

**Japan to 1600 (Graduate Colloquium):  
History-East Asian G8873 (Spring 2007)**  
Tuesdays 4:10-6:00, 301M Fayerweather

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Office Hours: Thursdays 3-4 and by appointment, 500A Kent Hall

**Goals and structure:**

This course introduces graduate students to the cultural, political, social, and economic history of the Japanese archipelago from earliest times through the 16th century C.E. In addition to considering a variety of primary source materials in translation, it provides an overview of English-language secondary sources, emphasizing past, present, and future trends in North Atlantic scholarship and their relationship to Japanese-language historiography. The first two weeks are devoted to an introductory overview of the periods, major events, and central issues of the entirety of premodern history, but they also introduce important historiographical issues by juxtaposing a recent textbook with a pioneering survey. The remainder of the semester is more in-depth, working chronologically through the great span of time from the putative Old Stone Age to the 16th century C.E.; throughout, primary source readings texts are coordinated with selections from monographs, articles, and survey histories.

**Prerequisites:**

No prior knowledge of premodern Japanese history is required, and all course readings will be in English. However, some familiarity with Japan and East Asia is expected, and students should be prepared to read large amounts of specialized secondary literature.

**Requirements:**

- 1) Regular class attendance and participation in discussion, informed by solid preparation
- 2) Brief presentations several times a semester
- 3) One 15-20 page paper, in the form of a detailed proposal for a large research project on an aspect of premodern Japan, with an annotated bibliography

**Textbooks:**

- Conrad **Totman**. *A History of Japan, 2nd Edition* (Blackwell, 2005) (on reserve at Starr Library and on order at Labyrinth)
- George **Sansom**. *Japan: A Short Cultural History* (Revised edition: Stanford, 1952; originally published 1931) (many library copies, recommended reading at Labyrinth; if possible avoid the exorbitant price of the in-print edition)
- Joan **Piggott**, ed. *Capital and Countryside in Japan, 300-1180: Japanese Historians Interpreted in English* (Cornell East Asia Series, 2006) (on reserve at Starr, on order at Labyrinth)
- Pierre François **Souyri**, trans. Käthe Roth. *A World Turned Upside Down: Medieval Japanese Society* (Columbia, 2001) (on reserve at Starr, on order at Labyrinth)
- The Cambridge History of Japan (CHJ)*: Vols. 1 (Ancient Japan, 1993), 2 (Heian Japan, 1999), 3 (Medieval Japan, 1990) (on reserve at Starr and elsewhere)
- David **Lu**. *Japan, A Documentary History: The Dawn of History to the Late Tokugawa Period* (M.E. Sharpe, 1997) (on reserve at Starr and online as a Columbia Library ebook)

## 1) 16 January. Introduction

## 2) 23 Jan. Initial Survey 1

**Sansom** to the end of Chapter XI (“The Development of Chinese Institutions...”)

**Totman** pp. 1-113

Presentation A: 1) read intro to **CHJ** 1; 2) glance over chapters of same; 3) read Edwards, Borgen/Barnes, Batten, and Piggott reviews

Presentation B: 1) read intro to **CHJ** 2; 2) glance over chapters of same; 3) read Borgen, Friday, and Farris reviews

## 3) 30 Jan. Initial Survey 2

**Sansom** to the end of Chapter XX (“Adzuchi and Momoyama”)

**Totman** pp. 114-202

Presentation A: 1) read intro to **CHJ** 3; 2) glance over chapters of same; 3) read Beasley, Berry, Farris, and Steenstrup reviews

Presentation B: John Dower, “Sizing Up (and Breaking Down) Japan” and Martin Collcutt, “The Study of Japan’s Early History”; in Helen Hardacre, ed., *The Postwar Development of Japanese Studies in the United States* (Brill, 1998), pp. 1-84

## 4) 6 Feb. Prehistory: Stone Age, Jōmon, Yayoi

Primary:

