suggests population replacement, in Liangcheng a settlement system characterized by single family homesteads on land that is not productive for agriculture persists from the Neolithic to the Han Dynasty period. The combination of new farming villages introduced during the Warring States period and the persistence of dispersed homestead sites suggests a gradual process of acculturation to Central Plain social norms, not a wholesale replacement of population. Not until the Han Dynasty does a majority of the populace move into villages on the best agricultural lands.

The stability of the settlement pattern from the Neolithic into the Warring States period in similar locations that are not particularly advantageous for agriculture suggests that indigenous subsistence systems changed little until the Han Dynasty, implying that in Liangcheng, subsistence responded not to environmental fluctuation, but to social and political change.

Kong Xurong. Ph.D. The University of Wisconsin–Madison, 2005.
Fu Xuan's (217–278) Rhapsodies on Objects (Yongwu Fu). UnM: AAT
3200034

Yongwu fu has been largely ignored by scholars of Chinese literature. In this project, I seek to refocus attention on *yongwu fu*, in particular Fu Xuan's *yongwu fu*. I will formulate a detailed explanation of this sub-genre, and in the process provide annotated translations of all of Fu Xuan's *yongwu fu*.

Chapter One outlines the historical evolution of *yongwu fu*, delineating its history before and immediately after Fu Xuan. Chapters Two, Three, and Four offer close textual study of Fu Xuan's thirty-nine pieces in two categories: natural and man-made objects. Chapter Five focuses on *yongwu fu*'s formal features and recurring themes. Chapter Six explains key aesthetic features. Chapter Seven describes Fu Xuan's understanding of genres, his career as scholar-official, and his thoughts as constituted by elements of Ruism and Daoism.

As a sub-genre of *fu*, using prose-like sentence patterns and a tripartite structure, *yongwu fu* describe tangible and manageable objects in abundant detail and possess an expressive function eulogistic in nature. Structural characteristics of *yongwu fu* vary, yet commonalities abound and are the norm. The most salient structural characteristic is its tripartite structure.

Yongwu fu distinguish themselves both in their formal thematic features and aesthetic features. On a micro-level, *yongwu fu* describe the physical beauty and practicality of objects; on a macro-level, *yongwu fu* idealize natural harmony and dynamic, organic communities.

Fu Xuan greatly contributed to *yongwu fu*'s development, and many of his styles and structures influenced and are seen in others' *yongwu fu*. Before Fu Xuan, stylistic and structural features were strewn from piece to piece, or simply not yet conventionalized. Fu Xuan's foremost defining contributions include his use of tripartite structure, sentence patterns and rhyme schemes, allegory, topic selection, praise of objects' worth, harmonious environment, and practicality.

Although most scholars argue that descriptive *yongwu fu* do not possess serious meaning, Fu Xuan conveys ideas beyond the descriptive composition itself. His use of personification, prefaces, allusions, and symbolic images, for instance, remodeled variations of contemporaneous styles. His use of obvious, commonplace outward features to express profound ideas is truly masterful, and his work and influence deserve further study.

Lander, Brian. M.A., McGill University (Canada), 2006.

Writing the Environmental History of the Yellow River Region from the Zhou to the Han: Sources and Methodological Problems. UnM: AAT MR28563.

This thesis explores the changing environment of the middle and lower Yellow River basin from the Zhou to the reign of Han Emperor Wu (ca. 1045–87 B.C.), a period characterised by an increase of government control over the land along with an intensification and expansion of agriculture. The second chapter employs palaeoecological sources to look at the early environment of the region, arguing that the eastern plains were mixed forest-steppe, and that the regions to the west were mostly steppe. The third chapter uses archaeological sources to explore the rise of civilisation, the fauna of the region in the Shang period and the spread of iron tools. The fourth chapter is divided into two sections, the first of which looks at what can be learned from the texts of the period concerning agriculture, land clearance, deforestation, hunting, fishing and economic geography. The second half concerns the intensification of state power in regulating and transforming natural environments through legal measures and water control projects, as well as the development of a market economy.

