CHAOS AND ONE HUNDRED SCHOOLS

"The means whereby a ruler of men encourages the people are office and rank; the means whereby a country is made prosperous are agriculture and war."

Shang Yang (c. 390-338 BCE)

Introduction

Our discussion of classical civilizations will begin in China. Classical civilization built upon the achievements of the river-valley civilizations and lasted from about c. 1000/500 BCE to about 500 CE. Innovations of these classical civilizations included the creation of empires with a larger geographic range, the extension of a common culture and the expansion of commercial activity. This period also witnessed the application or creation of modes of thought that would serve as the foundation for future civilizations. After completing this section and the textbook reading you should be able to do the following:

- Compare and contrast Confucianism, Daoism, and Legalism.
- Identify the factors that allowed China to achieve imperial unity under the Qin and Han dynasties.
- Explain how and why Confucianism became state orthodoxy under the Han.
- Explain the rise and impact the Silk Road had on trade.

I. Three Dynasties Under Heaven

A. Written records explain that the first kingdom established in China was the Xia (c. 2000-1500 BCE).

Map 325m01

1. Historians argue that the Xia Dynasty introduced hereditary monarchy into the region.

Image 325i01: Yu - Founder of the Xia Dynasty

2. Unfortunately, no written records from the Xia Dynasty have survived to the present.

3. Today, knowledge about the Xia is derived from two sources: the archeological record and from historical works such as Sima Qian's (145-89 BCE) *Records of the Grand Historian*.

Image 325i02: Excavations at Yangchen/Zhenzhou

B. The Shang (Yin) Dynasty (c. 1600-1045 BCE) is the first historical dynasty of China. Scholars believe that this dynasty served as a model for future generations.
1. The Shang ruled by royal lineage. The title of ruler appears to have been passed from brother to brother before being passed to the next generation from father to son. Shang rulers presided over the religious, political, and social world of their kingdom.

2. The origin of China's writing system has been traced to the Shang Dynasty.
   a) Shang characters were first written on oracle bones as different concerns (military campaigns, harvests, administrative instructions, etc...) were divined and recorded on turtle shell or animal bone.
   b) Over 150,000 of these fragments have been uncovered. Over 4000 different characters have been identified. Of these, close to 1500 have been deciphered. These inscriptions served as the foundation for the Chinese written language. Over time, writing on oracle bones would give way to writing on bamboo slips, silk scrolls, wooden plates and paper (1st century CE).
   c) Kings, such as the twenty-first Shang king named Wu Ding (c. 1200-1181), divined about a wide range of matters thus providing historians with details of day to day concerns and activities of rulers.

3. The Shang state network consisted of hundreds of walled towns in hierarchical interrelationship with economic resources moving between these towns.
   a) Like with other early civilizations, society in China became highly stratified with ruling families at the top.
   b) Chinese society, like others we have examined, took on patriarchal characteristics with males heading the household. The head of the family acted as
the intermediary between the departed ancestors and the living family. The veneration of ancestors was a main focus of the early Chinese tradition. Although the spirits of departed ancestors entered another realm, it was believed that they still could impact surviving families.

**Image 325i04: Shang Vessel**

c) The vast majority of the population was made of peasants who served the upper stratum of society and cultivated a variety of crops. These included millet, wheat, beans and rice. The cultivation of land appears to have been done collectively. There appears to be no evidence of private ownership (serfs?) of land.

4. The archaeological record shows that trade routes were well in place in China's early history. These routes connected China with peoples and civilizations to the west. Chinese pottery, for example, has been found in the Indus valley.

C. The decline of the Shang Dynasty was brought about by one of its vassal states, Zhou. After successfully defeating the Shang, the Zhou began to issue proclamations explaining why the defeated should submit to their new rulers. Their arguments appealed to Mandate of Heaven (*tianming*).

**Map 325m02**

1. Mandate of Heaven equated politics with moral conduct. This right to rule was commissioned from heaven.

   a) Specifically, it charged "good" men with rulership so long as they demonstrated piety, rightness, and wisdom in their rule.

   b) If men failed to rule in this way, Heaven can then elect a new family to replace them.

