

# History 332

## History of Early China

*The fish trap exists because of the fish; once you've gotten the fish you can forget the trap.  
The rabbit snare exists because of the rabbit; once you've gotten the rabbit you can forget the snare. Words exist because of meaning; once you have the meaning you can forget the words.  
Where can I find a man who has forgotten words so I can have a few words with him?*  
-Zhuangzi

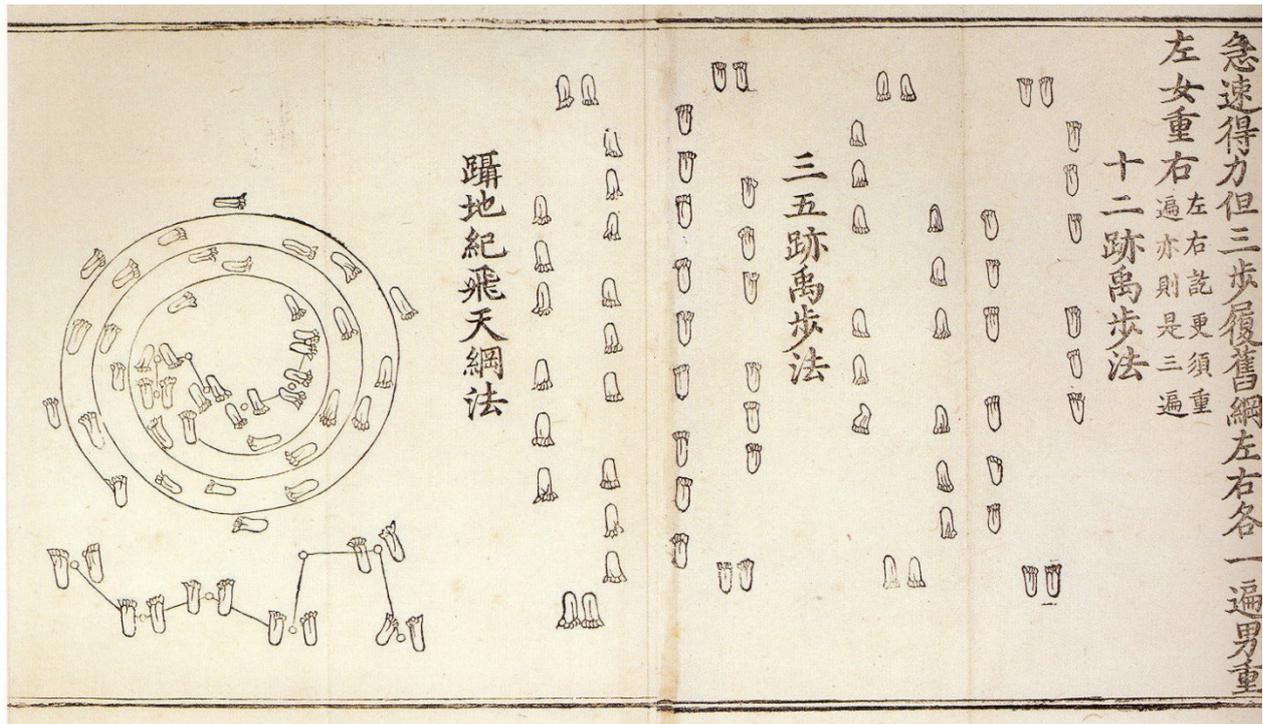


Diagram of The Pace of Yu, a ritual dance used in Daoist magic

This class deals with the creation of “China”. Or to be more technical, the creation of the Early and Middle Empire and the social, economic and cultural systems that went with them. Part of the class will deal with the age of the philosophers, part with the creation of the Empire under the Qin and Han, and part with the age of disunion and China's relationship with the 'barbarian' world, from nomadic invaders to Buddhist monks. This is a particularly fun period to study in part because this is one of your few chances to look at the origins of an entirely different civilization and the questions they asked and answered about how humans should live in society. This course is as much about the origins of a culture as about the origins of a political system, so we will be reading a lot of philosophy as well as some poetry, fiction, and history. Many of the primary sources for the period have also been translated into English. This is a writing intensive course.