Lee, Christine. Ph.D., Arizona State University, 2007.

The Biological Affinities of Neolithic through Modern Period Populations from China and Mongolia: The Cranial and Dental Nonmetric Trait Evidence. UnM: AAT 3270596

This study uses cranial and dental nonmetric traits to examine the population history of China and Mongolia from the Neolithic period to the Modern period. The main objectives of this research are (1) to collect data from the largest sample of East Asian individuals to date; (2) to include a wide representation of cultures, ethnicities, and time periods; (3) to introduce a standardized procedure for collecting dental and cranial nonmetric traits in this region, (4) and, finally to present this complex region to a Western audience.

A total of 1,364 archaeological and modern crania, and dental casts were scored from seven institutes in the United States, China, and Mongolia. Thirty-seven cranial and twenty-six dental nonmetric traits were scored. Dental traits were scored using the Arizona State University dental plaque system, and the cranial traits were scored using a methodology developed at Texas A&M University. The data was then examined using trait frequencies and the mean measure of divergence statistic (MMD).

The samples were divided into four large regions to assist in the examination of population trends. The Central Plains incorporated all of the

samples assumed to be ethnically related to the Chinese. The Northern Zone comprised of sites related to modern day Mongolians. Manchuria included samples from Manchuria, Inner Mongolia, and Korea. The Western Regions encompassed mainly the Europoid samples from western Mongolia and China.

The intra-regional comparison of dental MMD results show the sites within the Northern Zone and Manchuria were very homogeneous, while the sites within the Central Plains and Western Regions were more heterogeneous. When inter-regional comparisons were done, the populations from the Northern Zone and Manchuria were migrating into the Central Plains. The Western Regions were the most divergent and was not interacting significantly with the other regions. The intra-regional cranial MMD results show the Central Plains region was the most heterogeneous. The sites within the Northern Zone and the Western Regions were fairly homogeneous. The inter-region cranial comparisons show population movement among the Northern Zone, Manchuria, and the Western Regions. The Central Plains region is the most divergent, interacting with the other regions to a lesser extent.

These two different results can be explained by the conservative nature of dental enamel and the more plastic properties of bone. The dental traits exhibit the original ancestral relationships between these regions, with a time depth of several thousand years. The cranial traits may represent a more recent history of the area, revealing a shift in population interaction which occurred a few thousand years ago, possibly coinciding with the formation of two empires in the Central Plains (China) and Northern Zone (Xiongnu).

Lin, Jih-Pai. Ph.D., The Ohio State University, 2007.

From a Fossil Assemblage to a Paleoecological Community—Time, Organisms and Environment Based on the Kaili Lagerstätte (Cambrian), South China and Coeval Deposits of Exceptional Preservation. UnM: AAT 3286749.

Complex, multicellular life underwent a global adaptive radiation in the lower to middle Cambrian (~542 Ma). The fossil record is dominated by hard part fossils, but rarely a site of exceptional preservation allows study of both organisms with hard parts and organisms composed of soft, non-mineralized tissue. The Burgess Shale Biota was the first fully described fossil assemblage in the Cambrian that contains a relatively complete picture of an ancient living benthic community. More and more Burgess Shale-type (BST) fossil assemblages have been discovered since then and are ready to be utilized to test hypotheses about the paleoecology of the Cambrian explosion, which is the most important event in the evolution of metazoans. The Kaili Biota is the primary focus of this

dissertation, but other Proterozoic, Cambrian, and Ordovician material was also studied.

The first part of my Kaili research includes literature review, sequence stratigraphy, and biostratigraphy. Although the research on Kaili Formation began in 1960s, Kaili is not well known to all Western scientists because most of the Kaili studies (at least 116 papers) were published in Chinese and in Chinese journals that have limited circulation. Therefore, a comprehensive review on the discovery, significance, and social impact of the Kaili Biota is provided here for English-speaking readers. Based on my field work, the lateral extent of both the Kaili Biota and the newly discovered Balang Biota of Guizhou and their sequence stratigraphic context is now better understood. In addition, a compilation of all geological studies on the Kaili Formation is completed to reinforce its potential as a global stratotype.