**Reading the Past**

*Overbearing from the Classic of Odes*

Overbearing is the high god, he gives his rules to folk below. Perilous, the high god's power, many the rules within his Charge. Heaven bore the teeming folk, his Charge cannot be trusted. All men begin well, but few can keep it to the end. King Wen said, Woe! Woe upon you, Yin and Shang! You have been the harsh oppressor, you have been grasping and crushing. You have been in the places of power, you have held the functions. Heaven sent recklessness down in you, and you rise by acts of force. King Wen said, Woe! Woe upon you, Yin and Shang! Cling to right and seemliness--much hate comes back from harshness. Loose words are given as answers, plunder and pillage are in the center. They rise up, they speak curses, Without ceasing, without close. King Wen said, Woe! Woe upon you, Yin and Shang! You have roared in the heartland, you draw wrath as your Power. You shed no light from your Power, so none stand at your back or side. Your Power sheds no light, so none will stand with you and serve. King Wen said, Woe! Woe upon you, Yin and Shang! Heaven does not swill you with wine, you chase and choose things not right. You have overstepped in your behavior, unable to
tell darkness from the light. You howl and you shout, and would have daylight be as night. King Wen said, Woe! Woe upon you, Yin and Shang! You are like locusts, like grasshoppers, like froth, like the soup that simmers. Things great and small draw to destruction, you men still follow this way. You have domineered in the heartland, and it spreads all the way to Gui-fang. King Wen said, Woe! Woe upon you, Yin and Shang! Not the high god who is not good--Yin does not act as it did of old. And though it has no wise old men, still it has its sanctions and codes. Never have you heeded these, and the Great Charge is overthrown. King Wen said, Woe! Woe upon you, Yin and Shang! There is a saying among men: When a tree falls and is torn from earth, there is yet no harm to boughs and leaves--the roots meet ruin first. Yin's mirror lies not far away, it is there in the reigns of the lords of Xia.

Questions for analysis: What insights do these fragments give us about the decline of Shang leadership? How do the Zhou bring legitimacy to their actions and their rule? What political precedent do you believe the Mandate of Heaven sets for future dynasties in China?

2. An inherent weakness of the Zhou political system was that it promoted decentralization.

   a) The Zhou established a fief/principalities system in which family members were granted political power over domains. Fiefs/principalities were also granted to other important aristocratic families.

   b) Overtime, principalities established their own power base. With time, Zhou leadership would be challenged.

   c) However, under the Zhou we see the rise of professional bureaucrats referred to as shi (men of service). They served as scribes, clerks, advisors, and overseers to the Zhou state.

3. The beginning of the end for the Western Zhou came with the invasion of a nomadic people from the steppes.

   a) The Zhou capital of Hao was overwhelmed and its ruler was forced to move the court to Luoyang in the east.

   b) The introduction of iron metallurgy is believed to have contributed to the decline of the Zhou as opposition in principalities were armed with the new technology.

   c) This initiates the Eastern Zhou period (c. 770-256 BCE). The Spring and Autumn (c. 770-476 BCE) period witnessed large territorial states struggling to fill the void left by the Zhou in the west. This period eventually gave way to the Warring States Era (c. 475-221 BCE). During the Warring States Era seven states fought for leadership of "China" as the Zhou continued to decline. Of these states, the Qin would succeed in establishing China's next dynasty.

Map 325m03
d) This chaos stimulated what is referred to as the Age of Hundred Schools. As we shall see in the future, two of the most influential "philosophical/political" systems to develop during the Age of Hundred Schools would be Legalism and Confucianism.

II. Chaos and Hundred Schools

A. As noted above, China witnessed political, economic, and military chaos with the decline of the Zhou Dynasty. Warfare would be endemic during this period as different states vied for power.

1. Clearly, under these conditions, all strata of society suffered. Public works were neglected as challengers to the Zhou devoted their resources on the survival of their kingdoms.

2. These conditions brought about the search for philosophical remedies. We will explore some of these remedies through the Confucianism, Daoism and Legalism.

B. One scholar who responded to this crisis was Confucius (Master Kung the Sage: c. 551-479 BCE). Sources indicate that he was born in the state of Lu into a family of the lower nobility.

Image 325i07: Confucius

1. Like many thinkers, he explored the cause of disorder during his time.

   a) He also sought audience with different rulers hoping to serve as an advisor.

   b) Although not immediately, his teachings would eventually "be woven into the fabric of an entire culture as perhaps its most persistent pattern."

   c) The Analects (selections/conversations/Greek work analekta) is the fundamental source for "understanding the thought of Confucius and the traditions to which he subscribed." His followers compiled the Analects.

2. The thought attributed to Confucius served as the ideological foundation of the Chinese state as it oriented conduct, thought, and relationships.

   a) The Records of the Grand Historian explains that, "In the time of Confucius, the power of the Chou (Zhou) Emperors had declined, the forms of worship and social intercourse (ritual and music) had degenerated, and learning and scholarship had fallen into decay. Confucius studied the religious or ceremonial order and historical records . . . Therefore, Confucius handed down a tradition of historic records and various records on ancient customs . . . Confucius taught poetry, history, ceremonies, and music to 3,000 pupils . . . ."

   b) The majority of the conversations recorded in the Analects focus on the "practicalities of interpersonal relationships, personal cultivation in the context of those relationships, and the relationship of personal cultivation on the part of rulers and ministers to the conduct of government."
3. Throughout the *Analects*, Confucius discusses the conduct of the *junzi* (gentleman, superior man or noble man), a man whose nobility is derived from personal commitment and a developed moral power.

   a) Among the kinds of conduct Confucius associated with this "moral" nobility were filial devotion, humaneness and ritual decorum.

   b) Ingrained in these thoughts were both behavioral rules and expectations of what a *junzi* should be like.

   c) Filial devotion, humaneness, and ritual decorum also formed part of Confucius's views on government.

