


西域歷史語言研究叢書

中國人民大學國學院西域歷史語言研究所主辦  
主編 沈衛榮

秩序與生活：  
中古時期的吐魯番社會

孟憲實 榮新江 李肖 主編

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## 編輯緣起

中國是一個多民族、多元文化的國家，中國的國學應該包括對漢族和漢族文化以外諸民族及其文化的研究。本着這樣的一個理念和共識，中國人民大學國學院成立伊始就積極倡導和組織對中國邊疆民族地區各少數民族的語言、歷史、地理和宗教文化的研究，並着手籌建西域歷史語言研究所。在中國人民大學校方和社會各界的大力支持和推動下，經過一年多的籌備，中國人民大學國學院西域歷史語言研究現已初具規模，茲謹推出《西域歷史語言研究叢書》，以展示本所同人及其師友們的學術成果、學術主張和學術追求，同時亦期望其能夠成爲西域研究的一個國際性的學術平臺，以此來聯絡國內外從事西域研究的專家學者，共同推動西域歷史語言研究的進步和繁榮。

中國人民大學國學院選擇西域歷史語言研究作爲一個重點學科來建設，主要基於以下三點考慮：

第一，西域研究在中國的開展曾與作爲一個民族國家的近代中國的形成具有不可分割的關聯。清末中國受西方殖民主義勢力的侵略，出現了前所未有的邊疆危機。當時相當數量的愛國學者積極投身於“西北輿地之學”的研究，其成果對於中國領土不受瓜分和中國作爲一個民族國家的地位的確立和邊疆疆域的界定發揮了積極的作用。西域研究既然對中國的國家認同和疆域界定有如此重大的意義，它當然應當作爲國學研究的一個組成部分而得到重視。特別是今天，在現代化和全球化的進程中，我們有必要通過對國學研究的倡導來深化對中國和



中國傳統文化的認識和理解，並對其做出更合乎時代的定義，此時對西域和西域文化的研究自然應該繼續成爲國學研究的一項重要內容。

第二，西域研究，特別是西域歷史語言研究是一門關涉多種學科的非常國際化的學問，重視西域歷史語言研究有利於促進我國國學研究的國際化。西域歷史語言研究在西方的中國研究中是一個既具有悠久傳統，又享有崇高學術威望的領域。中國的“西北輿地之學”自清嘉、道以後，就因缺乏新數據、新方法而漸趨衰落，而西方的西域歷史語言研究却因另辟蹊徑而成績斐然。以法國學者伯希和爲代表的一批在西方學術界享有盛譽的漢學、西域研究學者在中國的西北地區，特別是敦煌和吐魯番劫走了大量珍貴的西域古文獻，他們利用歷史語言學的方法，用漢語古音和民族、異國語言互相勘同、比對等方法來處理、解釋這些多種語言的古文獻數據，其成就不但遠遠超出了中國傳統的“西北輿地之學”，而且亦曾在西方中國研究史上寫下了輝煌的篇章。盡管今日世界的中國研究從方法到內容均已日趨多樣化，但西域歷史語言研究依然具有相當大的影響力，是能够凝聚世界各國學者的一個跨學科的學術領域。國學研究的對象雖然是中國，但國學研究的方法、水平、影響應該具有世界性。要使中國的國學研究與世界的中國研究進行有益的對話和交流，真正實現中國學術與國際學術的接軌，我們必須重視和加強中國西域歷史語言研究。