Peruse *Ancient Japan* (Richard Pearson [George Braziller, 1992]), pp. 34-185

Secondary:

Shoh Yamada, “Politics and Personality: Japan’s Worst Archaeology Scandal,” *Harvard Asia Quarterly* 6:3, 2002

Imamura Keiji, *Prehistoric Japan: New Perspectives on Insular East Asia* (Hawai’i, 1996), 53-125

Mark Hudson, *Ruins of Identity: Ethnogenesis in the Japanese Islands* (Hawai’i, 1999), Intro. and Part II (“The Yayoi and the Formation of the Japanese”), pp. 1-19, 59-171

Presentation A: Koji Mizoguchi, *An Archaeological History of Japan: 30,000 B.C. to A.D. 700* (U. Penn., 2002)

Presentation B: Walter Edwards, “Buried Discourse: The Toro Archaeological Site and Japanese National Identity in the Early Postwar Period” *Journal of Japanese Studies* 17:1 (Winter, 1991), pp. 1-23; Clare Fawcett, “Nationalism and Postwar Japanese Archaeology” (Kohl and Fawcett, eds., *Nationalism, Politics, and the Practice of Archaeology* [Cambridge, 1995]), pp. 232-246; Koji Mizoguchi, “Self-Identification in the Modern and Post-Modern World and Archaeological Research” (Stark, ed., *Archaeology of Asia* [Blackwell, 2006])

## 5) 13 Feb. Yayoi and Kofun

Primary:

The “Record of Wa” from the Wei section of the *Sanguozhi* (a.k.a. the *Gishi wajinden*) and the “Account of the Country of Wa” from the *Songshu*, as translated in *Japan in the Chinese Dynastic Histories*, trans. Ryusaku Tsunoda, ed. L. Carrington Goodrich (Perkins Oriental Books, 1968): pp. 14-34.

Inscriptions discussed in Christopher Seeley, *A History of Writing in Japan* (E.J. Brill, 1991), pp. 9-25

Secondary:

**Piggott**, pp. 13-101 (“Early State Formation in Japan,” “Treatise on Duplicate Mirrors,” “Suruga and Tôtômi in the Kofun Age”)

Wayne Farris, *Sacred Texts and Buried Treasures: Issues in the Historical*

*Archaeology of Ancient Japan* (Hawai'i, 1998), chap. 1 (pp. 9-54)  
 Joan Piggott, *The Emergence of Japanese Kingship* (Stanford, 1997), chap. 1 (pp. 15-43)

Presentation A: Gina Barnes, *State Formation in Japan: Emergence of a 4th-Century Ruling Elite* (Routledge, 2007)

Presentation B: Farris, *Sacred Texts and Buried Treasures*, chap. 2 (pp. 55-122)

6) 20 Feb. Asuka/Hakuhô

Primary:

SKIM *Nihon shoki* books 28 and 29 (W. G. Aston, *Nihongi: Chronicles of Japan from the Earliest Times to A.D. 697* [orig. published 1896]), pp. 301-381

Hitomaro's elegy for Prince Takechi, *Man'yôshû* II:199-202 (Edwin Cranston, *Gem-Glistening Cup* [Stanford, 1993]), pp. 217-223

Lu, pp. 37-39 and 47-49

Secondary:

Yoshida Kazuhiko, "The Thesis That Prince Shôtoku Did Not Exist" *Acta Asiatica* 91 (2006), pp. 1-20

Michael Como, "Ethnicity, Sagehood, and the Politics of Literacy in Asuka Japan" *Japanese Journal of Religious Studies* 30:1-2 (2003), pp. 61-84

Donald McCallum, "The Emergence of Japanese Kingship, By Joan R. Piggott" *Journal of East Asian Archaeology*, 5:1-4 (2003), pp. 73-99

Bruce Batten, "Foreign Threat and Domestic Reform" *Monumenta Nipponica* 41:2 (1986), pp. 199-219

