

ACCE - U 1

7/5/98 NMS  
INV C 77

THE FOUNDING OF SOUTHERN SONG CHINA :

THE REIGN OF GAO ZONG, 1127-1162

BY

TAN FOH YUN

A THESIS SUBMITTED IN FULFILMENT  
FOR THE DEGREE OF MASTER OF ARTS

Perpustakaan Universiti Malaya



A507728374

TO THE

UNIVERSITY OF MALAYA



MARCH, 1997

## CONTENTS

TABLE OF CONTENTS	<i>ii</i>
ACKNOWLEDGEMENT	<i>v</i>
GUIDELINES	<i>vi</i>
ABBREVIATIONS	<i>vii</i>
SYNOPSIS	<i>viii</i>
SINOPSIS	<i>xi</i>
MAP	<i>xv</i>
CHAPTER ONE : HISTORICAL BACKGROUND	<i>1</i>
1. The Song Dynasty And Its Policies	<i>1</i>
2. The Downfall Of The Northern Song	<i>8</i>
3. The Enthronement Of Prince Kang	<i>10</i>
CHAPTER TWO : THE EARLY YEARS OF GAO ZONG'S REGIME : INTERNAL POLITICS AND FOREIGN RELATIONS, 1127-1130A.D.	<i>16</i>
1. The Establishment Of The Southern Song	<i>16</i>
2. Location Of The Southern Song Capital	<i>20</i>
3. Invasions Of The Jin	<i>23</i>
4. The Difficulties In The Early Years Of Gao Zong's Reign	<i>30</i>
(i) External Invasions and Internal Rebellions	<i>31</i>
(ii) The Issue of the Legality of Gao Zong's Throne	<i>34</i>
(iii) The Threat of Banditry and Rebellions	<i>37</i>
(iv) The Danger posed by Prince Xin	<i>39</i>
(v) The Importance of Self-preservation	<i>42</i>
(vi) The Rivalry of Liu Yu	<i>44</i>

<b>CHAPTER THREE : INTERNAL ADMINISTRATION AND FOREIGN POLICIES OF THE SOUTHERN SONG, 1131-1141A.D.</b>	<b>47</b>
1. Internal Conditions In Early Southern Song	49
(i) The Rise of Bandits and Their Pacification	49
(ii) The Living Conditions of the Song Populace	52
(iii) The National Finance	53
(iv) The Military Power of the Southern Song	54
2. Situation In The North, 1131-1141	56
3. The Rebuilding of the Southern Song Military Power	71
4. The New Political Crisis	73
<b>CHAPTER FOUR : THE PEACE POLICY OF GAO ZONG</b>	<b>82</b>
1. Reasons For Peace Negotiations	82
2. Principle Versus Reality	87
3. The Treaty of Shaoxing and the Reclaiming of Military Power by Gao Zong	92
<b>CHAPTER FIVE : THE POLICIES OF WAR OR PEACE AND THE CHIEF COUNCILLORS</b>	<b>100</b>
1. The Rise and Fall of Chief Councillors, 1127-1134	101
2. The Zhao-Zhang and Zhao-Qin Co-Chief Councillorships (1135-1138)	111
3. The Sole Chief-Councillorship of Qin Gui, 1138-1155	120

CHAPTER SIX : PEACEFUL CO-EXISTENCE, 1142-1161A.D.	126
1. The Southern Song during the Two Decades of Peace	126
(i) Imperial Power Versus Ministerial Power	127
(ii) Economic Growth	130
(iii) The Long-Reigning Sole Surrogate	136
(iv) Education and the Civil Service Examination System	140
(v) The False Appearance of Prosperity	143
2. The Invasion Of Wanyan Liang In 1161	146
3. The Abdication Of Gao Zong	158
CHAPTER SEVEN : CONCLUSION	165
BIBLIOGRAPHY	175
GLOSSARY	185

## ACKNOWLEDGEMENTS

First and foremost, I wish to thank my supervisor, Associate Professor Dr. Gong Wei Ai for her supervision in the preparation of this thesis. She spent much time patiently going through several drafts of this thesis, and she had given me numerous suggestions for improvement. I am greatly indebted to her for her invaluable guidance.

I would also like to take this opportunity to express my appreciation to the University of Malaya for the granting of scholarship and also the approval of leave due to my special circumstances. My appreciation also goes to the library staff of the University of Malaya, the National University of Singapore, the Hong Kong University and the Chinese University of Hong Kong, for helping me in the searching and assembling of materials.

