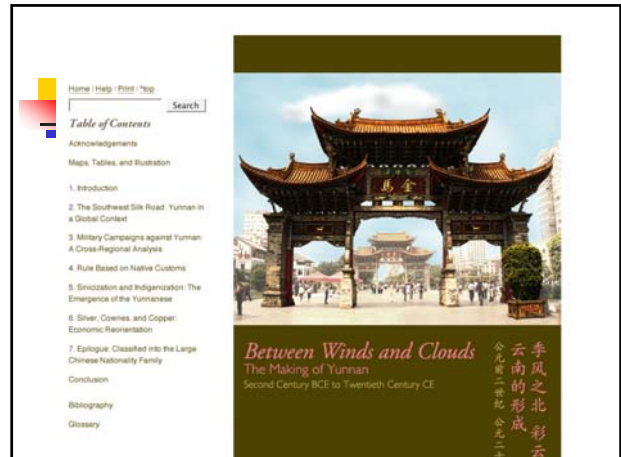


# Between Winds and Clouds: The Making of Yunnan (2nd Century BCE -20th Century CE)

季风之北，彩云之南：云南的形成

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## Chapter 1. Introduction 序言 方法论：作为世界历史的边疆历史 Frontier History as world history

- 问题的提出 The Raise of My Question
  - Yunnan is a special case, a kind of test to which the whole process of Chinese cultural and political expansion can be subjected. It could be seen as the model which further expansion would follow, if or when it becomes politically feasible; or it can be seen as the furthest probable limit of Chinese incorporation of a region formerly non-Chinese.  
-C.P. Fitzgerald
  - Yunnan: the case or the model of Chinese expansion  
云南：中国文明扩张在南方的极限
  - 缺陷 Problems: What about other international players  
忽视了非中国的因素（国际的）；  
What about local players?  
忽视了本地的因素（本身的）
- The theme of my diss. 论文的主题： The formation of Yunnan, or, the process during which Yunnan has become part of China  
云南的形成，也就是，云南如何成为中国的一部分

## 云南和它的世界 Yunnan and its World



## 学术回顾 Literature Review

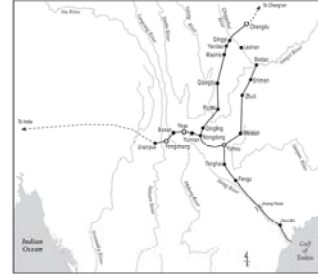
- 云南Yunnan: blank fields in Southeast Asian Studies 东南亚研究的空白
  - Biases in Chinese Studies 中国史研究的盲点  
史前 古代史 Prehistoric or early history: 北方中心论 North-oriented  
近代史 modern Chinese history: 沿海 东部中心论 East or coast-oriented  
族群史 ethnic Studies: chaos in Tibet and Xinjiang 喧嚣论（西藏，新疆）；  
Han-centered 汉族中心论
  - New areas for world history 世界史研究的空白  
文化交流的枢纽和遗产 Yunnan as Cultural interactions  
Its relationship with South, Southeast, and Central Asia?  
云南和南亚，和西藏（中亚）的关系？
- Origin of the title: South of Clouds: relation with China 彩云之南：和中国的关系  
Asia) 季风之北：和东南亚南亚的关系  
目的：把云南置于上述文明之中，把云南放回它原来属于的世界之中  
Aims: to put the land later called Yunnan back to its own world

## Chapter 2:

### The Southwest Silk Road: Yunnan in a Global Context 西南丝绸之路：全球视角下的云南

- Illustrating the crucial role of Yunnan in the cross-regional interactions by conceptualizing the so-called Southwest Silk Road 概要：以西南丝路为切入点，论述云南在跨地区文化交流中的地位；
- 中缅印道 China-Burma-India Road
- 茶马古道 The Tea-Horse Road (Yunnan-Sichuan-Tibet)
- 中越，老，泰交通 China-Vietnam, Laos, and Thailand
- 和北方丝绸之路，海上丝绸之路的关系 the networks of the three Silk Roads
- Case studies: the Horse-Trade (the three-kingdom period and the Dali Period)  
市马：三国时代；大理—南宋时代
- Case Studies: the Cowry Money System in Yunnan 贝币研究  
→ Nanzhao and Dali as the Indian Ocean World

### The Southwest Silk Road: 西南丝绸之路：西南夷时代 a. 2nd Century BCE



### The Southwest Silk Road: the Nanzhao and Dali period (7th-13th c.) 西南丝绸之路：南诏大理时代



### The Southwest Silk Road: the Yuan-Ming-Qing period 西南丝绸之路：元明清时代 13th-19th c.



## Chapter 4: Military Campaigns against Yunnan: A Cross-Regional Analysis 征服云南：跨边界的分析

- The background and reason of the military conquests instead of process 军事征服的背景 而非过程
- 控制贸易？ For the profits of the trade?
- 战略决策 strategic consideration: the unification of China, and the hegemony in East Asia 统一中国，争霸东亚
- Wudi 汉武帝 (140 BC -87 BC)  
the first campaign was for paving the way to conquer the Southern Yue in modern Guangdong and Guangxi; the second was to get a short-cut to Central Asia and complete a grand siege of the Xiongnu people  
第一次出兵是为了征服南越，而后暂时后撤是为了专力事匈奴；接着征服滇国是为了求捷道至中亚，实现包围匈奴的战略