**Professor Alan Baumler** Office 304M HSS. Phone 7-4066. E-mail [baumler@iup.edu](mailto:baumler@iup.edu). Office Hours MWF 8:30-9:00, 10-11 and 12:15-1:15. and by appointment  
The syllabus and pretty much everything you will need for the class are on D2L

**Our books** These are really important. They are all written by people who know way more about these topics than I do. Twenty years from now the things you will remember most from your college education are the books you really read.

Lewis, Mark Edward. *Sanctioned Violence in Early China*. Albany: State University of New York Press, 1989.

This is not really a textbook, it is a monograph that looks at one theme, violence, through the first part of this class. We will be using it as a general introduction to the things that mattered most to the Chinese elite during the transition from the aristocratic society of the Zhou to the centralized empire of Qin and Han.

Li An, *The Essential Huainanzi*. Translated by John Major, Sarah Queen, Andrew Seth Meyer, and Harold Roth. New York: Columbia University Press, 2012.

This is a Han dynasty work that attempts to sum up all of classical Chinese philosophy for the benefit of the ruler. It will thus be our main reading on Chinese thought.

\*The same group also translated the entire *Huainanzi*. Both the full version and this shorter version are available as e-books from the library\*

Mollier, Christine. *Buddhism and Taoism Face to Face: Scripture, Ritual, and Iconographic Exchange in Medieval China*. Honolulu: University of Hawaii Press, 2009.

The most monograph-y of our books. This looks at religion in the age of disunion and at the relationship between Buddhism and Daoism through a series of case studies.

\*The full text of this is available as an e-book from the library\*

### **Class schedule and readings**

This will be more or less the schedule we will follow, although I may get a bit ahead or behind. There are readings each week, and you will usually have to do the readings from the main texts and one or more of the others. I would like to make this a discussion-based class, but that depends on you doing the reading. To do well on the exams and other assignments you will need to rely on the readings and your class notes. These two things tend to relate to each other. If you have not done a careful job with the readings you will not be able to fully understand what we are doing in class. Taking notes in class is the most important way of thinking about what we are doing. Most days I will start the class by asking what the main things we learned last time were. If you can't glance at your notes and answer that question you are probably doing something wrong.

**8/27 Weeks 1 and 2 (includes Labor Day week) Defining "China"** we will begin by reading the first bit of Patricia Ebrey *China: A Cultural, Social, and Political History* Boston: Houghton Mifflin, 2005, so that everyone will have a general idea what we will be looking at in this class. When you take a US history class most students know that the Civil War is coming, but most of you don't know the broad outlines of early Chinese history, and this reading should help a lot.

Each of you will write select some ID terms from this book. On history exams you often have to answer ID questions, meaning that the professor gives you a name, event, or term and you write a paragraph or so explaining what this thing is and **-why it is important-**. When a teacher writes an exam they need to pick out names, events or terms that are significant

enough that a student could write a paragraph about it, but not so broad that it would be impossible to answer it properly in a paragraph.

For this assignment I would like each of you to pick three ID terms from the Ebrey reading that you think would work exam questions. These will be due on D2L by noon on Labor Day. Each of you will then pick two terms chosen by your fellow students (or by me, I will post some too) to write answers for by Friday.

Along with your answers to the ID questions, I would like you to include two research paper topics you might like to do. You don't have to do the research paper option, but if you did, what topics might you pick? Pick things that you find interesting and that you would be able to deal with in a 15-page research paper with the sources available to you.

**9/10 Week 3 Shang and Zhou- From archeology to history** We will start with Anyang, the first capital of historical "China", and look at how this society worked and above all the importance of family and the ancestors in creating political legitimacy.