Presentation A: Charles Holcombe, *The Genesis of East Asia: 221 B.C.-A.D. 907* (Hawai'i, 2001)

Presentation B: Zhenping Wang, *Ambassadors From the Islands of Immortals: China-Japan Relations in the Han-Tang Period* (Hawai'i, 2005)

7) 27 Feb. Nara

Primary:

Lu, pp. 29-36, 49-50

Senmyô (royal proclamations): George Sansom, "The Imperial Edicts in the *Shoku Nihongi*," *Transactions of the Asiatic Society of Japan* 2nd series, vol. 1: pp. 5-40.

Sôniryô, translated in Joan Piggott, *Tôdaiji and the Nara Imperium* (Stanford PhD. Diss., 1987), pp. 267-274

Secondary:

**Piggott**, pp. 103-208 ("The *Hitachi Fudoki* and the Fujiwara," "The Classical Polity and its Frontier," "Roads in the *Tennô*-centered Polity," "Traffic Between Capital and Countryside")

William Coaldrake, "Great Halls of Religion and State," in *Architecture and Authority in Japan* (Routledge, 1996), pp. 52-80

Presentation A: John Augustine, *Buddhist Hagiography in Early Japan: Images of Compassion in the Gyôki Tradition* (Routledge, 2005)

Presentation B: Yoko Williams, *Tsumi: Offence and Retribution in Early Japan* (Routledge, 2003)

8) 6 Mar. Heian

Primary:

The Owari Province Petition of 988 (excerpted)

Documents connected to the Tôdaiji *shôen* in Minase, from Kan'ichi Asakawa, *Land and Society in Medieval Japan* (Japan Society for the Promotion of Science,

1965), pp. 115-121

*Ôkagami*, Michinaga pt. 1 (*Ôkagami, The Great Mirror*, trans. Helen Craig McCullough; Princeton, 1980): pp. 184-199

*Murasaki Shikibu nikki* and *Shôyûki* accounts of the birth of Atsuhira (*Murasaki Shikibu: Her Diary and Poetic Memoirs*, trans. Richard Bowring; Princeton, 1982): pp. 49-73 and 194-198.

**Lu**, pp. 53-79, 86-101

Secondary:

**Piggott**, pp. 209-279 (“Toward Regency Leadership at Court,” “The Court-Centered Polity,” “Kyoto and the Estate System in the Heian Period”)

Alan Grapard, *Protocol of the Gods: A Study of the Kasuga Cult in Japanese History* (1992), pp. 1-14

John Breen and Mark Teeuwen, “Introduction: Shinto Past and Present,” *Shinto in History: Ways of the Kami* (Hawai’i, 2000), pp. 1-12

Presentation A: Bruce Batten, *To the Ends of Japan: Premodern Frontiers, Boundaries, and Interactions* (Hawai’i, 2003)

Presentation B: Charlotte von Verschuer, *Across the Perilous Sea: Japanese Trade with China and Korea from the Seventh to the Sixteenth Centuries* (Cornell East Asia Program, 2006)

[SPRING BREAK: No class on 13 March]

#### 9) 20 March. Kamakura

Primary:

**Lu**, pp. 103-116

SKIM passages from the *Azuma kagami*: Minoru Shinoda, *The Founding of the Kamakura Shogunate, 1180-1185: With Selected Translations from the Azuma Kagami* (Columbia, 1960): pp. 149-364

SKIM documents collected in Jeffrey Mass, *The Kamakura Bakufu: A Study in Documents* (Stanford, 1976)

Secondary:

**Piggott**, pp. 280-401 (“The Mino Genji in the Late Classical Age,” “Kôfukuji in the Late Heian Period,” Japan’s Medieval World,” “East and West in the Late Classical Age”)

**Souyri**, pp. 1-100

Presentation A: Jeffrey Mass, *Yoritomo and the Founding of the First Bakufu: The Origins of Dual Government in Japan* (Stanford, 1999)