第三，從事西域歷史語言研究對於中國學者來說具有西方學者不可企及的天然優勢，不但數量龐大的有關西域的漢文古文獻是西域歷史、文化研究的堅實基礎，而且西域語言中的大多數是中國國內諸多少數民族同胞依然在使用的活語言。中國學者本應在這個領域大有作爲。令人遺憾的是，中國的西域歷史語言研究雖然於上個世紀前半葉在陳寅恪、王國維、陳垣等一代杰出學者的倡導下有過短期的輝煌，但這個傳統並沒有得到很好的繼承和發展。當王國維、陳寅恪被今天的國人推爲數一數二的國學大師時，中國的西域歷史語言研究遠遠沒有走在世界的最前列。相反，在這個領域的各個子學科中，中國學者擁有話語權者寥寥可數，不少子學科的研究在中國學術界已成或即將成絕學。這樣的局面將阻礙中國學術趕超世界一流水平的進程，更不利於多元文化在中國的同存共榮與和諧發展。有鑒於此，我們積極倡導西域歷史語言研究，激勵中國學者在這個特殊的領域內充分發揮我們潛在的優勢，揚長避短，冀在較短的時間內，縮短與國際一流學術水平間的距離；並以中國人民大學國學院爲基地，培養下一代西域歷

史語言研究人才，重興絕學！

需要說明的是，西域是一個歷史的概念，在不同的歷史時期，西域這一名稱的指域常常發生或大或小的變化。通常說來，西域有廣義和狹義之分，狹義的西域一般指的是天山以南、崑崙山以北、蔥嶺以東、玉門關以西的地區。而廣義的西域則指中原王朝西部邊疆以西的所有地區，除包括狹義的西域地區，還包括南亞、西亞，甚至北非和歐洲地區。古代的西域地區是一個民族遷徙、融合十分頻繁的地帶，亦是東西文化交流的一個中心樞紐，因此在西域地區出現過的衆多民族，他們的歷史、語言、宗教和文化之間有着千絲萬縷的聯繫。正因如此，西域研究必須是一個有機的整體，無法將這個整體依照民族、語言和疆域等任何範疇做人為的割裂。但鑒於中國人民大學國學院西域歷史語言研究所的指導方針和總體建構，我們借用“西域”這個歷史詞彙，更多的是出於對中國學術傳統的尊敬和繼承，而“西域”這個名稱於此所指的範圍主要是地處中國境內的廣大西部地區，與歷史上所說的西域不同。與此對應，西域歷史語言研究的對象主要是歷史上曾在中國境內西部地區生活、活動過的衆多民族的歷史、語言和文化。限於國學院西域歷史語言研究所現有研究人員的組成和學術條件，我們目前的研究重點主要放在幾個與西方中亞學研究相對應的學科上，即突厥（回鶻）學、蒙古學、滿學、西藏學和西夏學等等。

我們採用“西域歷史語言研究”這個名稱，並不表明我們僅僅重視對西域的歷史和語言的研究。我們主張將西域研究建設作為對西域地區各民族、文化的一種跨學科的綜合性研究，因此各人文學科，乃至自然科學學科的合理方法都應該被運用和整合到西域研究這一學科之中。我們之所以強調西域歷史語言研究，是因為我們比較推崇用傳統的歷史語言學方法來研究西域這一地區的歷史和文化。我們鼓勵採用實证的語言學、文獻學，亦即西方所說的 philology 的方法來處理、解讀西域地區出土的各種不同語言文字的文獻和實物資料，並以此為基礎對西域各民族的歷史、語言、宗教、文化作出合乎歷史事實的描述和解釋。我們決不排斥對西域研究作宏觀的理論建構，也不反對將學術研究的新方法、新範式引進我們從事的西域研究之中，但我們堅持的是：任何宏大敘事必須以扎實、科學的實证研究為基礎，特別強調西域歷史語言研究的基礎建設，推崇樸實、精細的學術風格。