C. In similar fashion to Confucianism, Daoism developed during the endemic chaos that struck early China.

1. Its founder is believed to have been a sage known as Laozi (5th cent. BCE?) who wrote one of the core texts referred to as *Daodejing* or *Laozi*.

   a) The other core text for Daoism is the *Zhuangzi* (4th-3rd Cent BCE).

2. The teaching of *Laozi* is based on a great underlying principle, the Way, or *Dao*.

   a) The Dao is "the source of all being, the governor of all life, human and natural, and the basic, undivided unity by which all the contradictions and distinctions of existence are ultimately resolved."

   b) These teachings provided a philosophy of government and a way of life.

   c) The basis for a stable and enduring social order was living a spiritual life based on the Dao and not on the power of the state or institutions constructed by humans.

3. Daoist also taught "living and surviving by conforming with the natural way of things; they called their approach to action *wuwei* (no-action), action modeled on nature."

<table>
<thead>
<tr>
<th>Reading the Past</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Daoism</strong></td>
</tr>
</tbody>
</table>

1. Tao

The Tao that can be known is not Tao.
The substance of the World is only a name for Tao.
Tao is all that exists and may exist;

The World is only a map of what exists and may exist.
One experiences without Self to sense the World,
And experiences with Self to understand the World.
The two experiences are the same within Tao;
They are distinct only within the World.
Neither experience conveys Tao
Which is infinitely greater and more subtle than the World.

4. Properties of Tao
Tao is a depthless vessel;
Used by the Self, it is not filled by the World;
It cannot be cut, knotted, dimmed or stilled;
Its depths are hidden, ubiquitous and eternal;
I don't know where it came from;
It came before Nature.

10. Love
Embracing Tao, you become embraced.
Supple, breathing gently, you become reborn.
Clearing your vision, you become clear.
Nurturing your beloved, you become impartial.
Opening your heart, you become accepted.
Accepting the World, you embrace Tao.
Bearing and nurturing,
Creating but not owning,
Giving without demanding,
Controlling without authority,
This is love.

14. The Continuity of Tao
Looked at but cannot be seen - it is beyond form;
Listened to but cannot be heard - it is beyond sound;
Grasped at but cannot be touched - it is beyond reach;
These depthless things evade definition,
And blend into a single mystery.
In its rising there is no light,
In its falling there is no darkness,
A continuous thread beyond description,
Lining what can not exist,
Its form formless,
Its image nothing,
Its name mystery,
Meet it, it has no face,
Follow it, it has no back.
Understand the past, but attend the present;
In this way you know the continuity of Tao,
Which is its essence.

16. Transcending Nature
Empty the Self completely;
Embrace perfect peace.
The World will rise and move;
Watch it return to rest.
All the flourishing things
Will return to their source.
This return is peaceful;
It is the way of Nature,
An eternal decay and renewal.
Understanding this brings enlightenment,
Ignorance of this brings misery.
Who understands Nature's way becomes all-cherishing;
Being all-cherishing he becomes impartial;
Being impartial he becomes magnanimous;
Being magnanimous he becomes part of Nature;
Being part of Nature he becomes one with Tao;
Being one with Tao he becomes immortal:
Though his body will decay, Tao will not.

17. Rulers

The best rulers are scarcely known by their subjects;
The next best are loved and praised;
The next are feared;
The next despised:
They have no faith in their subjects,
So their subjects become unfaithful to them.
When the best rulers achieve their purpose
Their subjects claim the achievement as their own.

D. A third school of thought to emerge was Legalism. In contrast to Confucianism that emphasized rule by example, Legalism stressed government by law as a way to create a strong centralized state.

1. Legalism reached its apex with the writings of Han Fei-zi (280-233 BCE). We will discuss Legalism in the section immediately below.

III. The Qin Dynasty (221-207 BCE) and Legalism

A. The Qin Dynasty (221-207 BCE) established the first centralized state in China.

1. The Qin state was one of seven states contending for power during the demise of the Zhou Dynasty.

2. The success of the Qin and their eventual rise to power is attributed to their innovation and forceful manner of ruling.

3. The Qin subscribed to Legalism in their search of political and social order

B. The most notable of the Legalist were Shang Yang (c. 390-338 BCE) and Han Feizi (c. 280-233 BCE). Both served as advisors to the Qin.
1. For Legalist, the foundation of a sound state rested on clear laws, agriculture and war. Shang Yang explained that, "The way to administer a state well is for the laws regulating officials to be clear; one does not rely on men to be intelligent and thoughtful. The ruler makes the people single-minded so they will not scheme for selfish profit. . . The state depends on agriculture and war for its peace, and likewise the ruler, for his honor. Indeed, if the people are not engaged in agriculture and war, it means that the ruler loves words and that the officials have lost consistency of conduct. If there is consistency of conduct in officials, the state is well governed . . . ."