Presentation B: Karl Friday, *Samurai, Warfare, and the State in Early Japan* (Routledge, 2004)

#### 10) 27 March. The 'Medieval' World

Primary:

**Lu**, chap. 5 (pp. 117-145)

Secondary:

**Souyri**, pp. 101-141

Readings from Amino Yoshihiko, *Rethinking Japanese History* (trans. Alan Christy, forthcoming from University of Michigan Center for Japanese Studies)

Ryuichi Abé, *The Weaving of Mantra: Kûkai and the Construction of Esoteric Buddhist Discourse* (Columbia, 1999), pp. 399-428

Mikael Adolphson, *The Gates of Power: Courtiers and Warriors in Premodern Japan* (Hawai’i, 2000), pp. 1-20 and 346-355

Thomas Keirstead, “Inventing Medieval Japan: The History and Politics of National

Identity” *Medieval History Journal* 1:1 (1998), pp. 44-71

Presentation A: Jeffrey Mass, ed. *The Origins of Japan’s Medieval World: Courtiers, Clerics, Warriors and Peasants in the 14th Century* (Stanford, 1997)

Presentation B: Thomas Conlan, *State of War : The Violent Order of Fourteenth-Century Japan* (Michigan Center for Japanese Studies, 2003)

### 11) 3 April. Muromachi

Primary:

**Lu**, chap. 6 (pp. 147-170)

Secondary:

**Souyri**, pp. 142-180

Barbara Ruch, "Medieval Jongleurs and the Making of a National Literature" in *Japan in the Muromachi Age*, ed. John Hall and Toyoda Takeshi (California, 1977), pp. 279-309

three chapters from Jeffrey Mass and William B. Hauser, eds. *The Bakufu in Japanese History* (Stanford, 1985): Suzanne Gay, “Muromachi Bakufu Rule in Kyoto: Administrative and Judicial Aspects” (pp. 49-65); Lorraine F. Harrington, “Regional Outposts of Muromachi Bakufu Rule: The Kanto and Kyushu” (pp. 66-98); Peter J. Arnesen, “The Provincial Vassals of the Muromachi Shoguns” (pp. 99-128)

Presentation A: Wayne Farris, *Japan’s Medieval Population: Famine, Fertility and Warfare in a Transformative Age* (Hawai’i, 2006)

Presentation B: Donald Keene, *Yoshimasa and the Silver Pavilion: The Creation of the Soul of Japan* (Columbia, 2003)

### 12) 10 April. Warring States

Primary:

**Lu**, chap. 7 (pp. 174-201)

Keinen’s *Chōsen hinikki*: “Korea Day by Day” in *Sources of Japanese Tradition* (2nd edition, Columbia 2001), pp. 467-472

Secondary:

**Souyri**, pp. 181-217

Mary Elizabeth Berry, “Public Peace and Private Attachment: The Goals and Conduct of Power in Early Modern Japan,” *Journal of Japanese Studies* 12:2 (Summer, 1986), pp. 237-271.

Wakita Haruko, “Dimensions of Development: Cities in Fifteenth and Sixteenth Century Japan,” in John Hall, Nagahara Keiji, and Kozo Yamamura, eds. *Japan Before Tokugawa: Political Consolidation and Economic Growth, 1500-1650* (Princeton, 1981), pp. 295-326

Dale Slusser, “The Transformation of Tea Practice in Sixteenth Century Japan,” *Japanese Tea Culture: Art, History and Practice* (ed. Morgan Pitelka [Routledge, 2003]), pp. 39-60

Presentation A: Lee Butler, *Emperor and Aristocracy in Japan, 1467-1680: Resilience and Renewal* (Harvard, 2002)

Presentation B: Suzanne Gay, *The Moneylenders of Late Medieval Kyoto* (Hawai’i, 2001)

