



A DICTIONARY OF OFFICIAL TITLES
IN IMPERIAL CHINA

中国古代官名辞典

〔美〕 贺 凯
(Charles O. Hucker) 著





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影印版导言

陆 扬

北京大学出版社决定影印出版美国中国史专家贺凯 (Charles O. Hucker, 1919—1994) 的名著《中国古代官名辞典》(*A Dictionary of Official Titles in Imperial China*), 并希望我能简要地介绍一下这部著作的价值。犹如许多在西方从事中国史研究的人, 贺凯教授的《中国古代官名辞典》是一部我平日手头必备的工具书。我个人的研究工作和古代中国的某些官制亦有密切的关联, 因此对这部辞书的内容和特点也算比较熟悉。但熟悉这部著作并就不等于能够精确而全面地评价这部范围几乎包括整个中国古代官僚制度的名作。这部书的作者在选择条目以及英文译释等方面都体现出很不寻常的功力, 要充分评估他在这些方面的贡献, 光是具备一定的中国古代制度史的修养还是不够的, 还需要对西方特别是英美中世以来的官僚制度有相当的了解, 而这一点是我所欠缺的。所以在这里, 我只能根据我个人对这部著作的特色及其作者的学术背景的了解, 择要写几句。

先谈一下贺凯。美国的中国史研究在 20 世纪的五六十年代有一个关键的转折, 那就是从以考释语言文献为重点的汉学研究转向更为全面的中国历史研究, 贺凯就是在这种变化下出现的代表性人物之一。1919 年, 贺凯出生于美国中部文化、经济的大都会圣路易市。他从得克萨斯大学本科毕业时, 正值二次大战战酣之际。贺凯投笔从戎, 由于卓越的表现, 战争结束时竟已获得美国陆军上校的军衔。他那一代的美国学者, 在二战期间服务于军队的并不少见, 但能像贺凯这样在取得如此高的军衔之后又投身于东亚史研究的则不多。贺凯的博士学位是在芝加哥大学获得的, 他在那里接受了当时美国最好的汉学训练。对他指导最多的是以研究上古文化著称的顾立雅 (Herrlee G. Creel) 和以研究宋代社会知名的柯睿哲 (E. A. Kracke) 两位教授。顾立雅的影响尤其显著。顾氏的学术路向有一种很特有的混合, 他十分强调以解读文献为重心的汉学传统, 但又开创性地用综合的方式来全面研究上古思想文化; 他致力于培养能读懂中文报纸新闻的人才, 但却又不看重两汉以下的研究, 认为那是的“新闻调查工作”(journalism) 而非严肃的学问 (scholarship)。这种学问上嗜古和学术上求新并存的现象并不出人意料。尽管顾立

雅这一辈的美国汉学家开始承担起了解现实中的中国的责任,但他们对中国文化传统的基本看法还是较为保守的。

贺凯是顾立雅培养出来的最出色的学生之一。贺凯本人对学问的看法并不像顾氏那样保守,但他接受了顾氏古典学风的熏陶,对中国文化的探索不是由今溯古,而是由古及今。比如学习中文以文言为中心,从研读儒家经典开始。贺凯曾告诉和他同过事并相知甚久的余英时先生一则关于他自己的趣事。1950年代贺凯到台湾访学,坐船到基隆,上岸时海关人员问他要去哪里,他用文言回答说:“吾欲之台北”,海关人员听得如坠五里雾中,完全不懂他在说什么,搞了半天,才明白他说的原来是文言。这则故事很传神,颇能道出贺凯这一代汉学家的特点,很难想象今天的西方中国学界中人身上会有这样的事发生。但也许正是这种对中国古典文化的重视,使得贺凯对中国传统产生了同情的了解,同时也使他能几个难度很高的研究领域内游刃有余。虽然贺凯的学术重心和顾立雅完全不同,关注的层面则深受顾氏的影响。顾立雅对研究中国传统政治的内涵有浓厚的兴趣,而贺凯的研究也是集中于这一领域,区别只是顾氏专注于传统政治的形成期,而贺凯则专注于传统政治的高度成熟期,也就是顾氏不屑注意的时期。顾立雅对中国传统思想有渊博的知识和贯通的认识,这一点似乎也影响到贺凯的工作,使他的视野并不局限于某个狭小的领域。

在芝大获得博士后,贺凯曾先在图桑的亚利桑那大学(University of Arizona)任教,在短短几年之内,对奠定那里的东亚研究的基础起了很关键的作用。虽然贺凯在1961年又转往密执安大学任教,但他对图桑这个地方可说是情有独钟,退休后又回到图桑终老,成了参与当地小区活动的积极分子。而我这里要介绍的《中国古代官名辞典》也是在图桑定稿的。贺凯以明代政治制度史作为学术工作中心的学术路向可以说是在亚利桑那大学执教期间确立下来的,其他的工作都在此基础上扩展。就在贺凯从亚利桑那转往密执安执教的那一年,他出了本小册子,叫《明代的传统中国政权》(*The Traditional Chinese State in Ming Times*) (此书封皮上的中文标题是《明代政治考》,似乎不甚贴切,应该是《明代政制考》)。这虽然是一部小书,却不妨说是贺凯研究明史的成名之作,尤其体现出他在制度史研究方面的特出能力。书的篇幅不过八万来字,却能将明代官僚制度的基本结构和行政特点交代得很清楚。在书的小序里,贺凯告诉读者,在完成这部著作的时候,他已经有长达十二年的研究明代制度的经验了。其实这原来是他提交给一个有关传统中国政治权力的研讨会的论文,所以在小书的序言里他还特别感谢当时同样是明史学界新起之健者的牟复礼(Fritz Mote)先生在会议期间对他的研究所作的评论。有意思的是,就在这部小册子出版后的一年,牟复礼先生研究高青邱的专著也出版了。这两部著作的先后问世多少可以说标志了美国