Special thanks is also due to my best friend, Chan Yein Ning, for spending time in typing the Chinese characters for this thesis. To my husband and my parents, no words can express my appreciation for their support and encouragement throughout the whole process of writing this thesis.

Finally, I would like to thank Madam Loo Sock Hin and Mely dela Cruz for helping me to manage my family during those difficult moments in my life.

# GUIDELINES ON ROMANIZATION AND TRANSLATIONS

1. *Hanyu Pinyin* is used to romanize personal names and place names with the following exceptions:

- (i) actual references, titles and names used by the authors of works in western languages (e.g. Hsiao-Tsung, Sung etc.)
- (ii) Chuzhou 滁州 to distinguish from Chuzhou 楚州  
He Xian 何 薛 to distinguish from He xian 和 县

Tsin 晉 for the dynasty to distinguish from the Jin 金

Wang Lun 王 纶 to distinguish from Wang Lun 王 伦

Zhang Jun 张 俊 to distinguish from Zhang Jun 张 浚

2. The translations of offices are mostly from E.A.Kracke, *Translations of Sung Civil Service Titles* (Paris, 1957). Some exceptions are in the translation of certain terms, e.g. *chengxiang* 丞相 as “chief councillor” and not “grand councillor”.

## ABBREVIATIONS

DLZZ	Dalu Zazhi
IHB	Sanchao Beimeng Huibian
JS	Jin Shi
LCSZ	Huang Song Zhongxing Liangchao Shengzheng
LDZZS	Zhongguo Lidai Zhanzhengshi
SHY	Song Huiyao Jigao
SS	Song Shi
SSBM	Songshi Jishi Benmo
SSYJJ	Songshi Yanjiu Ji
YL	Jianyan Yilai Xinian Yaolu
ZJ	Jianyan Yilai Chaoye Zaji

Full bibliographical information is given in the Bibliography.

In this study, Chinese dates are abbreviated in the following way : 5th/1127 refers to the fifth month of 1127. When the day of the month is important, it is placed first as a cardinal number, e.g. 10/5th/1127 refers to the tenth day of the fifth month of 1127.

## SYNOPSIS

This thesis is a study on Gao Zong and the founding of the Southern Song regime after the fall of its predecessor, the Northern Song to the Jurchen in 1127. It aims to examine what were the factors which made a dynasty that almost vanished continue to survive for another one hundred and fifty three years. The founder of the new regime, Song Gao Zong, had ruled the country from 1127 to 1162. He managed to take some wise steps to secure the nation from falling and in the process, he also restored the dynastic traditions of "strengthening the trunk and weakening the branches" and that of civilian supremacy over the military.

The thesis consists of seven chapters. Chapter One briefly outlines the historical and political setting of the Song Dynasty. It also gives a brief account on the factors which led to the fall of the Northern Song empire and ends with the appearance of Gao Zong on the political scene. Chapter Two is a reappraisal of the events of the Jianyan era (the first four years of Gao Zong's reign) and relates the important developments during this crucial phase of Gao Zong's career. The aggression of the ambitious Jurchen is emphasized to bring out the difficulties which Gao Zong faced in his early years on the throne. These difficulties were to have an influence upon Gao Zong's policies in future years, as discussed in the subsequent chapters.

Chapter Three deals with some aspects of both the internal administration and foreign policies of Gao Zong's regime during the early Shaoxing era. It discusses the internal problem faced by the dynasty in early Southern Song and its external relations with the Jin and Qi. It then focuses on the rebuilding and reconstruction of Southern Song military power in the early Shaoxing years, and then highlights the new political

crisis which had emerged because of the rise of strong and recalcitrant generals during this period.

The fourth chapter examines the reasons for Gao Zong's desire to negotiate for peace. It is noted that the rapid growth of military power in the hands of the generals was deemed by Gao Zong to be a serious disease which was inflicting the country, and was one of the major factors that prompted Gao Zong to seek peace with the Jin as soon as possible. This chapter also touches on the issue of public criticism against the peace policy, which boils down to the question of principle or justice. It is pointed out that looking at the actual circumstances of the time, the policy of peace negotiations appears to be the only realistic solution for Gao Zong's regime.