[NO CLASS on 17 April]

**\*\*REQUIRED:** research project summary posted to Courseworks by 10 AM on Weds. 18 April\*\*

### 13) 24 April. Discussion of student research projects

Final papers will be due on Friday, May 4th

## Fundamental English-language References

- **The *Kodansha Encyclopedia of Japan* (9 vols., 1983)**

Despite its age, the original EOJ remains the most complete and reliable English-language reference work. The more colorful and compact 1993 2-volume *Japan: An Illustrated Encyclopedia*, based on the 1983 work, is far less comprehensive, but its recent electronic incarnation is convenient: [www.columbia.edu/cu/lweb/eresources/databases/3237602.html](http://www.columbia.edu/cu/lweb/eresources/databases/3237602.html)

- **A *Student Guide to Japanese Sources in the Humanities* (Yasuko Makino and Masaei Saito, 1994)**

- **The International House of Japan Bibliography (*A Guide to Reference Books for Japanese Studies*, 1997 revised edition)**

Aging and elementary sources, but they remain useful for finding essential reference works and orienting yourself within the field.

- ***Research in Japanese Sources: A Guide* (Herschel Webb, 1963, reprinted 1994)**

- ***Chinese History: A Manual* (Endymion Wilkinson, revised 2000)**

The Webb book is very dated, but its discussions of premodern nomenclature, chronology, and weights and measures remain useful, and there is a valuable chapter on historical sources. Wilkinson is a magnificent reference for Chinese precedents and comparisons: buy a copy!

- ***Japanese History and Culture from Ancient to Modern Times: Seven Basic Bibliographies* (John Dower and Timothy George, 1995 2nd edition)**

Bibliography 1, "Ancient and Medieval Japan from Earliest Times through the 16th Century," is helpful, but it has many omissions and includes material of dubious worth. Use in conjunction with the AAS bibliography, J-STOR, the bibliography in Totman (\*\*2nd edition\*\*), and the flawed but extensive bibliographies in the CHJ volumes. Also see Peter Kornicki's on-line bibliography at: [www.oriental.cam.ac.uk/jbib/bibtite.html](http://www.oriental.cam.ac.uk/jbib/bibtite.html) and the *Acta Asiatica* table of contents at [www.tohogakkai.com/acta.htm](http://www.tohogakkai.com/acta.htm)

- **Association for Asian Studies online Bibliography of Asian Studies ([www.columbia.edu/cu/lweb/eresources/databases/2133481.html](http://www.columbia.edu/cu/lweb/eresources/databases/2133481.html))**

Essential, but requires care in phrasing and constraining searches.

- **JSTOR ([www.columbia.edu/cu/lweb/eresources/databases/1959655.html](http://www.columbia.edu/cu/lweb/eresources/databases/1959655.html))**

Searchable collection of the entire contents, from inception to about 5 years ago, of journals including the Harvard Journal of Asiatic Studies, Journal of Asian Studies, Journal of Japanese Studies, and Monumenta Nipponica. \*\*Bear in mind that searches of journals in JSTOR categories other than Asian Studies, such as History, Language and Literature, or Archaeology, also turn up important materials.\*\* Also check Project Muse for journals like *positions* and recent numbers of Monumenta, the JJS, etc.: [www.columbia.edu/cu/lweb/eresources/databases/1955291.html](http://www.columbia.edu/cu/lweb/eresources/databases/1955291.html)

- **PMJS (Premodern Japan Studies listserve) logs and other resources ([www.meijigakuin.ac.jp/~pmjs/](http://www.meijigakuin.ac.jp/~pmjs/))**

- **H-JAPAN (Japanese History listserve) logs ([www2.h-net.msu.edu/~japan/](http://www2.h-net.msu.edu/~japan/))**

Both searchable, these provide useful entry points into the primary electronic communities for premodern Japanese studies in English. In addition to perusing archived discussions, students are encouraged to join one or both of these lists.