新一代明史研究的起步。

从19世纪60年代起,贺凯一直是明史学界的重镇,他在这方面的著作为数不少,但就对中国学的整体影响而言,这些著作都不如他的通史著作《帝制中国的岁月》(*China's Imperial Past*)和《中国古代官名辞典》。《帝制中国的岁月》完成于1975年。这部涵盖整个中国历史的著作篇幅并不很大,但剪裁得颇为用心,叙述也得当,很符合美国大学优秀通史教材的特色。全书划分为帝制以前、早期帝制和晚期帝制三个部分,每部分又再按照“历史概述”(general history),制度与社会,思想和文学等门类来叙述。可以说到20世纪90年代初以前,这部著作被美国的大学广泛采用来做为中国史的基本教材,在流行的程度上堪与之相比的大概只有英译的谢和耐(Jacques Gernet)教授撰写的《中华文明史》(*A History of Chinese Civilization*)。^①这虽然是一部教材,而且也不免带有1970年代以前西方中国史研究的种种印迹,但依然显示出贺凯对中国历史的通盘认识。尤其让我印象很深的是贺凯那简练而精确的文笔,这一特点在该著作的几个“历史概述”的部分里特别突出。他常常用一两段文字中就能把一个时代的重大事件或脉络交代清楚,而且描述得颇有韵味。这样的例子触目可见,比如第一部分的“历史概述”末尾描述陈涉起事和秦朝覆亡的两段文字,第二部分里评述武曌的段落和第三部分中概括明代文化的一段话,等等。这些文字译成中文就很难传达,甚至还会显得平淡无奇,但在英文原文里却是锤炼颇深的史学文字,几乎可以诵读。20世纪90年代以来美国出现撰写中国通史的热潮,但我觉得很难再看到贺凯这样精炼而畅达的文字了。

就贺凯一生的史学成就来说,《中国古代官名辞典》无疑是代表了他的名山事业的Magnum Opus。他在序言里说,他在做研究生时把《周官》里的职官名称编成索引给自己作参考,后来才意识到这其实就算是编撰这部辞书的开端了。他正式开始着手这一工作是在1976年。整个过程中虽也请过密执安大学和亚利桑那大学的学生做助手,但基本工作都是由他自己亲手完成的。这些工作包括全书引论部分的撰写,所有条目的起草和修改,英文索引的制作,以及计算机打字和汉字字条的输入,等等。真可说是在处处亲自把关的基础上完成的著作。从贺凯一生的学术轨迹来观察,他在晚年完成这样一部以辞典形式出现的大著一点都不令人惊讶。但在整个当代西方中国史研究的脉络里,出现这样的著作又是一个异数。为什么说是异数呢?贺凯自己在给《中国古代官名辞典》所作的序言里就已经提供了线索。他说他完成这部著作的目的就是要“将那些并不专治制度史的汉学家们从长期试图应付传统中国无所不在的官僚命名系统时所承受的困扰、困惑和羞愧中解救出