## Romance of the three kingdoms: Nanzhao, Tang China, and Tubo 三国演义：南诏，唐朝，吐蕃

- Nanzhao and Tubo 南诏和吐蕃的联盟 754
- Nanzhao and Tang China 南诏和唐的联盟 793
- Nanzhao's expansion in China and Southeast Asia 南诏在剑南，安南以及东南亚的扩张
- The challenge of Nanzhao: How to write its history 南诏历史的书写：问题和挑战  
东南亚史 和中国史

## The Dali Kingdom大理 937—1253

- Dali and the Northern Song  
大理和北宋的关系  
欲臣不得 欲寇不能（北宋的政策）  
Northern Song: Isolation policy
- 市马The Horse Trade  
北方的压力迫使宋室和大理（长江以南唯一产马的地方）建立贸易关系  
市马司 横山寨

## 大理的灭亡 The End of the Dali

- The Strategy of the Mongols蒙古的世界战略  
长江沿线的成功防御: A siege of the Southern Song  
征服大理包围南宋  
1253—1254  
1279
- The Ming Conquest of Yunnan: to avoid the fate of the Southern Song 明代征服大理: 避免重蹈南宋的覆辙

## Chapter 4: Rule Based on Native Customs 第四章：因俗而治

- The Administrative managements
- The tripod of the Mongol System in Yunnan  
元代云南的三足鼎立: Princes王（云南王和梁王）， Provincial System云南行省（1274 赛典赤）； Native Chieftains大理段氏（土司）

## The reforms in the Ming-Qing Period 明清云南的行政改革

- The establishment of Guizhou Province in 1413分出贵州1413
- The Rise and decline of the Native Chieftain system  
Key: the power of native chieftains came from the state instead of their clans, and ethnicity
- central penetration in Yunnan

## Native Chieftains in the Ming and Qing 明—清云南土司的对比

■ Rank 3a-b	15	1
■ Rank 4a-b	38	15
■ Rank 5a-b	64	31
■ Rank 6a-b	83	51
■ Rank 7a-b	28	85
■ Rank 8a-b	13	8
■ Rank 9a-b	12	30
■ Lower than rank 9b	151	43
■ Ranks unclear	20	9
■ Total	434	273

趋势trend: the figure smaller; rank lower数目减少; 品级减低,  
明代府级, 清代大致在州县以下; 中央政权的渗透

## Chapter 5: Sinicization and Indigenization: The Emergence of the Yunnanese 第五章：中国化与土著化：云南人的形成

- From administrative to demographical, ethnic and cultural transformations前一章论述行政上云南成为中国的一部分, 本章论述族群和文化认同的转变
- Pre-13th c.: Indigenization >> Sinicization 13世纪前的本地人和文化: 汉人流入被本地化（显性）; 本地文化的中国化（隐性）; 标志: 汉晋时代的夷帅和大姓
- Post-13th c.: Sinicization >> Indigenization 13世纪后的中国化: 中国化压倒地方化成为主流;
- Key factors: military colonization; migration关键因素: 军屯和移民
- Migration and localization: the emergence of the Yunnanese 学校, 科举: 云南人的出现
- Implications of the Yunnanese 云南人和中国人的关系  
acceptance of the Chinese rule, Chinese culture, and Chinese identification; the Yunnanese as a local expression and representation of the Chinese people; enriching the dimension of the Chinese, and China as multi-ethnic unit 对中华帝国管辖的认同: 对中国文化的认同: 对中国人的认同: 丰富了中国文化的内涵, 中国人的内涵: 多族群的中国的统一体的形成和发展

## Chapter 6: Silver, Cowries, and Copper: Economic Reorientation

### 第六章：银，贝，铜：云南的经济转型

- From administrative and cultural to economic changes 行政管辖，文化认同到经济转型，相辅相成
- Silver mining during the Ming 明代的银矿开采: the silver monetization of the Ming economy
- The decline of the cowry money system 1660s-1680s 明清之际的贝币 (10世纪到 1660s-1680s): Chinese economic system replaced the Indian one
- The Copper administration in the Qing 清代的铜政

Without the copper supply from Yunnan throughout the 18th c., the Qing prosperity would have been a joke 云南作为中华帝国的边疆服务于帝国的经济，白银有助于明代的经济的银钱化；铜钱代替象征着印度洋经济体系的贝币，表明了云南在经济体系商融入了中华帝国的体系；没有云南的铜矿，康乾盛世根本不可能

#### Key factors: further migration

清代的大量移民，是实现经济转型的基础  
族群人口比例：从平原到山区；从农业到商业和矿业；

## Chapter 7: Classified into the Large Chinese Nationality Family

### 第七章 划入中华民族大家庭

- The Imperial legacy on Modern nation-state building 中华帝国的遗产对现代民族国家建构的影响
- From Imperial subjects to younger brothers within the Chinese nationality family 从帝国的臣民到中华民族大家庭的小弟弟；从地方的视角到中央政府的政策
- The Minzu identification and the neo-tradition of 56 minzu 民族识别和新传统：56个民族56朵花  
五族共和 到56个民族（七十年代末八十年代的产物）

## 本书的缺陷

- 忽视了宗教  
云南的宗教的丰富和复杂  
南诏和大理的佛教
- 忽视了清末：回民起义  
有很多研究，恰恰证实了本书的观点：对中国的认同超越了族群的矛盾和冲突
- 忽视了生态变迁  
瘴 和 蛊毒