Readings from the *Book of Documents*. (Also called the *Book of History* 尚書, 書經) This is one of the "Five Classics", and while many of the "historical" documents it contains are much later compositions than they claim to be, these two probably do date to the early Zhou. If you are not getting enough Documents in this class you can find the rest of the text, and a lot of other stuff, on Chinese Text Project. <https://ctext.org/>

*The Announcement to Kang*

*The Metal-Bound Coffin* These are both on d2l

-Keightley, David N. "The Making of the Ancestors; Late Shang religion and its Legacy" in Keightley, David N. *These Bones Shall Rise Again : Selected Writings on Early China*. Albany: SUNY Press, 2013. This is available as an e-book from the library. You may also like to look at some of the other things in the volume

-Min, Li. "Ji'nan in the First Millennium B.C.: Archaeology and History." *Journal of the Economic and Social History of the Orient* 46, no. 1 (January 1, 2003): 88–126. doi:10.2307/3632805. This is available on JSTOR

**Each of you will do an analysis of one of our primary or secondary sources. Guidelines for this are on D2L**

-You also need to pick if you are doing Option A or Option B for your grade this week. There are a number of intermediate assignments for the research paper option, and if you fail to turn in any of them on time you will be dropped into Option A.

**9/17 Week 4 Spring and Autumn and the warrior aristocracy** In the Zhou we start to see the rise of a new elite class, the *shi*. This is one of the key transitions in Chinese history, and we will look at these people and their families, what they did and how they justified it.

Lewis *Sanctioned Violence* Chapter One "The Warrior Aristocracy"

-Readings from the *Book of Songs* Songs is also one of the "Classics." These are the songs/poems that a member of the elite class was expected to know.

**9/24 Week 5 Framing classical philosophy** We will look at the rise of the centralized state and the start of the Age of Philosophers that it led to.

-Lewis *Sanctioned Violence*, Chapter Two “The Warring State” and Chapter Three “The Art of Command”

-If you feel you are not getting enough Lewis in this class you can also read the chapter “Writing the Masters” from Lewis, Mark Edward. *Writing and Authority in Early China*. Albany, SUNY Press, 1999.

-Yuri Pines “The Rise of the Shi” *Envisioning Eternal Empire: Chinese Political Thought of the Warring States Era*. University of Hawai'i Press, 2009

**10/1 Week 6 The Ru and Confucius** Confucius is pretty famous, and rightly so. We will look at him and the early *ru* (especially Mencius and Xunzi), and the what a school of thought was at this point.

-A good part of *Huainanzi* is influenced by Confucianism, Read chapters 7, 10, 11, and 19  
-Selections from Confucius and Mencius. These are the sections I went through in class, but if you want them here they are.

-“A Radical Reaction: Mo-tzu” from Graham, A.C. *Disputers of the Tao: Philosophical Argument in Ancient China*. Open Court, 1999

-Xunzi on Ritual

Xunzi is probably the easiest of the Confucians to work with, as he writes full essays.

-Lu Buwei on Music

Lu Buwei's *Spring and Autumn* is a sort of philosophical encyclopedia

**10/8 Week 7 Daoism and Wizards** This is where we will look at all the non—*ru* thinkers and the creation of a Chinese cosmology and system of intellectual debate.

-Read *Huainanzi* Chapters 1 and 2 – These will give you a good feel for Laozi and Zhuangzi. Chapter 6 explains resonance.

-Lewis, *Sanctioned Violence*, Chapter Six “The Natural Philosophy of Violence”

-“Han Feizi” From Van Norden, Bryan W. *Introduction to Classical Chinese Philosophy*. Indianapolis: Hackett, 2011. (we may not get to this till next week.)

-Donald Harper "Warring States Natural Philosophy and Occult Thought" from Loewe and Shaughnessy eds. *The Cambridge History of Ancient China: From the Origins of Civilization to 221 B.C.* Cambridge 1999. This is long and weird, but if you want to read it, here it is.

**Each of you will write an analysis of one of the primary or secondary sources we have done over the last two weeks.**

**-Topic statement and working bibliography due for research paper, if you are doing option B.**

**10/ 15 Week 8 Legalism, and the Qin and Han states** China's first imperial states were important not only as the outcome of the Warring States debates on politics but also for creating the basic structure of Chinese political life for the next several centuries. This week we will be looking at the new empire from the ruler's point of view.