① 以下所提到该书页码,都出自斯坦福大学出版社1975年版。

来”(页 V)。这个率直而又入木三分的说明,点出了两个有关西方中国史研究的实况:第一,中国古代制度史是个令西方汉学家头痛的领域;第二,西方在中国官制史方面的研究很薄弱,连许多资深的学者也会老犯常识性的错误。自 20 世纪初以来,西方的中国史研究在很多领域内都取得傲人的成绩,但也存在一些薄弱的环节,官制研究甚至广义上的制度史研究恰恰就是其中之一,这和西方中国史重文化和社会的取向以及因此而产生的学术训练有直接的关系。当然这并不等于说西方没有致力于某个朝代的制度史研究并取得相当成绩的学者。举例而言,除了贺凯本人的明代官制研究之外,还有瑞典的毕汉思(Hans Bielenstein)对汉代官制的研究、法国的戴何都(R. des Rotours)对两唐书中百官志等文献的译注、白乐日(Étienne Balázs)对宋代官制的考察、蓝克立(Christian Lamouroux)对《宋史·食货志》的译注、拉契涅夫斯基(P. Ratchnevsky)对《元史·刑法志》的译注、英国的杜希德(Denis Twitchett)先生对唐代官僚机构的全面分析,以及美国学者白彬菊(Beatrice Bartlett)对清代军机处、欧立德(Mark Elliot)对清朝八旗的研究等等,都是突出的例子。但上述有些成果出现在《中国古代官名辞典》完成多年之后。而以一人之力成就一部涵盖上下两千年的中华官职辞典,当代西方仅贺凯一人而已,这在西方的学术背景下不能不说是个异数。同时也因为西方对中国官僚制度的研究相对薄弱,这部著作在西方学者的日常研究中所具有的参考价值就更是明显而持久。《中国古代官名辞典》的体例颇为严谨,分为序言、引论、使用须知、条目及中英名词索引。书的引论部分按朝代来分别概述其官制体系,每个朝代或时代(例如南北朝和五代)有专门的章节,让人一目了然。全书 8291 个条目,包含了从《周官》所载职名到晚清主要职官的名称。每个条目先注出该官名所属的朝代,如果在好几个朝代都存在,则按时代顺序解释其职能的异同。而如果某一官名在《中国古代官名辞典》里的英译和该辞典所参考的几种英法文中国官制研究著作的译法不同,贺凯还会在条目的结尾列出不同的译法及所出自的著作,以供读者参考。如清代佛道机构中的“至灵”一职,贺凯采用的英译是 Sacrificial Priest,而在英译的布鲁纳特(H. S. Brunnert)和哈盖尔斯特洛姆(V. V. Hagelstrom)的著作《当代中国的政治设置》(*Present Day Political Organization of China*)里,这个职位的译名是 Thaumaturgist,所以条目的结尾又将此译名附上供读者参考。又比如隋唐的“果毅府”,贺凯采取了基本是直译的“Courageous Garrison”,而他同时又列出戴何都在《新唐书·兵志》的法文译注中所采用的 *milice intrépide*。《中国古代官名辞典》的条目解释一般都突出要点,但也有不少条目解释得很详尽,不仅勾勒出其中变化的历史过程,而且连变化出现的具体年份都列出。辞书中对唐代的十六卫府和明清时代的承宣布政使司的解释就是体现此种特色的两个典型例子。由于是用西文撰写中国古代的职官辞典,所以不能像

用中日文撰写那样比较方便地直接引用原始文献,因此作者必须能对相关数据有自己的把握,才能用文字叙述出来,但正因如此,在写作上要花的功夫就很大。而且这部著作主要是为西方的学术界撰写的,所以贺凯尽量要在中国古代职官的英文译名上斟酌选用比较易于西方一般学界理解的称谓和名词。所以这部著作并非一般意义上的职官辞典,而是一部研究性很强的著作,处处都显示出编撰者自己的判断。

但《中国古代官名辞典》并不追求巨细靡遗,贺凯的主要目的是对中国历代官制的结构及其变迁作一个总括性的呈现。中国古代职官的变化和延续性都很强,常常是同中有异,异中有同,贺凯的工作也是要尽量使读者能体会这些细微的差别。辞典中的条目虽多,却并不琐碎。比如条目中有明清时代的总督一职,而清代的各省总督只是在该条目解释清代的部分里提到,并不作单独条目列出。在辞典的使用须知里特别提醒学者在参考这部著作时要有想象和综合的能力,才能举一反三。贺凯在编纂此书时最主要的中文参考著作是黄本骥的《历代职官表》,但他也指出《历代职官表》过于强调沿革而产生的弊端。他同时还参考了较少为西方学界所知的梁章巨的《称谓录》,用来作为非正式官称的依据。此外还有日中民族科学研究所编的《中国历代职官辞典》和杨树藩《中国文官制度史》等。当然中国古代官制的功能和变化常常很复杂,现代的研究工作也总是不断深入。《中国古代官名辞典》是一部以20世纪80年代以前西方研究中国官制史的成果为基础的著作,今天若以专家的眼光来看自然会发现其中的缺失,比如书中关于唐代学士院和翰林院的条目,就没能完全分辨清楚翰林学士和翰林待诏之间的根本性差别,就是一例。但像这类重要的分别即便在唐史研究相对发达的中日学界也只是到了21世纪初才开始普遍受到重视。所以这些因学术发展的阶段性所造成的不足一点都不妨碍引介《中国古代官名辞典》这部名著到中文学术界来的价值。中国古代官制的研究在中国史学界一直算是一门显学,出版的学术专著和论文无论数量还是质量都大有超越西方同行的地方。但就我所了解,若以全面性的职官工具书而言,无论编排的用心还是撰写的讲究,中文世界的同类型著作中能和《中国古代官名辞典》相媲美的其实还很少。我相信,引进这部作品对日后中文世界出现更高质量的中国古代制度史工具书将会有非常良好的影响。

2008年初春于堪萨斯劳伦斯镇

(作者现任教于美国堪萨斯大学历史系)

Preface

This is a reference aid for students and scholars who, from many disciplinary viewpoints, work with sources dating from or relating to premodern Chinese times, written principally in Literary or Classical Chinese (*wen-yen*). It identifies, defines, and places in their temporal and institutional contexts the official titles and agency names that abound in such materials. Items of unofficial (literary and colloquial) as well as official nomenclature are included, as are selected items of administrative terminology that seem especially relevant, particularly those in the realm of personnel administration. If less than absolutely comprehensive in its coverage, the Dictionary presses against the limits of practicality, and I am confident that it will serve most of the needs of its users.