Chapter Five takes a look at the chief councillors who served under Gao Zong in his entire reign. The rise and fall of these chief councillors was actually the best reflection of the relationship between Song and Jin, for the political fortunes of these top ministers were based upon the national policy with regard to war or peace as decided by the emperor according to the political circumstances of the time. Although Qin Gui was allowed to reign as the emperor's sole surrogate for seventeen years, Gao Zong never really lost control and easily took over the reins after Qin's death.

The sixth chapter gives a critical review of the two decades of peace following the signing of the peace agreement. The seventeen years under the sole chief-councilorship of Qin Gui brought no constructive improvement to the Southern Song, and on the other hand, had brought much negative effect to the dynasty. The prosperity of the dynasty was widely praised by most of the poetic compositions and writings of the time, but when we take a deeper look on the social injustice in the implementation of the economic system, on the abuses that prevailed in education and the civil service examination system, as well as the political measures implemented

during that time, we would note that most of the praises and commendations given to the government of the time merely provided a false appearance of prosperity. The weaknesses mentioned above later led to the invasion of Wanyan Liang, the ambitious Jin monarch, and Southern Song once again came under the threat of its external enemy. This episode had prompted Gao Zong to make the sudden decision to abdicate in favour of his heir, Xiao Zong, in 1162.

Finally, the concluding chapter provides an overall evaluation of the major achievements of Gao Xong during the thirty-six years of his reign. It also refers to his continued control over the government under the reign of his son Xiao Zong. What Gao Zong accomplished during his reign had actually gained more criticism than credit to him. However, it is felt that in putting forth one's criticism, one should also carefully examine the circumstances of the time, to evaluate the situation objectively and not be merely swayed by emotional appeals to principle or patriotism. From an objective point of view, we can conclude that despite the various criticism directed towards him, the fact that Gao Zong managed to salvage his war-torn empire from ruins and gave it a new life was no minor achievement, and therefore he should indeed be given due recognition for his significant contributions to the founding of the Southern Song regime.

## SINOPSIS

Tesis ini adalah satu pengajian mengenai pertubuhan Dinasti Song Selatan China pada tahun 1127. Ia sebenarnya adalah suatu pemanjangan kepada dinasti Song Utara yang telah ditakluki oleh kuasa asing dari utara China, iaitu puak Jurchen. Kita mendapati bahawa sejarah pada zaman ini amat mengagumkan sebab dinasti yang hampir dihapuskan tersebut telah berjaya hidup semula selama seratus lima puluh tiga tahun. Pembina kuasa yang baru tersebut, iaitu Song Gao Zong, telah mentadbir Song Selatan dari tahun 1127 hingga 1162. Beliau telah mengambil langkah-langkah yang arif untuk mengelakkan negaranya daripada ditakluki. Dalam proses berkenaan, beliau juga berjaya untuk melaksanakan semula tradisi dinasti yang mengutamakan sentralisasi pentadbiran dan juga balik semula kepada tradisi yang mana pegawai pentadbiran adalah lebih diutamakan berbanding dengan pegawai tentera.

Tesis ini mengandungi tujuh bab kesemuanya. Dalam Bab Pertama, pengenalan latarbelakang sejarah dan politik Dinasti Song telah diberi. Faktor-faktor yang membawa kepada penamatkan kerajaan Song Utara juga diteliti. Selepas itu Gao Zong telah naik di dalam arena politik sebagai pembina baru kepada kuasa Song. Bab yang kedua pula memeriksa hal-hal ehwal pada permulaan tahun-tahun Jianyan dan juga keadaan politik di bawah pimpinan Gao Zong. Serangan-serangan dari negara Jin yang bercita-cita tinggi telah ditekankan di dalam bab ini, yang mana ia telah mendalamkan kesusaahan yang dialami oleh Gao Zong pada permulaan kehidupan

politiknya. Kami telah mengaji secara teliti kesusahan-kesusahan tersebut, supaya ia boleh menjadi suatu garis bantuan kepada perbincangan seterusnya, tentang polisi-polisi yang dilaksanakan oleh Gao Zong dan sebab-sebab di belakangnya.