The second part of my Kaili research focuses on the taphonomy of well-preserved fossils. Based on additional occurrences of trilobite soft-part preservation, *Olenoides* trilobites are not considered deposit feeders based on the mud-free and sclerite-free gut content. Taphonomic considerations of Chinese echinoderms include entombment patterns, decay sequences, individual-specific diagenetic histories, unusual burial postures, selective disarticulation patterns, and postmortem elongation. Chemical analyses reveal that carbon, calcium, manganese, and iron are the major elements responsible for the variety of colors exhibited by Guizhou gogiid echinoderms. Three-dimensional stereomic microstructure occurs on the external surfaces of thecal plates in two gogiid species. Stereom preservation in calcite suggests that the dissolution of calcareous echinoderm plates, yielding characteristic moldic preservation, is sub-Holocene. Kaili also contains intact egg clusters. Unlike previous studies on the Cambrian embryos based on the Orsten-type deposits, Kaili embryo material is preserved in a fine-grained siliciclastic setting; thus, it provides a new taphonomic window for egg/embryo preservation.

The third part of my Kaili research is to understand its paleoecology. A new hypothesis on trilobite dispersal is proposed based on local population of trilobite larvae and juveniles. Echinoderm-substrate relations are documented in detailed. This study suggests that substrate availability is a crucial factor forcing on local echinoderm populations. Based on unusually preserved specimens, a reasonable model of gogiid echinoderms attaching to live brachiopods is reconstructed. Based on multiple occurrences of egg clusters, the depositional environment of Kaili Biota is regarded as a suitable spawning ground for benthic metazoa. The association of body fossils and trace fossils exemplified by

Kaili material allows us to understand the effect of bioturbation on the formation of BST deposits. The paleoecologic information preserved in the Kaili Biota outlined here provides a roadmap to understand better the essential architectural elements of BST communities. It serves as a stepping stone to gain a more complete understanding of Cambrian life through the window of BST deposits.

In addition to studies of Kaili material, fossils from coeval deposits are also compared. During the course of studying Burgess Shale arthropods, new observations on the preservation of *Burgessia bella* with either a straight or a curved telson led to reinterpretations of the physiology of *Burgessia* telson. *Burgessia* is reinterpreted here as a direct forerunner of chelicerates based on evidence that demonstrates both morphological and behavioral homologies shared between *Burgessia* and modern xiphosurans exemplified by *Limulus*. Also, the enigmatic helicoplacoids and gogiid echinoderms are demonstrated to be phylogenetically related because they both have a spirally plated body chamber with plates that were constructed with undifferentiated connective tissue, based on disarticulation patterns. Preliminary conceptual models on taphonomy, paleoecology, and echinoderm evolution are also considered.

Lin, Tsung-Cheng. Ph.D. The University of British Columbia (Canada), 2006.

Time and Narration: A Study of Sequential Structure in Chinese Narrative Verse. UnM: AAT NR20018

The subject of my doctoral dissertation is sequential structure in Chinese narrative poetry, which is a fundamental feature of narrative expression in Chinese poetry. Texts and genres covered include the *Shijing* (Book of Songs), Music Bureau (*yuefu*) and ancient-style poetry (*gushi*) of the latter Han and Six Dynasties, Tang poetry, and Early Qing poetry. The main purposes of my study are to examine the development of sequential structure, primarily non-temporal and anachronic sequential structures, in Chinese narrative poetry, as well as to explore the interplay of sequential structure between poetry and other literary genres.

My dissertation found that the development of sequential structure in Chinese poetry can be divided into four stages. The first stage extends from the *Shijing* to the Han and Six Dynasties. The development of sequential structure in Chinese poetry originated in the *Shijing*, the sequential structure of which became the foundation of sequencing in Chinese poetry during subsequent ages. This tradition of sequencing evolved further in the Han and Six Dynasties. The second stage comprises the Tang dynasty, when the development of sequential structure

reached its first high point. No further significant progress in narrative poetic development was made in the third stage, stretching from the Song to the Ming, and the development of sequencing stagnated. Lastly, the fourth stage began in the Early Qing dynasty when the successful development of narrative poetry revitalized the development of sequencing in Chinese poetry, beginning a golden period of Chinese narrative poetry, especially long narrative poetry.