My principal intent in undertaking the work was to relieve Sinologists who are not themselves institutional historians of the aggravations, confusions, and embarrassments they have endured in trying to cope with traditional China's ubiquitous governmental nomenclature. A secondary but important purpose was to provide a foundation, at least, for a history of China's governmental institutions. Acquaintances have suggested that the Dictionary may also prove to be a valuable source of data for social historians; if so, I shall naturally be gratified. I shall similarly be gratified if Sinologists generally accept my English renderings in their totality as a standard, since the troublesome and expensive use of Chinese characters in Sinological writings could thereby be reduced. However, I am aware that my work is not without imperfections, and that some Sinologists resist standardization of any sort as a matter of principle.

The work begins with a long Introduction that offers concise descriptions of governmental organization dynasty by dynasty from Chou to

Ch'ing, including simple organizational charts for most dynasties. The main body of the Dictionary, prefaced with a User's Guide, consists of 8,291 individual entries for titles, agency names, and related terminology, in which differing usages are explained and pan-dynastic evolutions are traced. This is followed by a finding-list of suggested English renderings (English Index), another for Chinese characters and compounds (Chinese Index), and a conversion table from Pinyin romanizations currently endorsed by the People's Republic of China to the Wade-Giles romanizations used in the Dictionary, which have been standard in English-language and German writings about China for so long and are still preferred by so many Sinologists that for the foreseeable future no premodern China specialist can afford not to know them.

Suggested English renderings are based on principles long used by institutional historians of China in efforts to avoid the pitfalls of making traditional Chinese government seem either too much like a modern Western government or an otherworldly, Gilbert and Sullivan-like quagmire of nonsense. These principles as I use them can be summarized as follows:

1. The ideal is a rendering that reveals both the actual function of the office and the literal sense of the Chinese title, but if that ideal is unattainable a rendering suggesting the function is ordinarily preferred to one reflecting the literal sense.

2. The most notable exceptions to the preference for functional renderings tend to be in the nomenclature used for the military, eunuchs, and palace women. Army of Inspired Militancy (literal), for example, is preferred to Second Army or Third Army (terms that could only lead to ultimate confusion in a traditional Chinese con-

text); Eunuch of High Rank (literal) is preferred to some guess about the title-holder's usually undescribed function; and Lady of Bright Countenance (literal) is preferred to, say, Secondary Imperial Wife of the Fourth Rank.

3. Titles that are very familiar to English speakers and might be misleading are avoided: President, Prime Minister, Premier, Mayor, Sheriff, and the like. However, many familiar military terms not only seem unobjectionable, but are often unavoidable: General, Army, Regiment, Company, and the like.

4. Except in the cases of honorific or unofficial designations (Grandee of the Fourteenth Order, for example), bizarre renderings that are too foreign-sounding and esoteric neologisms are avoided.

5. Usages that are solidly established in the Sinological tradition, such as Chancellery, Secretariat, Department of State Affairs, Bureau of Military Affairs, Censorate, and Grand Secretariat, are not abandoned without good reason.

The making of this Dictionary has been possible only because Chinese scholars and Western Sinologists have alike realized the importance and the complexity of governmental nomenclature in imperial China and have long tried to make it understandable. The Chinese consequently have the world's most detailed histories and encyclopedias of governmental organization; and manuals of governmental organization in all major dynasties have been translated or compiled by Western scholars. In the former category, the imperially sponsored encyclopedia called *Li-tai chih-kuan piao* is the principal research source for this Dictionary, despite the distortions that result from its treating all agencies and posts of prior eras as antecedents of Ch'ing dynasty institutions. In the latter category, I have benefited enormously from the modern Western works that are cited by abbreviations in the entries, as is *Li-tai chih-kuan piao* (see Abbreviations on page 102): Edouard Biot's translation of the classic *Chou-li*; Hans Bielenstein's *The Bureaucracy of Han Times*; Robert des Rotours' *Traité des fonctionnaires et traité de l'armée* for T'ang; Chang Fu-jui's *Les Fonctionnaires des Song: Index des titres* for Sung; and Brunnert and Hagelstrom's *Present Day Political Organization of China* for Ch'ing. The

citation of *chüan* (chapters) of *Li-tai chih-kuan piao* and of renderings from Western-language manuals that are found in a large proportion of entries are not to be thought of as complete documentation of sources; they are merely cross-references to noteworthy works for the user's convenience.

Other materials used, which in general are less thorough and less readily available, are for those reasons not cited in the Dictionary entries. They are far too numerous to list here, but let me call special attention to the hitherto little-used *Ch'eng-wei lu* by the late Ch'ing scholar-official Liang Chang-chü, preserved in the collection of works on colloquialisms called *Ming-Ch'ing su-yü tz'u-shu chi-ch'eng*, which has been my principal source for unofficial usages through history; the abbreviated version of *Li-tai chih-kuan piao* by Huang Pen-chi, supplemented with brief dynasty-by-dynasty overviews of governmental structure, a considerable number of historical essays explaining individual titles, and a general index arranged by the four-corner system (Taipei, 1976); the *Chūgoku rekidai shokkan jiten* published by the Nitchū minzoku kagaku kenkyū-jo, a historical dictionary of 1,376 imperial Chinese titles, together with elaborate dynasty-by-dynasty charts of governmental structure (Tokyo, 1980); and the *Chung-kuo wen-kuan chih-tu shih* by Yang Shu-fan, my principal source for personnel-administration practices from Ch'in and Han through Ch'ing times, which has not received the attention from Western Sinologists that it deserves (Taipei, 1976).