歡迎海內外從事與關心西域歷史語言研究的專家、學者、朋友們來和我們一起推動中國西域歷史語言研究，祝中國西域歷史語言研究進步、繁榮！

沈衛榮

2007年3月22日

## Editor's Preface

China has long been a country with many ethnic groups and multiple cultural traditions, therefore, China studies must include researches on non-Han ethnic groups and their cultures. It is based on such a common understanding that the School of China Studies of Renmin University of China has been actively promoting and organizing researches on the language, history, geography, religion and culture of ethnic minority groups of China's frontier regions ever since its inception. The school has also made the decision to establish the Institute for Historical and Philological Studies of China's Western Regions. With strong support from the university as well as the society, the Institute has now been established after a year of preparation. We are now launching the "Monograph Series of Historical and Philological Studies of China's Western Regions". These publications present academic approaches, pursuits and achievements of the Institute's members and their colleagues and friends all over the world. We hope the Monograph Series will serve the scholarly community as an academic platform for rallying scholars both within and outside China to improve and ensure the flourishing of historical and philological studies of China's western regions.

Three main considerations prompted the School of China Studies at Renmin University of China to choose the historical and philological study of China's western regions as one of its core research fields to be especially promoted.

First, the development of research on China's western regions was inseparable from the formation of China as a nation state. During the late Qing, the aggression of Western colonialist and imperialist powers brought about unprecedented and severe crisis in China with the insecurity of its frontier regions. It was during such a time many Chinese scholars devoted their time and energy in "the geographic and historic studies of the northwest regions." Their work made significant contributions to preventing Chinese territory from being taken away by western colonialists, to the establishment of China as modern nation state, and to defining the national borders of China. Since such research was vital to the formation of China's identity as a nation state and the definition of its national boundary, it should be sincerely viewed as an integral part of China studies. It is particularly necessary for us to deepen our own understanding of China and its cultural traditions and give it a new definition befitting contemporary circumstance by means of promoting China studies in the time of modernization and globalization. It goes without saying that studies of China's western regions should be continuously promoted as an important component of China studies in this particular time period for facing the new challenge of modernization and globalization.

Secondly, the study of China's western regions, specially the historical and philological study of the region, is a highly internationalized scholarship that involves many different academic disciplines. Putting emphasis on historical and philological studies of China's western regions will advance the goal of promoting China studies into an internationalized discipline of high scholarly standard. In the West, historical and philological study of China's western regions is a field with both a long tradition and great prestige. In China, due to the lack of new materials and methodological innovation, the "geographic and historic studies of the northwest regions" began to decline after the Jiaqing and Daoguang reign of the Qing dynasty. Meanwhile, study of China's western regions in the West made great progress along new paths. As represented by the French scholar Paul Pelliot, a generation of well-known European, Russian, Japanese and

American Sinologists and others of Central Asian studies took possession of large numbers of precious ancient manuscripts and artifacts from China's western regions, especially from Dunhuang and Turfan. Not only that, they also implemented new historico-philological approaches to deal with these newly acquired manuscripts in various languages and scripts. By comparing the phonetics of Classical Chinese with that of ethnic minorities and foreign languages they were highly successful in deciphering and interpreting these multi-lingual documents and manuscripts. Their accomplishments not only surpassed that of traditional Chinese "scholarship on the northwestern regions" of the Qing dynasty but have also left a magnificent chapter in the history of China studies in western academia. Despite the fact that Chinese studies in the world has now been highly diversified in terms of methodology and content, historical and philological study of China's western regions remains an interdisciplinary field that is very influential and capable of attracting and rallying scholars from various countries all over the world. Although the object of China studies is China, the methodology and academic standard of China studies should be internationalized. In order to foster dialogue among scholars of China studies within and outside China, and to truly connect Chinese scholarship with the rest of the world, we must emphasize and strengthen the historical and philological study of China's western regions.

Thirdly, Chinese scholars have certain advantage over western scholars when entering the field of historical and philological studies of China's western regions not only do the large number of ancient Chinese documents about China's western region provide an irreplaceable foundation for researches on history and culture of the region, in addition many of the languages of the region are still in use by minority ethnic groups within the borders of China today. Chinese scholars should have played an important role in this field. Indeed, the study of China's western region in China did experience a brief period of glory with the leadership of outstanding scholars such as Chen Yinke, Wang Guowei and Chen Yuan and etc. during the 1930 and 1940s.