### Supplementary Readings

An unsystematic collection from the previous version of this class, in rough chronological order.

- Gina Barnes, *The Rise of Civilization in East Asia: The Archaeology of China, Korea, and Japan* (1993, reprinted 1999)
- Multicultural Japan: Paleolithic to Postmodern* (ed. Donald Denoon et. al [Cambridge University, 1996])
- Gari Ledyard, "Galloping along with the Horseriders: Looking for the Founders of Japan," *Journal of Japanese Studies*, 1:2 (Spring, 1975), pp. 217-254
- Walter Edwards, "Event and Process in the Founding of Japan: The Horserider Theory in Archeological Perspective," *Journal of Japanese Studies*, 9:2 (Summer, 1983), pp. 265-295
- Joan Piggott, "Mokkan: Wooden Documents from the Nara Period" *Monumenta Nipponica* 45:4 (Winter, 1990), pp. 449-470
- Medieval Japan: Essays in Institutional History*, ed. John Hall and Jeffrey Mass (Yale, 1974)
- Wayne Farris, *Population, Disease and Land in Early Japan, 645-900* (Harvard, 1985)
- Bruce Batten, "Provincial Administration in Early Japan: From *Ritsuryô kokka* to *Ôchô kokka*" *Harvard Journal of Asiatic Studies* 53:1 (1993), pp. 103-134
- Kôzô Yamamura, "The Decline of the Ritsuryô System: Hypotheses on Economic and Institutional Change" *Journal of Japanese Studies* 1:1 (1979), pp. 3-37.
- Robert Borgen, *Sugawara no Michizane and the Early Heian Court* (Harvard, 1986)
- Peter Kornicki, *The Book in Japan* (Brill, 1998)
- Masayoshi Sugimoto and David L. Swain, *Science and Culture in Traditional Japan* (MIT, 1978)
- G. Cameron Hurst, *Insei: Abdicated Sovereigns in the Politics of Late Heian Japan, 1086-1185* (Columbia, 1976)
- Thomas Keirstead, *The Geography of Power in Medieval Japan* (Princeton, 1992) (118 pp.)
- Karl Friday, *Hired Swords: The Rise of Private Warrior Power in Early Japan* (Stanford, 1992)
- Wayne Farris, *Heavenly Warriors: The Evolution of Japan's Military, 500-1300* (Harvard, 1992)
- Court and Bakufu in Japan: Essays in Kamakura History* (Stanford, 1982)
- Jeffrey Mass *Court and Bakufu in Japan* (1982) and *Antiquity and Anachronism in Japanese History* (1992)
- Thomas Conlan, *In little need of divine intervention : Takezaki Suenaga's scrolls of the Mongol invasions of Japan* (Cornell, 2001)
- William Bodiford, *Soto Zen in Medieval Japan* (1993)
- Janet Goodwin, *Alms and Vagabonds: Buddhist Temples and Popular Patronage in Medieval Japan* (Hawai'i, 1994)
- Martin Collcutt, *Five Mountains: The Rinzai Zen Monastic Institution in Medieval Japan* (Harvard, 1981)
- Amino, Yoshihiko "Commerce and finance in the middle ages: the beginnings of 'capitalism'" *Acta Asiatica* 81 (2001), pp. 1-19
- Andrew Goble, *Kenmu: Go-Daigo's Revolution* (Harvard, 1996)
- H. Paul Varley, *The Ônin War: History of Its Origins and Background With a Selective Translation of The Chronicle of Ônin* (Columbia, 1967)
- Mary Elizabeth Berry, *The Culture of Civil War in Kyoto* (California, 1994)
- Warlords, Artists, and Commoners: Japan in the Sixteenth Century*, ed. George Elison and Bardwell Smith (Hawai'i, 1981)
- Michael Cooper, *They Came to Japan: An Anthology of European Reports on Japan, 1543-1640* (California, 1965)