THE FOUNDING OF SOUTHERN SONG CHINA:

THE REIGN OF GAO ZONG, 1127-1162

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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.
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 何鮮 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
HB    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-councillorship 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 mengandungi tujuh bab kesemuanya. Dalam Bab Pertama, pengenalan latarbelakang sejarah dan politik Dinasti Song telah diberi. Faktor-faktor yang membawa kepada perambatan 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 mereniksa hal-hal awal pada permulaan tahun-tahun Jihanyan 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 meneriksa beberapa aspek dari segi pentadbiran dalaman dan polisi terhadap luar negeri yang dianalkan 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 krisis 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 memdadak 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 penamat zaman Qin Gui selepas kematian beliau tidak membawa apa-apas 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
lah menyebabkan serangan dari Jin di bawah Wanyan Liang, dan sekali lagi Song latan hampir jatuh ke dalam tangan orang asing. Penamatian serangan kali ini pula lah membawa kepada suatu keputusan terkejut dari Gao Zong, di mana beliau telah run dari tahta pada tahun 1162, dan menabarkan Xiao Zong sebagai pentadbir baru pada negara Song Selatan.

Akhir sekali, dalam bab kesimpulan pula, kami telah memaparkan pencapaian-pencapaian utama oleh Gao Zong dalam kehidupan politiknya selama tiga puluh enam hun. Pengawalan Gao Zong terhadap maharaja baru, Xiao Zong, juga telah disentuhi sini. Pencapaian-pencapaian politik Gao Zong sebenarnya lebih mendatangkan itikan-kritikan yang serius terhadapnya. Walau bagaimanapun, kami berpendapat hawa 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, emandangkan sumbangan dan jasa Gao Zong yang penting dalam menyelamatkan dan menghidupkan semula Dinasti Song, suatu pengiktirafan yang berpatutan adalah ajar untuk diberikan kepada beliau.