Bab Ketiga telah menyeriksa beberapa aspek dari segi pentadbiran dalaman dan polisi terhadap luar negeri yang dianialkan oleh kerajaan Gao Zong pada awal era Shaoxing. Ia berbincang tentang masalah dalaman yang dihadapi oleh dinasti Song Selatan, dan juga perhubungan dengan kuasa-kuasa Jin dan Qi. Perbincangan dalam bab ini memberi banyak perhatian terhadap kuasa tentera yang semakin membangkit, yang kemudiannya telah membawa kepada krasis politik yang baru pada pertengahan tahun-tahun Shaoxing. Bab seterusnya pula membincangkan keinginan Gao Zong untuk mencapai suatu perjanjian damai. Di sini kami memberi suatu gambaran yang jelas tentang pertumbuhan memadak dalam kuasa tentera, yang mana ia telah membuat Gao Zong merasa bahawa ia adalah suatu penyakit yang serius dalam kerajaannya, dan kemudiannya pula telah menjadi suatu faktor utama yang membuat Gao Zong mencari jalan yang tercepat untuk mencapai penyelesaian secara damai dengan Jin. Dalam bab yang sama juga membincangkan tentang kritik-kritik yang perleluasa dari warga Song terhadap polisi damai negara, yang berasaskan emosi moraliti mereka, semasa yang mana penyelesaian yang realistik sekali adalah dengan perundingan damai.

Bab yang kelima telah memeriksa garisan ketua-ketua menteri yang pernah berkhidmat di bawah pentadbiran Gao Zong. Kebangkitan dan kejatuhan seseorang ketua menteri adalah sebenarnya pembayang terbaik tentang perhubungan antara Song dan Jin, yang mana kesemua pertukaran dalam polisi damai atau sebaliknya adalah keputusan yang dibuat oleh Gao Zong sendiri. Seterusnya dalam bab yang sama kami juga dapat lihat bahawa walaupun Qin Gui telah mentadbir selama tujuh belas tahun, tetapi penamatian zaman Qin Gui selepas kematian beliau tidak membawa apa-apa kesusahan kepada Gao Zong untuk mengawal semula dan mengambil alih kuasa-kuasa pentadbiran.

Bab Keenam memberi suatu ulasan dan timbangan secara kritikal terhadap keadaan damai dalam masa dua dekad, selepas menandatangani perjanjian damai dengan Jin. Dalam zaman Qin Gui selama tujuh belas tahun, beliau telah gagal membawa kemajuan yang sebenar kepada negara. Sebaliknya, kesengsaraan telah tertimbul di bawah pentadbiran beliau. Kemajuan dinasti yang dapat dilihat dari permukaan telah disanjungi secara luas oleh ramai penyajak semasa, tetapi setelah menelitiinya dengan berhati-hati, banyak sistem yang dilaksanakan pada masa itu sebenarnya membawa lebih unsur-unsur negatif terhadap negara. Unsur-unsur negatif ini boleh dilihat dari segi perlaksanaan sistem ekonomi, penyelewengan yang berlaku dalam sistem pendidikan dan peperiksaan perkhidmatan awam, dan juga penyelewengan dalam bidang politik. Faktor-faktor yang tersebut di atas, akhirnya

Iah menyebabkan serangan dari Jin di bawah Wanyan Liang, dan sekali lagi Song Iatan hampir jatuh ke dalam tangan orang asing. Penamatan serangan kali ini pula Iah membawa kepada suatu keputusan terkejut dari Gao Zong, di mana beliau telah run dari tahta pada tahun 1162, dan menabalkan Xiao Zong sebagai pentadbir baru pada negara Song Selatan.

Akhir sekali, dalam bab kesimpulan pula, kami telah niemaparkan pencapaian-pencapaian utama oleh Gao Zong dalam kehidupan politiknya selama tiga puluh enam tahun. Pengawalan Gao Zong terhadap maharaja baru, Xiao Zong, juga telah disentuh sini. Fencapaian-pencapaian politik Gao Zong sebenarnya lebih mendatangkan itikan-kritikan yang serius terhadapnya. Walau bagaimanapun, kami berpendapat bahawa kritikan ini perlu dikaji semula, dengan mengambilkira tentang keadaan politik semasa tidak membenarkan keputusan dibuat hanya berdasarkan emosi moraliti dan patriotik sahaja. Secara objektif, kami dapat membuat suatu kesimpulan bahawa, memandangkan sumbangan dan jasa Gao Zong yang penting dalam menyelamatkan dan menghidupkan semula Dinasti Song, suatu pengiktirafan yang berpatutan adalah ajar untuk diberikan kepada beliau.

12TH CENTURY CHINA. CIRCUITS, MAJOR CITIES AND IMPORTANT LOCATIONS