2. Through the efforts of Shang Yang, the Qin state initiated a series of reforms in conquered territories that both solidified Qin power, and undermined feudalistic (aristocrats) nature of Zhou government.

   a) Fundamental to these reforms was liberating the serfs from aristocratic control. Shang Yang believed this could be achieved by granting serfs land and thus converting them into peasants.

   b) Shang Yang made peasants the foundation of the economic and military power of the Qin state.

   c) The end result was that peasants could be taxed and could be called upon (conscription) to serve in the military, or on building projects.

3. The Legalist principles of government were both harsh and pragmatic. Legalists relied on laws to advance the interest of the Qin state. Severe punishments were issued when laws were broken.

   a) As Shang Yang's *The Book of Lord Yang* explained, "if there are severe penalties that extend to the whole family, people will not dare, and as they dare not try, no punishments will be necessary . . . ."

   b) Han Fei-zi also documented his views on how the Qin state should be administered. Below is a selection composed by Han Fei-zi. After you analyze this source, be sure to address the questions below:

   **Reading the Past**

   **Han Fei-zi**

   When a sage governs a state, he does not rely on the people to do good out of their own will. Instead, he sees to it that they are not allowed to do what is not good. If he relies on people to do good out of their own will, within the borders of the state not even ten persons can be counted on [to do good]. Yet, if one sees to it that they are not allowed to do what is not good, the whole state can be brought to uniform order. Whoever rules should consider the majority and set the few aside: He should not devote his attention to virtue, but to law.

   If it were necessary to rely on a shaft that had grown perfectly straight, within a hundred generations there would be no arrow. If it were necessary to rely on wood that had grown perfectly round, within a thousand generations there would be no cart wheel. If a
naturally straight shaft or naturally round wood cannot be found within a hundred generations, how is it that in all generations carriages are used and birds shot? Because tools are used to straighten and bend. But even if one did not rely on tools and still got a naturally straight shaft or a piece of naturally round wood, a skillful craftsman would not value this. Why? Because it is not just one person that needs to ride and not just one arrow that needs to be shot. Even if without relying on rewards and punishments there would be someone doing good out of his own will, an enlightened ruler would not value this. Why? Because a state's law must not be neglected, and not just one person needs to be governed. Therefore, the skilled ruler does not go after such unpredictable goodness, but walks the path of certain success.

When Confucians of the present time consul rulers, they do not praise those measures that will bring order today, but talk only of the achievements of the men who brought order in the past. They do not investigate matters of bureaucratic system or law, or examine the realities of villainy and evil, but spend all their time time telling tales of the distant past and praising the achievements of the former rulers. No ruler with proper standards will tolerate them. Therefore the enlightened ruler works with facts and discards useless theories. He does not talk about the deeds of humanness and rightness, and he does not listen to the words of scholars.

These days, whoever does not understand how to govern will invariably say: "Win the hearts of the people." If winning the hearts of the people is all that one needs in order to govern, a Yi Yin or a Kuan Chung would be useless. Listening to the people would be enough. But the wisdom of the people is useless: They have the minds of little infants! If an infant's head is not shaved, its sores will spread, and if its boil is not opened, it will become sicker. Yet while its head is being shaved and its boil opened, one person has to hold it tight so that the caring mother can perform the operation, and it screams and wails without end. Infants and children don't understand that the small pain they have to suffer now will bring great benefit later.

Likewise, if the people are forced to till their land and open pastures in order to increase their future supplies, they consider their ruler harsh. If the penal code is being revised and punishments are made heavier in order to wipe out evil deeds, they consider their ruler stern. If light taxes in cash and grain are levied in order to fill granaries and the treasury so that there will be food in times of starvation and sufficient funds for the army, they consider their ruler greedy. If it is required that within the borders everybody is familiar with warfare, that no one is exempted from military service, and that the state is united in strength in order to take all enemies captive, the people consider their ruler violent. These four types of measures would all serve to guarantee order and peace, yet the people do not have the sense to welcome them. Therefore one has to seek for an enlightened [ruler] to enforce them.

Questions for analysis: How does Han Fei-zi portray the masses? What opinions does he have about Confucians? What does he believe makes an effective ruler? Why do you suppose that the Qin did not make Confucianism their state ideology, but instead turned to Legalism?

C. Qin Shihuangdi (r. 221-210 BCE) was China's first emperor and established the Qin Dynasty. It was under his leadership that centralization in China reached new levels.
1. Shihuangdi ruled from his capital at Xianyang. Sima Qian's *Record of the Grand Historian* gives us insights into the accomplishments of China's first emperor: "In his twenty-eighth year the August Emperor made a new beginning. He adjusted the laws and regulations, standards for the ten thousand things. In the east he toured the eastern lands, inspecting their officers and men, and when his tasks were grandly completed, he gazed down on the sea. All under heaven are of one mind, single in will. Weights and measures have a single standard, words are written in a uniform way. He rectifies diverse customs, crossing rivers, traversing the land. He erases doubt and establishes laws, so all will know what to shun. Local officials have their respective duties; order is achieved with ease. Decisions are certain to be just, none not clear as a drawing."