My dissertation research makes potential contributions to the following three areas: it reviews the status of a number of poets in the development of Chinese poetry; it assesses the significance of certain poetic works in the development of Chinese poetry; and it appraises the contribution of the poetic works of a specific period, e.g., Tang poetry, to the development of Chinese poetry. Furthermore, understanding the tradition of Chinese narrative poetry can help us comprehend the scope of lyricism in Chinese poetry that is the main focus in traditional Chinese literary criticism. Furthermore, such an understanding is a key to studying narrative forms in Chinese literature in general.

Murray, Judson B. Ph.D., Brown University, 2007.

The Consummate Dao: The Way (Dao) and Human Affairs (Shi) in the Huainanzi. UnM: AAT 3272025.

In this study of Former Han dynasty (202 B.C.E.–9 C.E.) thought, religion, and history I examine one of the most important classical Chinese texts from this period—the second-century B.C.E. encyclopedic compendium *Huainanzi* (*Master Huainan*). There are two related aims of this dissertation. First, I provide an *internal* view of the *Huainanzi* by analyzing the claims made in one of its key chapters on behalf of the larger work—namely, its concluding postscript, “A Summary of the Essentials” (“Yao lüe”). I show that in this chapter the author offers distinctive viewpoints on both the nature of the work and its place in the broader intellectual debates and historical and political circumstances surrounding China’s imperial unification. On the latter, I explain that the text’s authors set forth an inclusive, pluralistic, and anti-authoritarian conception of the Chinese empire, not only as a means of criticizing both the totalitarianism of the previous Qin dynasty (221–206) and the centralizing policies that were implemented in the early decades of the Han dynasty but, more importantly, to serve as the correct ideological and political alternative to them. I demonstrate that this vision is evident in the text’s cosmology of the *Dao* or “Way”; in the authors’ views on history, society, culture, and politics; and in their conceptions of humankind, self-cultivation, and the sage-ruler. Therefore, the second main objective of this study is to address the ancient origins of Chinese authoritarianism by closely

examining arguably the most important voice of protest against it in the extant literature of the period—the *Huainanzi*. I reveal that the author of the work's postscript summarizes the essentials of this pluralistic and anti-authoritarian argument in the account of the nature of the text included in "Yao lüe." Thus, by employing its summarizing remarks as a lens or framework through which to interpret the contents of this cosmological and political masterpiece, I challenge previous views on the text expressed in the secondary scholarship by revealing a coherence among the main components of its vision—namely, the cosmos, the empire, and the sage-ruler—that has not been traced and analyzed systematically.

Passey, Benjamin Hendricks. Ph.D., The University of Utah, 2007.
Stable Isotope Paleoecology: Methodological Advances and Applications to the Late Neogene Environmental History of China. UnM: AAT 3282751.

Stable isotope compositions of tooth enamel and soil carbonate provide information about modern and ancient vegetation distributions, climate, and ecology, and the past 15 years have seen the widespread acceptance and application of these methods. Nevertheless, there are several parameters pertaining to this system that remain poorly understood, and analytical constraints limit application of these methods to relatively large samples. This dissertation addresses some of these methodological issues, and then examines the late Neogene paleoenvironmental history of China.

The carbon isotope fractionation between diet and bioapatite varies across different species, ranging from ~ 14 [per thousand] for large herbivores, to ~ 11 – 12 [per thousand] for rodents. These differences are likely due to differences in digestive physiology, with larger fractionations associated with animals that presumably have higher levels of methane production during digestion. Oxygen isotope fractionation between CO_2 and tooth enamel carbonate is dependent on phosphoric acid reaction temperatures. Modern enamels have fractionation factor versus temperature relationships similar to those observed for calcite, whereas fossil enamels typically have steeper temperature slopes, equating to ~ 1 [per thousand] discrepancies compared to calcite when high reaction temperatures are used.