While acknowledging my debt to all these and still other scholarly works, I must emphasize that the Dictionary is not merely a patchwork of data and English renderings easily plucked from the works of others. Both the introductory dynastic essays and the individual Dictionary entries are based largely on original research, and the suggested English renderings have been devised without obsessive adherence to those suggested by other Sinologists (or by myself in previous writings). My hope has been to achieve a coherent system of English nomenclature that accords with the continuities and discontinuities in Chinese usage over the long time span covered. Regardless of Ralph Waldo Emerson's famous pronouncement, I would like to have achieved

absolute consistency in this regard. I have failed to do so because of the enduring attraction of some long-established Western renderings, some memory lapses or perhaps capricious aberrations on my part, and my inability to maintain concentration on such matters at a high level through the years that passed as I drafted, revised, wordprocessed, copyread, and proofread the work. Now that the indexing has been done, I am sure I would do some things differently if I had the time—and the will—to go through it all again. However, I do not think my inconsistencies—mainly in such relatively petty matters as hyphenation and capitalization—detract significantly from the value of the work.

The Dictionary was originally conceived, as a vague project for some distant time, when I was a graduate student and in spare hours made an index to titles in the classic *Chou-li* for my own reference, and to an unusual and unanticipated degree it has been a one-man project. Actually initiated in 1976, the project has employed students of The University of Michigan and, at times in the past year, students of the University of Arizona as assistants with various kinds and levels of competence. But I alone wrote the Introduction, drafted and revised the entries, put the indexes in final form, tediously wordprocessed the English text and index on my personal computer for automated typesetting, contracted for the typesetting of Chinese characters throughout, supervised the cutting and pasting of Chinese characters into the English text, and did final proofreading of all parts of the Dictionary. Never before have I been so personally involved in the many stages of book-making. In consequence, putting the work between boards has taken far more time than I originally expected.

The principal reason for my personal absorption in the Dictionary for so long, and for the consequent delay in its publication, is that the process of compilation got under way just as personal computers came on the market, offering the possibility of automatically typesetting a work of this sort. My own infatuation with the new technology, coupled with the realization that rapidly rising publishing costs threatened to put the finished Dictionary completely out of the anticipated users' price range, led to an agree-

ment between the Stanford University Press and myself by which I would undertake to wordprocess the whole work and provide for the typesetting and insertion of Chinese characters into the text, and the Press would of necessity waive some of its normal editing prerogatives and keep the final published work at the lowest possible unit price. On both sides, it was an experiment whose consequences and complications could not be fully foreseen. In editorial and mechanical aspects alike, the result is perhaps less perfect than either of us would have liked; but what we have learned in the process should be of value to both of us, and others, in future.

In saying that preparation of the Dictionary has been largely a one-man process I do not wish to belittle the help, criticisms, and encouragement I have received from many others. Among the Sinologists who saw and commented usefully on sections of the work in draft form are Professors Hok-lam Chan of the University of Washington, John W. Dardess of the University of Kansas, Albert E. Dien of Stanford University, Edward L. Farmer of the University of Minnesota, A. F. P. Hulsewé of Leiden University, David N. Keightley of the University of California at Berkeley, James T. C. Liu of Princeton University, and Charles A. Peterson of Cornell University. Others who graciously contributed either published or unpublished materials of their own for my reference are Professors Priscilla Ching-Chung of the University of Hawaii at Manoa, R. R. C. de Crespigny of the Australian National University, Jack L. Dull of the University of Washington, David Farquhar of the University of California at Los Angeles, Penelope A. Herbert of Murdoch University, Igor de Rachewiltz of the Australian National University, and Daphne Lange Rosenzweig of the University of South Florida. If I have not fully profited from such help, the fault is mine alone, and I alone should be blamed for any factual errors as well as other flaws that may be found in the book.

Among the students who assisted in my research work for the Dictionary at The University of Michigan I owe special thanks to Thomas P. Massey (now Dr.), who gleaned data from *Li-tai chih-kuan piao* and other Chinese and Japanese sources, and to Chi-sheng (Jason) Kuo

(now Dr.), who also worked in some of the Chinese sources; Sara J. Bayer; Maureen A. Flannery; Alice C. Hogan; William Mills; and Cynthia Y. Ning. Alice Duan, Jennifer Lo, and Catherine Ehrlich at Michigan and Wayne Ten Harmsel and Lee Yi-ya of the University of Arizona also assisted, principally with indexing. I am heavily indebted to Barbara Congelosi and Diane Scherer, who far exceeded their obligations as members of the Publications Office of the Center for Chinese Studies at Michigan in helping me learn the fundamentals of word-processing and were always pleasant and helpful neighbors in Ann Arbor's memorable Corner House, where the Dictionary project was housed. In Tucson, Professor Stephen H. West, C. W. Fields, and Robert Arbogast sympathetically listened to my litany of technical problems and gave me knowledgeable advice that I greatly appreciate.