*Huainanzi* has a lot of stuff on how to run the empire. Read 8, 9, 10, 13 and 15

Lewis, *Sanctioned Violence*, Chapter four “Cosmic Violence” and five “The Social History of Violence” note that these are the last two chapters of Lewis, so if you have not done it yet, you will need to turn in a chapter analysis next Monday.

-“A Magic Army for the Emperor” from Ledderose, Lothar. *Ten Thousand Things: Module and Mass Production in Chinese Art*. Princeton: Princeton University Press, 2001.

**10/22 Week 9 The Han Elite** Elite of the Han and their relationships with the state and each other. We will look at what an elite family was and what they did, focusing particularly on the role of women.

Read the remainder of the *Huainanzi* other than 20

-Selections from McMahon, Keith. *Women Shall Not Rule: Imperial Wives and Concubines in China from Han to Liao*, 2013.

-Michael Nylan "Administration of the Family" from Nylan, Michael, and Michael Loewe. *China's*

*Early Empires: a Re-appraisal*. Cambridge: Cambridge University Press, 2010.

-“Sex, Politics, and Ritualization in the Early Empire” from Goldin, Paul Rakita. *The Culture of Sex in Ancient China*. University of Hawaii Press, 2001.

-David R. Knechtges "Court Culture in the Late Eastern Han: The Case of the Hongdu Gate School" in Chan and Lo eds. *Interpretation and Literature in Early Medieval China* SUNY, 2010.

**10/29 Week 10 Han peasants, agriculture and the South** So far we have focused on the elite and the North, but by the late Han China's population was starting to shift to the South and non-elites were starting to become much more significant in the historical record.

Finish *Huainanzi*

-“Socioeconomic Order” from Holcombe *In the Shadow of the Han* Hawaii, 1994

-“Celestial Masters” from Robinet *Taoism: The Birth of A Religion* Stanford, 1997

**-First chunk of research paper due.**

**11/5 Week 11 Steppe and sown China's relationship with outsiders** Although plenty of accounts treat the Central States as the source of all culture in East Asia, the process of cultural exchange between China and its neighbors was actually a lot more complex than that.

-Part of the *Introduction* from Strassberg, Richard E. *A Chinese Bestiary: Strange Creatures from the Guideways through Mountains and Seas*. Berkeley: University of California Press, 2002.

-Pines, Yuri “Beasts or Humans: Pre-Imperial Origins of the Sino-Barbarian Dichotomy” in Amitai, Reuven, and Michal Biran. *Mongols, Turks, and Others Eurasian Nomads and the Sedentary World*. Leiden; Boston: Brill, 2005.

-Cosmo, Nicola Di. “Han Frontiers: Toward an Integrated View.” *Journal of the American Oriental Society* 129, no. 2 (April 1, 2009): doi:10.2307/40593813.

-Account of the Xiongnu, from Sima Qian's *Shiji*. This is the most famous of the Standard Histories

**11/12 Week 12 Politics and culture of disunion** The Chinese elite managed to get along surprisingly well in the period between the Han and the Sui, despite the lack of a universal empire, and in many respects this period was the most important one we will cover in terms of creating Chinese culture.

- "Circling the Tree Thrice: Lord, Vassal, Community" from Tian, Xiaofei. *The Halberd at Red Cliff: Jian'an and the Three Kingdoms*. Cambridge: Harvard University Asia Center, 2018.

This will be our main reading, but you might also want to look at...

- "Scholarship and the State" from J. Michael Farmer *Talent of Shu: Qiao Zhou and the Intellectual World of Early Medieval Sichuan* SUNY 2007.