Laser ablation methods were fine-tuned to enable in-situ carbon and oxygen isotope analysis of small teeth with thin tooth enamel, such as rodent teeth, and these methods were applied to small mammals from the late Miocene and early Pliocene of southern Tibet to address altitude histories. These mammals consumed significant quantities of C_4 vegetation, implying lower elevations during these times, or very different climatic patterns resulting in relatively high temperatures at high elevations.

Carbon isotope analysis of tooth enamel from China reveals a latest Miocene expansion of C_4 vegetation, similar in timing to the global event observed on other continents. The spatial distribution of $\delta^{13}C$ in the Chinese Loess Plateau, as recorded in soil carbonates and tooth enamel, may suggest that the 7–4 Ma interval was relatively humid compared to subsequent times, and that forest environments existed in regions now dominated by steppe. These conclusions are supported by the distributions of late Miocene browsing and mixed-feeding ungulate herbivores, whose dietary classifications are refined by stable isotope and mesowear analysis.

Peterson, Christian Eric. Ph.D., University of Pittsburgh, 2006.
"Crafting" Hongshan Communities? Household Archaeology in the Chifeng Region of Eastern Inner Mongolia, PRC. UnM: AAT 3232733.

The focus of this research is the Hongshan period (ca. 4500–3000 BCE) chiefly community of Fushanzhuang, centered on a group of elite burial mounds and other monuments, located in the Chifeng region of eastern Inner Mongolia. Our purpose was to determine to what degree, if any, inter-household economic specialization (as opposed to ritual specialization) underwrote the emergence of social hierarchy at Fushanzhuang, and perhaps more generally during the Hongshan period. Fieldwork began with an intensive systematic survey for, and the intensive surface artifact collection of, a large sample of the core community's constituent households. These data, along with those collected during subsequent "micro-regional" surface survey for additional outlying settlement, were used to estimate Fushanzhuang's duration of occupation, and its areal and demographic parameters.

From analysis of surface-collected lithic artifacts we identified five distinct economic emphases—or "specializations"—among households at Fushanzhuang. These emphases include initial tool production, tool finishing, tertiary tool production/maintenance, agricultural production, and "generalism". Additional analyses of lithic reduction provided corroboration for these different activities. From analyses of ceramic decoration, paste, and vessel type, as well as information on personal ornaments, we inferred the presence of differences in both status and wealth accumulation between households, two dimensions of social ranking that did not correlate with one another. We also found that economic specialization did not co-vary with higher status at Fushanzhuang. Most of Fushanzhuang's higher status households were among its least specialized in terms of their activities. Nearly all higher status households were also among its least wealthy. In contrast, its most specialized households—especially those engaged in stone tool production—tended to be

among the community's wealthiest. Only a very few of these, however, also appear to have enjoyed higher than average social standing.

These findings suggest two separate but co-extant social hierarchies in Hongshan society: one based on the accumulation of wealth via economic specialization, the other based on something else – perhaps ritual authority. Thus, although economic specialization contributed to community coalescence, and to the creation of wealth differentials at Fushanzhuang, it cannot be said to have exclusively underwritten the development of social hierarchy there.

Poon Ming-kay. Ph.D. The Chinese University of Hong Kong (People's Republic of China), 2006.

A Study of Yan Shigu's Commentary on the Hanshu. UnM: AAT 3240973.

Yan Shigu's commentary on the *Hanshu*, which was enhanced by its detailed annotations, was regarded by the editors of the *Siku quanshu* as a great contribution to the *Hanshu*. Scholars have set great store by its stylistic rules and its explanations and commentaries on the meanings of words, but their investigations always leave much to be desired. This thesis aims at accounting for the prominence and popularity of Yan Shigu's commentary by comparing it with the Three Commentaries on the *Shiji*.