For encouragement and administrative support I am also greatly indebted to the successive chairmen of the Department of Far Eastern Languages and Literatures at Michigan, Professors Robert H. Brower and Luis O. Gómez, and their dedicated administrative assistant, Marjorie Petring; the successive directors of Michigan's Center for Chinese Studies, Professors Albert Feuerwerker and Robert F. Dernberger, and their administrative assistants, Rosalind Daly, Ann Detwiler, Eunice L. Burns, and Robert Eno; and the head of the Department of Oriental Studies at the University of Arizona, Professor Robert M. Gimello, and his administrative assistant, Salley Wallin. Among my faculty colleagues at Michigan, Professors James I. Crump and Kenneth DeWoskin were especially interested and encouraging, and Dr. Hilda Tao was helpful in checking substantial numbers of my romanizations for the accuracy of their tonal markings.

Not taking into account Stanford University Press's costs and my own working time and not-inconsequential expenses, preparation of the Dictionary has been supported primarily by two grants from the National Endowment for the Humanities and by cost-sharing funds and other kinds of contributions from The University of Michigan. Without the magnanimous financial support of both institutions, the project could never have been completed or undertaken at all. Supplementary grants from Michigan's College

of Literature, Science, and the Arts, Horace H. Rackham School of Graduate Studies, and Center for Chinese Studies have been invaluable in maintaining the momentum of the work at critical times, as have grants from the Committee on Studies of Chinese Civilization of the American Council of Learned Societies and its successor, the Joint Committee on Chinese Studies sponsored by the American Council of Learned Societies and the Social Science Research Council. The willingness of all these agencies to help bear the financial burden of such specialized work is of course greatly appreciated.

As for matters of technical production, I have wordprocessed the Dictionary on a TRS-80 Model III two-disk-drive microcomputer with an Okidata 82A microline printer attached, using a printer's special program built into the general wordprocessing program called Lazy Writer devised by David Welsh; both hardware and software have proved quite satisfactory. The English type used is New Times Roman, set by Edwards Brothers, Inc., of Ann Arbor, whose wordprocessing specialists, Nancy Firestone and Laurel Doty, have been consistently helpful. Chinese characters have been set by Asco Trade Typesetting Limited of Hong Kong, in its font called Basic Grotesk; its manager, Howard Wu, deserves great credit for the accuracy and promptness with which the work has been done. Keylining characters into the English text has been the work of Tucson Typographic Service; I appreciate the counsel and courtesies of its president, Larry Armstrong, and the always cheerful and resourceful help of its expert keyliner, José A. Fortuno. At Stanford University Press, Editor J. G. Bell and Associate Editor Barbara E. Mnookin have principally borne the heavy burden of collaborating with me in the publication process. Their professional expertise and, above all, their humane concern for my well-being, success, and gratification are greatly appreciated.

My wife, Myrl, has as always been understanding, tolerant, and supportive, at times in abnormally difficult circumstances, and I dedicate the work to her with all my love.

C.O.H.

Tucson
June 1984

目 录

影印版导言 1

作者前言 v

英文目录 ix

导言:历代政治组织 1

中国古代政治制度的若干延续性 3

周代 6

秦代 8

汉代 11

南北朝时期 17

隋代 24

唐代 28

五代十国时期 38

宋代 40

辽金时期 53

元代 58

明代 70

清代 83

使用说明 99

缩略词用法 102

辞典正文 103—599

英文索引 601

中文索引 645

汉语拼音—威妥玛拼音对照表 675

Contents

INTRODUCTION: GOVERNMENTAL ORGANIZATION ERA BY ERA

Some General Continuities / 3. Chou / 6. Ch'in / 8. Han / 11. Era of North-South Division / 17. Sui / 24. T'ang / 28. The Five Dynasties and Ten Kingdoms / 38. Sung / 40. Liao and Chin / 53. Yüan / 58. Ming / 70. Ch'ing / 83.