- "Development" from Andrew Chittick *Patronage and Community in Medieval China: The Xiangyang Garrison, 400-600 CE* SUNY 2009

- "Character Appraisal " and "Formation of the Wei-Chin Spirit" from Qian Nanxiu *Spirit and Self in Medieval China: The Shih-shuo hsin-yu and Its Legacy* Hawaii, 2001

**-First draft of research paper due**

**11/26 Week 13 The Buddhist conquest of China** Buddhism, and the changes it led to in indigenous Chinese ways of thinking about things, was the most important foreign influence on China before the introduction of Marxism

Read Mollier

**12/3 Week 14 Glory of Tang** The Sui and Tang rulers managed to synthesize all the aspects of a disunited China into a single system.

- "Urban Life" from Lewis, Mark Edward. *China's Cosmopolitan Empire: The Tang Dynasty*. Cambridge: Belknap, 2009.

- "The Glory of Tang" and "Men" from Edward H. Schafer *The Golden Peaches of Samarkand: A Study of Tang Exotics* Berkeley: University of California Press, 1963.

**Final research paper due 12/12**

### **How the class will work**

There are two major options for your grade in this class, the regular option (Option A), or the research paper option (Option B). You will need to pick one of these early in the semester.

### **Option A**

**-Quizzes 40%** Basically everything you do in the class that is not one of the three short papers or the final exam. We will have frequent on-line discussions and assignments, and it is important to keep up with these, as they are a major part of your grade. At various points I will be asking you to write short analysis papers on our readings. Some of these are primary sources, some are secondary. Guidelines for both sorts of paper are on D2L.

Each quiz assignment is worth points, and at the end of the semester I will add up all the points and set the highest amount anyone got as 100% of this category.

- **Three short book papers. 10% each.** Each of you will write three short papers analyzing one or more chapters or sections of one of our three books. Guidelines for this are on d2l. You can choose which chapters you want to analyze, but the paper is due the Monday after we discussed that chapter in class.
- **Final Exam 30%** This will partially a take-home exam, and partially an in-class exam on the final exam day. There is no mid-term as such, but we will do various mid-term like assignments as part of your quiz grade.

### **Research paper option (Option B)**

If you like, you can substitute a research paper for the final exam. This is a good option for anyone who is thinking of going on to graduate school, or who wants to present their work at something like the Pittsburgh Asia Consortium conference. Guidelines for this are on D2L.

### **Grading Scale**

90%+ =A  
 80-89.999% =B  
 70-79.999% =C  
 60-69.999% =D  
 60% or less =F

**Attendance policy**-- You are expected to come to class every day, but the point is not just to come to class, but to come having done your reading and being ready to talk about it. That said there is no penalty for not coming to class besides the fact that you will not learn anything. If you are not in class it is your responsibility to get the notes from a fellow student and find out what we did and be ready for any upcoming assignments.

-All work is due on the date announced. Almost all assignments are turned in on d2l. Without a medical or other official excuse quiz assignments cannot be turned in late. Other assignments (book papers, major essays) may be turned in late, but unexcused late work will be marked down one grade a day (90 becomes 85, etc.)

**Writing statement** -The History Department commits itself to developing the writing skills of students throughout the curriculum. In this class, you will complete writing assignments and activities designed to improve your ability to communicate in written formats.

**Academic dishonesty**-- All students are required to abide by the University's policies on Academic Integrity, as found in the catalog.

**Indiana University of Pennsylvania and its faculty are committed to assuring a safe and productive educational environment for all students. In order to meet this commitment and to comply with Title IX of the Education Amendments of 1972 and guidance from the Office for Civil Rights, the University requires faculty members to report incidents of sexual violence shared by students to the University's Title IX Coordinator. The only exceptions to the faculty member's reporting obligation are when incidents of sexual violence are communicated by a student during a classroom discussion, in a writing assignment for a class, or as part of a University-approved research project.**

**Faculty members are obligated to report sexual violence or any other abuse of a student who was, or is, a child (a person under 18 years of age) when the abuse allegedly occurred to the Department of Human Services (1-800-932-0313) and University Police (724-357-2141).**

**Information regarding the reporting of sexual violence and the resources that are available to victims of sexual violence is set forth at: <http://www.iup.edu/social-equity/policies/title-ix/>**