Chapter One focuses on the commentaries on the *Shiji* and the *Hanshu* before the Tang dynasty. Since the publication of the *Shiji*, the book has drawn the attention of scholars and became prevalent during the Six Dynasties. According to the *Suishu* dynastic bibliography, the two *Tangshu* and Sima Zhen's postface to his *Shiji suoyin*, there are altogether 19 commentaries by 17 commentators in the Tang dynasty (including the Three Commentaries on the *Shiji*). *Hanshu* is well known for its abstruseness. That is why Zheng Zhao of the Three Kingdoms had to pass on his interpretation through *jiafa* (school discipline), and numerous scholars devoted themselves to the annotation of the book. Yan Shigu in his *xuli* (foreword) to the *Hanshu* stated that there were 23 early commentaries. As commentators of the *Shiji* and the *Hanshu* often mixed up early commentaries on the two, and some scholars commented on them both, the commentaries on the *Shiji* and the *Hanshu* were inter-woven.

Chapter Two discusses the stylistic rules of the Three Commentaries on the *Shiji*, and tries to add supplementary notes to Cheng Jinzao's views on the Three Commentaries. To begin with, the Three Commentaries were published separately. It was not until the Yuanfeng period of the Northern Song that the *Shiji* was printed with its three commentaries: the *Jijie* (Collected Explanations), the *Suoyin* (Guiderope to Obscurities), and the *Zhengyi* (Correct Meaning). Zhu Dongrun in his *Shiji kaosuo*

elaborated the stylistic rules of the Three Commentaries, but there is still room for improvement. Cheng Jinzao is probably correct in saying that the *Jijie* explained the text of the *Shiji*, whereas the *Suoyin* built up its explanation on the basis of the *Jijie*, and the *Zhengyi* further built up its on the bases of the *Jijie* and the *Suoyin*. However, Zhu and Cheng both neglected the relationship between the Three Commentaries on the *Shiji* and Yan Shigu's commentary on the *Hanshu*. This chapter attempts to fill this gap by examining closely the relationship between the two.

Chapter Two also introduces the stylistic rules of Yan Shigu's commentary, and reviews the influence of family members on him. As a great contributor to the *Hanshu*, Yan Shigu's commentary surpasses his precursors. Since Yan Shigu was the grandson of Yan Zhitui, author of the *Yanshi jiaxun*, and nephew of Yan Youqin, author of the *Hanshu queyi*, it is only natural that his family had a profound influence on his commentary.

Chapter Three compares the chapters common to the *Shiji* and the *Hanshu* and investigates the differences between the Three Commentaries on the *Shiji* and Yan Shigu's commentary on the *Hanshu*. The *Shiji* is a history of China from the days of the mythical Yellow Emperor down to the author's own time, viz. the end of the second BC. Whereas the *Hanshu* describes the history of the Western Han dynasty, beginning with the early life of its founder Liu Bang in about 210 BC, and ending with the fall of Wang Mang in AD 23. In the "Biography of Zhang Fu" of the *Jinshu* the achievements of the two books were compared in the light of the numbers of characters used. In the Song dynasty, Ni Si published his *Ban-Ma yitong* (A comparison of Sima Qian's *Shiji* and Ban Gu's *Hanshu*). From then on, the similarities and differences of the two historical works became a popular topic in academic circles. Although scholars paid attention to the study of the texts, the commentaries remained neglected. Contemporary Korean scholar Park Chai-u made a comparison of the chapters on the Han in the *Hanshu* with those in the *Shiji*. However, he did not make any research on both the texts and the commentaries. This chapter examines the relationship among Pei Yin, Yan Shigu, Sima Zhen, and Zhang Shoujie through a comparison of the *Shiji* and the *Hanshu*. As the two works have more than 60 chapters in common, this thesis puts emphasis on the textual problems of the texts of the two books, as well as the difference between their commentaries.