**Image 331i01: Weight**

a) One of the most important public works Shihuangdi initiated was the construction of the Great Wall (linked a series of earlier walls).

**Image 331i02: Great Wall**

b) Road systems 50 paces wide and canal systems were also built for transportation of troops and goods.

2. Writing was systematized to deal with the regional scripts that developed after the fall of the Shang dynasty. Bureaucratic positions were no longer permitted to be hereditary and they were assigned to the most qualified individuals.

**Image 331i03: Soldiers**

3. Shihuangdi also tried to standardize thought. In 213 BCE, Shihuangdi ordered the burning of books and the execution of scholars.

   a) A memorial on the burning of books explains, "In earlier times the empire disintegrated and fell into disorder, and no one was capable of unifying it. . . . Everyone cherished his own favorite school of learning and criticized what had been instituted by the authorities. But at present your Majesty possesses a unified empire . . . . And yet, these independent schools joining with each other criticize the codes of laws and instructions. . . . Your servant suggests that all books in the imperial archives, save the memoirs of the Qin, be burned. . . . Anyone referring to the past to criticize the present should together, will all members of his family, be put to death. . . . After thirty days from the time of issuing the decree, those who have not destroyed their books are to be branded and sent to build the Great Wall. Books not to be destroyed will be those on medicine and pharmacy . . . and agriculture and arboriculture."

IV. The Han Dynasty (202 BCE-220 CE) and Confucianism

A. The burden of Qin innovations eventually took their toll and brought the demise of China's first centralized state. The *Han History* (c. 32-92 CE) specifically noted that the Chinese population was exhausted by the policies of the Qin. It records that, "The Ch'in dynasty was without the True Way. It increased taxation to supply itself with services. It exhausted the people's strength in order to take its desires to the extreme. It destroyed the system of sages . . ."
Consequently, the Qin was a very short-lived dynasty. However, it left for the Han dynasty infrastructure needed to continue promoting centralization.

Liu Bang (Gaozu) founded the Han Dynasty. Although of humble origins, Bang would rise to become the Han's first emperor.

The Records of the Grand Historian describes Bang in the following way: "In the first month of 202 BCE the various nobles and generals all joined in begging Liu Bang to take the title of Exalted Emperor . . . His followers replied, 'Our great king has risen from the humblest beginnings to punish the wicked and violent and bring peace to all . . . '

Bang abolished many of the restrictions enforced by the Qin. For example, he abolished controls on travel, education and thought. He also lowered taxes.

It should be noted, however, that Bang did retain from the Qin conscription for military service, forced labor for public works such as roads and canal building, and state imposition of uniform weights and measure, currency, and script.

One historian has defined China's transformation under the Han in the following way: "The passage from the Qin to the Han was not just an ordinary dynastic change, but a political and intellectual transition that involved a redefining of imperial and polity ideology, a settlement that lasted for two thousand years." The Han accomplished this transition by using Confucianism as the official state ideology while still retaining Legalist views about punishment and rewards. Early in his reign Bang established the precedent of using Confucian scholars as advisors.

It was Dong Zhongsu (c. 195-105 BCE), however, that was most responsible for advancing Confucian orthodoxy at the Royal Court.

Zhongsu suggested that a government college be established. In 124 BCE, such a college was established. By the end of the Han dynasty up to 34,000 were enrolled in this college.

It was from this system that the Han bureaucracy would be recruited. Students had to pass an examination system before becoming part of the civil service.

Under the Han, the Confucian Classics would be recovered and become part of the education system. During the Zhou Dynasty, the Five Confucian Classics were compiled. These works became a reference point for future Chinese writers and would become part of the "university" curriculum.

The Classic of Changes: compiled over an extended period of time, this is a divination text.

Classic of Documents or Classic of History: this text includes announcements, counsels and speeches made by rulers and important officials all the way through the early Zhou period.
c) Classic of Odes or Classic of Poetry: this work includes an anthology of 300 poems that date back to the early Zhou period.

d) Rites: a collection of texts that cover philosophical pronouncements as well as rules for conduct of every day life.

e) Spring and Autumn Annals: a chronicle of the events impacting the state of Lu from 722 to 481 BCE.

3. Works such as the Classic of Filiality were studied. Here is a sample of what scholar-Officials (Shi) would read, "As one serves one's father, one serves one's mother, drawing on the same love. As one serves one's father, one serves one's prince, drawing on the same reverence. The mother draws upon one's love, the prince upon one's reverence. Therefore if one serves one's prince with the filiality one shows to one's father, it becomes the virtue of fidelity (loyalty). If one serves one's superiors with brotherly submission it becomes virtue of obedience. Never failing in fidelity and obedience, this is how one serves superiors.