DICTIONARY OF OFFICIAL TITLES IN IMPERIAL CHINA

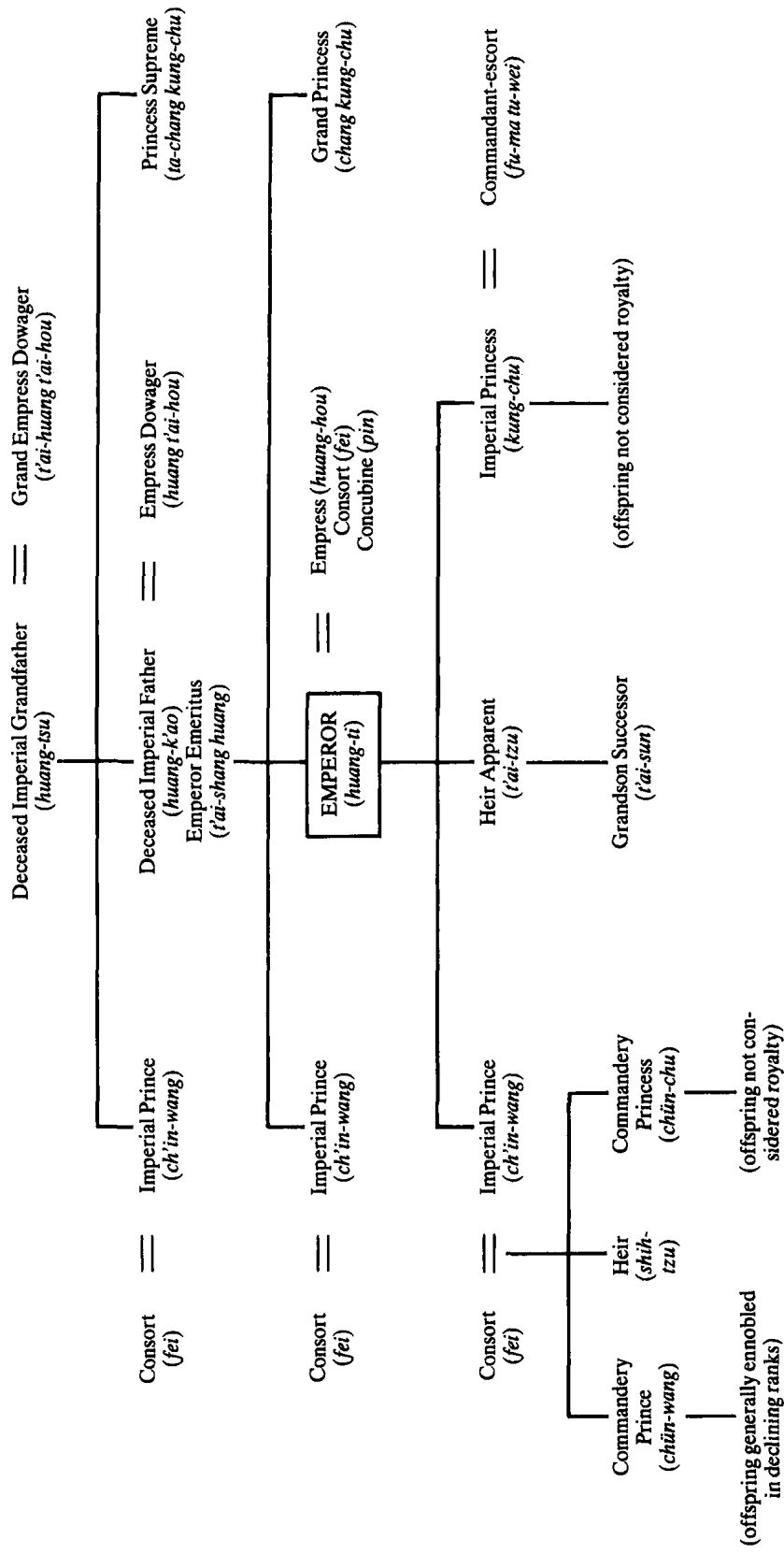
Guide to the Use of the Dictionary / 99. Abbreviations / 102.

THE DICTIONARY / 103-599

REFERENCE MATTER

Index to Suggested English Renderings / 601. Index to Chinese Terms / 645.
Conversion Table: Pinyin to Wade-Giles / 675.

Conventional Titles for Members of the Imperial Family



Some General Continuities

Some scholars seem to believe that the patterns of government in Imperial China never fundamentally changed. Dispelling that notion should be one of the principal achievements of this dictionary. Nevertheless, some aspects of Chinese government did persist almost unchanged throughout history, and others endured through very long stretches of time. To avoid unnecessary repetition in the era-by-era descriptions of governmental organization that follow, some of the most notable of these continuities are dealt with here at the outset.

Ruling Families Throughout History

Among the most stable patterns in traditional Chinese government was official nomenclature for the supreme ruler, his close relatives, and his places of residence. The single most significant change was made in 221 B.C., when the ancient but long depreciated title *wang* 王, which Westerners have traditionally rendered as King, was replaced as the designation of the supreme ruler by the newly coined title *huang-ti* 皇帝, translated as Emperor.

From 221 B.C. to the end of the Ch'ing dynasty in 1912, China was ruled by Emperors who lived in a walled compound or Palace (*kung* 宮), commonly known as the Great Within (*ta-nei* 大內) or the Forbidden City (*chin-ch'eng* 禁城), which contained many buildings called Halls (*tien* 殿, *ko* 閣) or individually named palaces. Around this core was a larger walled area commonly called the Imperial City (*huang-ch'eng* 皇城), enclosing the halls, or residences, of the intimate personal attendants of the Emperor and his immediate family. Buildings housing agencies of the central government were also clustered in the Imperial City or lay close outside it.

The larger city in which the Imperial City was located, itself normally walled, was designated

the Capital (*ching* 京, *tu* 都; commonly with a hierarchical or directional prefix). A much larger area that was dominated by and administered directly from the capital, a special territorial jurisdiction as large as a modern Province (*sheng* 省), was the Metropolitan Area (*ching-shih* 京師, *ching-chao* 京兆, *chih-li* 直隸).