Chapter Four discusses the quotations from the Classics (*jing*) in Yan Shigu's commentary. The *Hanshu* is so abstruse that scholars were tempted to interpret it; hence, so many commentaries were published. Till the Tang dynasty, the study of the *Hanshu* became one of the three major studies, with the other two being the *San Li* (i.e. *Zhouli*, *Yili*, *Liji*)

and the *Wenxuan*. Ban Gu tended to imitate scholars of the past in his writings, and as the Han dynasty was an era of classical studies, he often cited from the Classics in his *Hanshu*. Yan Shigu also cited from the Classics. His quotations fall into two categories: (1) quotations from the Classics in the text of the *Hanshu* which Yan Shigu tried to interpret; (2) quotations from the Classics for an explanation of the meanings of the text. This chapter also investigates Yan's quotations from the Classics, including the *Shijing*, the *Shangshu*, the way he cited, as well as the versions of Classics he used.

Chapter Five compares Yan Shigu's commentary on the *Hanshu* with Li Shan's commentary on the *Wenxuan*. According to Zhai Yi's *Nian'er shi zhaji* (Critical Notes on the Twenty-two Histories), the study of *San Li*, *Hanshu* and *Wenxuan* drew tremendous attention in the early era of the Tang dynasty. As the three books were the centre of study, many scholars made commentaries on them. According to Zhang Fu, in dealing with the same subject, the number of characters used by the *Hanshu* was much more than that of the *Shiji*. The reason is due to the fact that the *Hanshu* frequently quoted essays pertaining to statecraft, as well as essays which echo the main characters of the biographies. The *Wenxuan* contains more than 700 pieces of prose and verse written by 129 authors from the period of the Han through the Liang dynasties. It includes 29 pieces of prose of the Western Han dynasty with commentaries by The Five Officials (that is Lü Yanji, Liu Liang, Zhang Xian, Lü Xiang, Li Zhouhan) and Li Shan. This chapter tries to explore the differences and similarities of the commentaries of Yan Shigu, the Five Scholars, and Li Shan.

Chapter Six treats the quotations of Tang encyclopedias (*leishu*) from *Hanshu* commentaries. *Leishu* are reference books consisting of excerpts from primary sources. The excerpts are on a broad range of subjects arranged under various headings. The *leishu* are valuable to the historian because works which have long since been lost have often been preserved in whole or in part in the *leishu*. *Leishu* compiled in the Tang such as the *Qunshu zhiyao*, the *Yiwen leiju*, and the *Chuxue ji*, all have quotations from *Shiji* and *Hanshu* commentaries. This chapter inspects the textual and explanatory mistakes of the commentaries through a study of Tang *leishu*.

Finally, in the appendixes, the chapters common to the *Shiji* and the *Hanshu* are set out, and the Three Commentaries and Yan Shigu's commentary are compared and contrasted.

Wang, Haicheng. Ph.D., Princeton University, 2007.

Writing and the State in Early China in Comparative Perspective. UnM: AAT 3273536.

This dissertation is a comparative study of the uses of writing in the early state. To obtain a fresh perspective on the evidence for early writing from China, it looks at how the ideological and administrative needs of the early state were met in five other regions of the world—Mesopotamia, Egypt, the Maya lowlands, Central Mexico, and the Andes. What role did writing play in royal legitimation? In the state administration? In the rise and development of the state as an imagined community? States in Central Mexico and the Andes, which did not employ writing, help us to grasp the power of writing by showing what was involved in doing without it. Although the cross-cultural comparisons made here discover differences, on balance it is the similarities that seem most striking. Differences of culture do not seem to entail major differences in the state's uses for writing. Text types and practices that specialists think of as typically Chinese prove to be local forms of widespread phenomena, not peculiarities of early China but characteristics of early state societies.

Wells, Matthew. Ph.D. University of Oregon, 2006.

To Die and Not Decay: Autobiography and the Pursuit of Immortality in Early China. UnM: AAT 3224131.

This thesis is a discussion of Chinese autobiographical prose from the early Han dynasty to the early medieval period, focusing primarily on the authorial postface of Ge Hong (283–343), a scholar and government official best known for his seminal work, *Baopuzi*. This dissertation examines Ge Hong's autobiographical work within the context of Chinese literary and intellectual history and considers the extent to which literary subjectivity in early China was determined by historical, intellectual, and generic demands rather than a concern for ostensible fidelity to lived experience. Ge Hong's approach to autobiography challenges many commonly held assumptions about self-narrative and suggests that early Chinese texts might provide a new perspective on a genre traditionally dominated by Western texts and theory.