C. Wudi (r. 147-87 BCE) was one of the most important of the Han rulers.

1. Under his leadership the Han Dynasty extended its sphere of influence into Central Asia.

   a) This expansion was both economically and militarily motivated.

   b) In 139 BCE, Wudi sent Chang Ch'ien to search out allies against the Hsuing-nu (Huns?). Ch'ien would be gone for 10 years. Upon his return, Ch'ien reported on the trade that took place outside of the Han scope of influence.

   c) The Han, needing horses and seeking to regulate trade leaving China, began to expand into Central Asia.

2. It was during the Han Dynasty that the Silk Road took off.

   **Map 325m05**

   a) The Silk Road crossed through the following regions/cities: Chang'an (Han capital) - Mongolia - Turkestan - Taklamakan Desert (Tarim Basin) - Kashgar - Bractia - Palmyra (Syria). Part of the Silk Road forked off towards Taxila (India)

3. Did the Mediterranean world know about China? Although there were never formal diplomatic relationships between ancient Rome and China, attempts at contact seemed to have been made.

   a) In 97 CE, Kan Ying was sent by Han rulers to contact Ta Ch'in (Eastern Roman Empire).

   b) Roman coins (Marcus Aurelius Antoninus: r. 161-180 CE) have been found in Cambodia. In fact, the Romans knew about China and called it Seres. In the *History of the Liang* (502-557 CE) there are recordings of eastern Roman merchants visiting the East.
4. The Silk Road became a conduit for not only the exchange of goods, but also for the exchange of ideas.

a) For example, Buddhism made use of the Silk Road as it expanded in an eastward direction.

b) Christianity reached China by the 7th century through the Silk Road.

V. The Analects

A. Below are some the analects of Confucius. As you analyze them, be sure to address the following questions:

1. How do the Analects describe/define the following: humanness, gentleman, rites, education, and government.

2. What purpose do humanness, education, rites, and becoming a gentleman serve society?

3. According to the Analects, what is the ultimate purpose of government?

4. One historian argues, "Confucius's thought was fundamentally moral, ethical and political in character. It was also thoroughly practical: Confucius did not address abstruse philosophical problems of his day. In an age when bureaucratic institutions were not yet developed, Confucius believed that the best way to promote good government was to fill official positions with individuals who were both educated and extraordinarily conscientious." Based on your reading of the Analects, do you agree with this statement? Why?

Jen (Humaneness)

XII.22: Fan-ch'ih asked about jen. The Master said, "It is to love all men." He asked about knowledge. "It is to know all men." Fan ch'ih did not immediately understand these answers. The Master said, "Employ the upright and put aside all the crooked; in this way, the crooked can be made to be upright."

VII.29: The Master said, "Is humaneness a thing remote? I wish to be humane, and behold! humaneness is at hand."

VI.28: Tzu-kung said, "Suppose I put the case of a man who extensively confers benefits on the people, and is able to assist everyone, what would you say about him? Might he be called perfectly humane?" The Master said, "Why speak only of humaneness in connection with him? Must he not have the qualities of a sage? . . . Now the man of perfect humaneness, wishing to be established himself, seeks also to establish others; wishing to be enlarged himself, he seeks also to enlarge others. To be able to judge of others by what is nearby in ourselves, that is what we might call the art of humaneness."

XV.23: Tzu-kung asked, saying, "Is there one world which may serve as a rule of practice for all one's life?" The Master said, "Is not reciprocity such a word? What you do not want done to yourself, do not do to others."
XIV.36: Someone said, "What do you say concerning the principle that injury should be recompensed with kindness?" The Master said, "With what then will you recompense kindness? Recompense injury with justice, and recompense kindness with kindness."

VII.15: The Master said, "With coarse rice to eat, with water to drink, and my bended arm for a pillow; I still have joy in the midst of these things. Riches and honors acquired by inhumanity are to me as a floating cloud."

IV.25: The Master said, "Virtue is not left to stand alone. He who practices it will have neighbors."

XV.8: The Master said, "The determined scholar and the man of virtue will not seek to live at the expense of humanity. They will even sacrifice their lives to preserve their humanity."

VII.6: The Master said, "Let the will be set on the path of duty. Let every attainment in what is good be firmly grasped. Let perfect virtue be accorded with. Let relaxation and enjoyment be found in the polite arts."

The Superior Man (chün-tzu)2

XX.3: The Master said, "Without recognizing the ordinances of Heaven, it is impossible to be a superior man (chün tzu)."

XV.17: The Master said, "The superior man in everything considers righteousness to be essential. He performs it according to the rules of propriety (li ). He brings it forth in humility. He completes it with sincerity. This is indeed a superior man."

XV.31: The Master said, "The object of the superior man is truth, not food. . . . The superior man is anxious lest he should not get truth; he is not anxious lest poverty should come upon him."

IV.16: The Master said, "The mind of the superior man is conversant with virtue; the mind of the base man is conversant with gain."