The Emperor had several categories of wives. There could be only one principal wife at any one time, the Empress (*huang-hou* 皇后); others were categorized as Consorts (*fei* 妃) and Concubines (*pin* 嬪)—designations normally prefixed with auspicious or laudatory epithets making such titles as Honored Consort (*kuei-fei* 貴妃). All such wives were known by their maiden surnames—as Empress Li, Honored Consort Yang, and the like. A child borne by any wife was considered legitimate and formally treated the Empress as its mother. The residence of the Empress was commonly called the Western Palace (*hsi-kung* 西宮).

Intimate personal attendants of the Emperor and his various wives were of two sorts. One was a group of lower-status palace women (*kung-nü* 宮女, *nü-kuan* 女官, and variants), who in principle could be promoted even to the status of Empress at the Emperor's whim, but who generally were servants of the Emperor and his wives. From T'ang times on, they were commonly organized hierarchically into Six Palace Services (*liu chü* 六局), each with a specified realm of responsibility, and each headed by one of the so-called Six Matrons (*liu shang* 六尚).

The other group of intimate attendants were eunuchs (*huan-kuan* 宦官, *nei-shih* 內侍, *t'ai-chien* 太監, and variants), among whom strong individuals or cliques sometimes exploited their close relations with the Emperors and their wives to such a degree that they gained great governmental authority—notably in Later Han, in late T'ang, and in Ming. Nominally, however, they

were palace servants, organized—sometimes together with palace women—into a Palace Domestic Service (*ch'ang-ch'iu chien* 長秋監, *nei-shih chien* 內侍監, *nei-shih sheng* 內侍省) or a Court of Palace Attendants (*hsüan-hui yüan* 宣徽院).

Many members of the government who did not live in the palace nevertheless had important palace responsibilities. Perhaps most importantly, these included large numbers of Imperial Guardsmen (*shih-wei* 侍衛), whose duty it was to protect the imperial family and the palace. Others staffed such agencies as the Court of Imperial Entertainments (*hung-lu ssu* 鴻臚寺) and the Court of Imperial Sacrifices (*t'ai-ch'ang ssu* 太常寺), which had heavy responsibilities for provisioning and otherwise caring for the palace and the imperial family. Some central government agencies even had limited supervisory authority over the palace and its personnel. Such, for example, were the Han office of the Chamberlain for the Palace Revenues (*shao-fu* 少府), the T'ang-Sung Palace Administration (*tien-chung sheng* 殿中省), and the Ch'ing Imperial Household Department (*nei-wu fu* 內務府).

All sons of Emperors were Imperial Princes (*ch'in-wang* 親王), all daughters Imperial Princesses (*kung-chu* 公主). All other close relatives also had noble status, as shown in the accompanying table. The Emperor's most important offspring was the Heir Apparent (*t'ai-tzu* 太子), normally so designated during the father's reign and normally the eldest son by the Empress, except in the case of non-Chinese rulers such as the Mongols and the Manchus, who did not feel bound by traditional Chinese inheritance practices. Like the Empress, the Heir Apparent had his own establishment within the palace compound, commonly referred to as the Eastern Palace (*tung-kung* 東宮); it was managed by a large agency known from T'ang on as the Household Administration of the Heir Apparent (*chan-shih fu* 詹事府).

Other imperial offspring, especially sons, were usually enfeoffed with domains, real or nominal, named after ancient Chou feudal states, and had supporting staffs of officials constituting Princely Establishments (*wang-fu* 王府). Into T'ang times, Imperial Princes often served in important governmental posts, but in later

Chinese dynasties efforts were made to dissociate them from government and especially, as soon as they reached maturity if not before, to move them out of the palace and the capital into imposing residences scattered throughout the empire. All offspring of males descended from Emperors were normally granted noble status; eldest sons succeeded their fathers, and younger sons usually received lesser titles and emoluments. Descendants of Emperors through daughters, however, did not have such advantages. Since they did not bear the imperial surname, they were not considered members of the nobility and could not expect any special consideration from the state, especially if they were several generations removed from their imperial forebears.

The management of all imperial kinsmen's affairs, including the maintenance of strict genealogical records, was entrusted to an agency called the Court of the Imperial Clan (*tsung-cheng ssu* 宗正寺, *tsung-jen fu* 宗人府).

Official Ranks

Even in the ancient Chou dynasty there was a systematized gradation of government personnel into rank categories. Our understanding of such gradations becomes firm only with the Han dynasty, when officials were ranked in terms of annual salaries stated in grain payments, from fewer than 100 up to a maximum of 10,000 bushels. From Han on, officials were nominally paid at least partly in grain, although even the grain portions of their salaries were commonly converted to copper coins, bolts of silk, bulk silver, eventually paper currency, and other sorts of non-grain commodities—often at confusingly varied rates of exchange. In some regimes that followed close after Han, ranks continued to be stated in bushels of grain; but generally speaking, post-Han regimes to the end of Ch'ing used a system of gradations called the Nine Ranks (*ch'iu p'in* 九品).

The Nine Ranks system originated at the very end of Han, in A.D. 220. At first, ranks were specified in the following scheme:

- 1: upper-upper (*shang-shang*)
- 2: upper-middle (*shang-chung*)
- 3: upper-lower (*shang-hsia*)