Yao, Alice. Ph.D. University of Michigan, 2008.

Culture Contact and Social Change along China's Ancient Southwestern Frontier, 900 B.C.–100 A.D. UnM: AAT 3305113.

This dissertation examines culture contact, imperialism, and social change along the southwestern frontier of ancient China from 900 B.C.–A.D. 100. Using archaeology and textual sources to investigate dimensions

of cross-cultural interaction between indigenous tribal societies and the Han Empire, this research develops models for understanding variable trajectories of culture change in the ancient world beyond frameworks of acculturation, persistence and resistance. The Bronze Age societies of my research, traditionally referred to as the Dian culture, occupy the Yunnan/Guizhou plateau, which hosted the 'Southwest Silk Road' linking China and mainland Southeast Asia. Through an examination of mortuary ritual at two major Bronze Age cemeteries from the Qujing Plateau in Yunnan, this dissertation showed how the construction of personal identity and group affiliation in funerary symbolism shifted from the pre-contact period to the post-conquest period. Local response to Han incorporation was highly dependent on existing structures of vertical and horizontal differentiation, which internally mediated and constrained the kind of culture change. Contrary to the patterns of sinicization explicit in historical texts, this study showed that culture change was not a unitary phenomenon and likely to be differentially configured at the personal, communal and regional level. In the mortuary domain, existing consumption patterns adopted Han technologies and materials by evaluating its commensurability within native regimes of value. The reconstruction of existing Bronze Age funerary rituals provided a more comprehensive framework to innovatively explain the formation of composite cultural practices in the ancient world.

Zhang Liangren. Ph.D., University of California, Los Angeles, 2007.
Ancient Society and Metallurgy: A Comparative Study of Bronze Age Societies in Central Eurasia and North China. UnM: AAT 3272340.

This dissertation advances a new trajectory of early social evolution and a new understanding of the role of metallurgy in this evolution. Essentially it raises the following three propositions. (1) The community as a kin group and a residential group is the basic social unit and an autonomous agent in political, economic, and cultural spheres; (2) The path of early social evolution is that the inter-community differentiation at the tribal stage transforms into the inter-community stratification at the chiefdom and state stages; (3) Metal production as a form of economy is a major force driving the rise of the inter-community differentiation. To test the three propositions, archaeological data pertaining to Bronze Age societies in Central Eurasia and the Late Shang kingdom in North China are subjected to a detailed analysis. The similarities and differences between the two regions are taken to enlighten the two primary issues.

The first and second propositions are proved to be valid. Individual communities are highly visible in archaeological data from both Central

Eurasia and the Late Shang kingdom. They express their cultural characteristics in various ways, in settlement plan, cemetery layout, burial rites, and artifact styles. In both Central Eurasia and the Late Shang kingdom, social differentiation exists among communities and within communities and the inter-community differentiation is the primary one. But while social differentiation is spontaneous and rudimentary in Central Eurasia, it is institutionalized in the Late Shang kingdom. Thus the Central Eurasian societies are ascribed to the tribal stage and the Late Shang kingdom to the state stage. The common community-based social organization yet contrasting developmental stages in the two regions ascertain that early social evolution occurs when the inter-community differentiation at the tribal stage transforms into the inter-community stratification at the chiefdom and state stages.

The third proposition is not entirely valid. In both Central Eurasia and the Late Shang kingdom, metallurgy does not explain social differentiation at all levels, but it does explain it in a general sense. In Central Eurasia it accounts for the inter-community differentiation at the cross-regional scale. Communities in the ore-rich sub-regions generally rank higher than those in the ore-deficient ones. Communities in the Eastern Urals sub-region, a sub-region blessed with the highly demanded polymetallic ores, accrue greater wealth than their counterparts in the other sub-regions by engaging in metal production and trade of copper ingots, and metal artifacts. In the Late Shang kingdom, the royal house maintains its supreme status by controlling bronze foundries and metalworking communities.