IV.5: The Master said, "Riches and honors are what men desire. If they cannot be obtained in the proper way, they should not be held. Poverty and baseness are what men dislike. If they cannot be avoided in the proper way, they should not be avoided. . . . The superior man does not, even for the space of a single meal, act contrary to virtue. In moments of haste, he cleaves to it. In seasons of danger, he cleaves to it."

XV.20: The Master said, "What the superior man seeks, is in himself. What the mean man seeks, is in others."

XII.4: Ssu-ma Niu asked about the superior man. The Master said, "The superior man has neither anxiety nor fear." "Being without anxiety or fear!" said Ssu-ma, "does this constitute what we call the superior man?" The Master said, "When internal examination discovers nothing wrong, what is there to be anxious about, what is there to fear?"

XIV.24: The Master said, "The progress of the superior man is upwards; the progress of
the mean man is downwards."

XVI.8: Confucius said, "There are three things of which the superior man stand in awe. He stands in awe of the ordinances of Heaven. He stands in awe of great men. He stands in awe of the words of the sages. The mean man does not know the ordinances of Heaven, and consequently does not stand in awe of them. He is disrespectful to great men. He makes sport of the words of the sages."

XIV.29: The Master said, "The superior man is modest in his speech, but exceeds in his actions."

XV.18: The Master said, "The superior man is distressed by his want of ability. He is not distressed by men not knowing of him."

XV.21: The Master said, "The superior man is dignified, but does not wrangle. He is sociable, but not partisan."

XVII.24: Tzu-kung asked, "Has the superior man his hatreds also?" The Master said, "He has his hatreds. He hates those who proclaim the evil of others. He hates the man who, being in a low station, slanders his superiors. He hates those who have valor merely, and are unobservant of propriety (li ). He hates those who are forward and determined, and, at the same time, of contracted understanding."

XVI.10: Confucius said, "The superior man has nine things which are subjects with him of thoughtful consideration. In regard to the use of his eyes, he is anxious to see clearly. In regard to the use of his ears, he is anxious to hear distinctly. In regard to his countenance, he is anxious that it should be benign. In regard to his speech, he is anxious that it should be sincere. In regard to his doing of business, he is anxious that it should be reverently careful. In regard to what he doubts about, he is anxious to question others. When he is angry, he thinks of the difficulties his anger may involve him in. When he sees gain to be got, he thinks of righteousness."

XIX.9: Tzu-hsia3 said, "The superior man undergoes three changes. Looked at from a distance, he appears stern; when approached, he is mild; when he is heard to speak, his language is firm and decided."

XV.36: The superior man is correctly firm, and not merely firm.

Li (Rites )

III.3: The Master said, "If a man be without the virtues proper to humanity, what has he to do with the rites of propriety? If a man be without the virtues of humanity, what has he to do with music?"

VIII.2: The Master said, "Respectfulness, without the rules of propriety, becomes laborious bustle; carefulness, without the rules of propriety, becomes timidity; boldness, without the rules of propriety, becomes insubordination; straightforwardness, without the rules of propriety, becomes rudeness."

III.4: Lin Fang asked what was the first thing to be attended to in ceremonies. The Master said, "A great question, indeed! In festive ceremonies, it is better to be sparing than
extravagant. In the ceremonies of mourning, it is better that there be deep sorrow than a minute attention to the observances."

III.26: The Master said, "High station filled without indulgent generosity; ceremonies performed without reverence; mourning conducted without sorrow—wherewith should I contemplate such ways?"

XI.1: The Master said, "The men of former times, in the matters of ceremonies and music, were rustics, it is said, while the men of these latter times, in ceremonies and music, are accomplished gentlemen. If I have occasion to use those things, I follow the men of former times."

III.17: Tzu Kung wished to do away with the offering of a sheep connected with the inauguration of the first day of each month. The Master said, "Tzu Kung, you love the sheep; I love the ceremony."

Learning and Teaching
IX.4: There were four things from which the Master was entirely free. He had no foregone conclusions, no arbitrary predeterminations, no obstinacy, and no egotism.

XVII.2: The Master said, "By nature, men are nearly alike; by practice, they get to be wide apart."

XVI.9: Confucius said, "Those who are born with the possession of knowledge are the highest class of men. Those who learn, and so readily get possession of knowledge, are the next. Those who are dull and stupid, and yet compass the learning are another class next to these. As to those who are dull and stupid and yet do not learn—they are the lowest of the people."

VII.8: The Master said, "I do not open up the truth to one who is not eager to get knowledge, nor help out any one who is not anxious to explain himself. When I have presented one corner of a subject to any one, and he cannot from it learn the other three, I do not repeat my lesson."

IV.9: The Master said, "A scholar, whose mind is set on truth, and who is ashamed of bad clothes and bad food, is not fit to be discoursed with."

VIII.12: The Master said, "It is not easy to find a man who has learned for three years without coming to be good."