Regrettably, this tradition has not been sustained and developed. While today Wang Guowei and Chen Yinke are praised as the greatest scholars of Chinese studies, Chinese scholarship on China's western regions is far from advanced in comparison with that of the West and Japan. Instead, few Chinese scholars are capable of participating in discourses of the field, and quite a number of subfields are on the brink of extinction. Such a serious situation is an obstacle for Chinese scholars to raising the quality of academic research to the highest international standard, and it will also hamper the harmonious co-existence and prosperity of various cultures within China. In light of this, we are eager to promote historical and philological studies of China's western regions, to encourage Chinese scholars to play up our strength in this special field, and to close the gap between Chinese scholarship and the best scholarship of the world in this field. We also plan to use the School of China Studies at Renmin University of China as the base for training the next generation of scholars in the field of historical and philological studies of China's western regions and revive the endangered subfields.

It must be noted that *Xiyu, or Western Region* is a historical concept, with the actual geographic area indicated by this term often expanding or contracting in different time periods. There is a difference between a broadly and narrowly defined Western Region: the latter includes the area south of the Tianshan Mountain, north of the Kunlun Mountain, and east of Cungling and west of the Yumen Pass. Broadly defined, the Western Region includes all the areas beyond the western frontier of the dynasties centered on China proper. In other words, besides those included in the narrowly defined western region, the broadly defined western region included West Asia, South Asia, and even parts of North Africa and Europe. Due to the fact that the western region was an area of frequent migration and mingling of peoples before the modern era, it was a melting pot of Eastern and Western cultures. There were countless interactions among various ethnic groups, religions, languages and cultures that had once appeared in this region in history. Therefore, in studying this region we

must view it as a whole, and we should not arbitrarily dissect it along lines of ethnicity, language and territory. However, given to the guiding principle and the current make-up of the Institute for Historical and Philological Studies of China's Western Regions at Renmin University of China, our borrowing of the term Western Region is more out of respect and continuity of Chinese scholarly tradition. Our use of the term is mainly to indicate the vast areas of China's west, and thus is not the same as the term used in the past. The term here includes today's Xinjiang, Tibet, Gansu, Qinghai, Ningxia, and Inner Mongolia. Accordingly, the main object of our study is the histories, languages and cultures of the numerous ethnic groups that have lived within the western borders of China in the past. Framed by the academic interest of current members of our institute, our research emphasis is given to those academic fields which are equivalent to Studies of Central Eurasia, or Central Asia and Inner Asia, especially to Turkology (Old Uigur Studies), Tibetology, Mongol, Manchu and Tangut studies in western academia.

When we use the term "historical and philological studies," we do not mean to have history and philology (or linguistics in its narrow sense) of China's western regions as the only objects of study. Indeed, we propose to build the field into a syncretic and comprehensive study of the various ethnic groups and cultures of China's western regions. Therefore, we should incorporate into it various disciplines and approaches in humanities as well as in the sciences. The reason that we emphasize historical and philological study here is that we strongly believe that all researches on China's western regions have to be carried out on a solid historico-philological foundation. We encourage the application of historico-philological approaches to process and interpret the written documents and other artefacts that have been unearthed in these regions. We believe that only out of such solid historical and philological studies can we produce logical descriptions and explanations of the histories, languages, religions and cultures of various ethnic groups in China's western regions. We do not object to macro-theoretical construction in the study of China's western regions, nei-



ther are we against the introduction of new methodologies and new paradigms into this field. However, we must insist on having our scholarship based on a solid historico-philological foundation, call attention to the necessity of fundamental research on primary sources, and promote a straightforward and detailed research style.

We sincerely welcome colleagues and friends both within and without China to work together with us to promote and ensure the flourishing of the study of China's western regions!

**Shen Weirong**

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