XII.15: The Master said, "By extensively studying all learning, and keeping himself under the restraint of the rules of propriety, one may thus likewise not err from what is right."

IX.18: The Master said, "The course of learning may be compared to what may happen in raising a mound. If there want but one basket of earth to complete the work, and I stop, the stopping is my own work. It may be compared to throwing down the earth on the level ground. Though but one basketful is thrown at a time, the advancing with it is my own going forward."

XIV.47: A youth of the village of Ch'üeh was employed by Kung to carry the messages
between him and his visitors. Someone asked about him, saying, "I suppose he has made
great progress." The Master said, "I observe that he is fond of occupying the seat of a
full-grown man; I observe that he walks shoulder to shoulder with his elders. He is not
one who is seeking to make progress in learning. He wishes quickly to become a man."

XIV.25: The Master said, "In ancient times, men learned with a view to their own
improvement. Nowadays, men learn with a view to the approbation of others."

XV.29: The Master said, "To have faults and not to reform them--this, indeed, should be
pronounced having faults."

IX.28: The Master said, "The wise are free from perplexities; the virtuous from anxiety;
and the bold from fear."

Government

II.7: Tzu-kung asked about government. The Master said, "The requisites of government
are that there be sufficiency of food, sufficiency of military equipment, and the
confidence of the people in their ruler." Tzu Kung said, "If it cannot be helped, and one
of these must be dispensed with, which of the three should be foregone first?" "The
military equipment," said the Master. Tzu Kung again asked, "If it cannot be helped and
one of the remaining two must be dispensed with, which of them should be foregone?"
The Master answered, "Part with the food. From of old, death has been the lot of
humanity; but if the people have no faith in their rulers, there is no standing for the state."

XII.14: Tzu-chang asked about government. The Master said, "The art of governing is to
keep its affairs before the mind without weariness, and to practice these affairs with
undeviating consistency."

XII.19: Chi K'ang-tzu asked Confucius about government, saying, "What do you say to
killing unprincipled people for the sake of principled people?" Confucius replied, "Sir, in
carrying on your government, why should you use killing at all? Let your evinced desires
be for what is good, and the people will be good. The relation between superiors (chün-
tzu) and inferiors is like that between the wind and the grass. The grass must bend, when
the wind blows across it."

XIII.6: The Master said, "When a prince's personal conduct is correct, his government is
effective without the issuing of orders. If his personal conduct is not correct, he may issue
orders, but they will not be followed."

VII.10: The Master said to Yen Yuen, "When called to office, undertake its duties; when
not so called, then lie retired . . . Tzu-lu said, "If you had the conduct of the armies of a
great state, whom would you have to act with you?" The Master said, "I would not have
him to act with me, who will unarmed attack a tiger, or cross a river without a boat, dying
without any regret. My associate must be the man who proceeds to action full of caution,
who is fond of adjusting his plans, and then carries them into execution."

XIV.23: Tzu-lu asked how a sovereign should be served. The Master said, "Do not
impose on him, and, moreover, withstand him to his face."

III.18: The Master said, "The full observance of the rules of propriety9 in serving one's
prince is accounted by people to be flattery."

XI.23: "What is called a great minister,10 is one who serves his prince according to what is right, and when he finds he cannot do so, retires."

XIV.1: Hsien asked what was shameful. The Master said, "When good government prevails in a state, to be thinking only of one's salary. When bad government prevails, to be thinking, in the same way, only of one's salary. That is what is shameful."

IX.13: "When a country is well governed, poverty and mean condition are things to be ashamed of. When a country is poorly governed, riches and honor are things to be ashamed of."

XIV.20: The Master was speaking about the unprincipled actions of the duke Ling of Wei, when K'ang Tzu said, "Since he is of such a character, how is it he does not lose his throne?" Kung Fu-Tzu said, "Chung-shu Yu has the superintendence of his guests and strangers; the litanist, T'uo, has the management of his ancestral temple; and Wang-sun Chia has the direction of the army and forces: with such officers as these, how should he lose his throne?"

ENDNOTES

1 See the introduction above for the meaning of this word. From this point on, I will use "humaneness" or "humanity" or "virtue" to translate this word rather than Legge's "benevolence."
2 Or the "gentleman."
3 This is Pu Shang, a disciple of Confucius and the man primarily responsible for the transmission of the Confucian Classics. He figures prominently in Analects XIX.
4 Li refers to more than just "rites," but also means something like "decorum," "propriety," or "manners," that is, all those traditional, stable and ritualized forms of behavior which govern our day to day conduct. The word does, however, sometimes refer specifically to religious or political rituals.
5 "The virtues proper to humanity" is another way of translating jen .
6 "Rites of propriety" is a translation of li .
7 The "rules of propriety" is another way of translating li .
8 Li and Yüeh.
9 Li
10 That is, a minister or servant to a prince.
11 Or "correct." The meaning of this sentence derives, of course, from the similarities between the word "to govern" and "to correct."