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CONTENTS

From the Editor i

From the President ii

Articles

Uncovering the Online Information Seeking Behaviors of Chinese University Students: A Pilot Study 1
Ralph Gabbard, Allison Leaming, Qian Liu, Wang Lei, Melissa Guy

The Anyu 案语 of Siku quanshu zongmu 四库全书总目 23
Mao Ruifang

Special Libraries in Hong Kong: A Series of Interviews by Patrick Lo (Cont.)

Graffiti Inside an Art and Design Library? The Hong Kong Design Institute Library Experience 40

Why is the Archives Policy Absolutely Vital for the Archives Collection to Function? The Lingnan University Experience 49

The Hong Kong Museum of Medical Sciences 60

Reports

Bibliography of Eizaburo Okuizumi 73
Keiko Okuizumi

East Asian Library Pioneers

Remembrance on the Eve of My Retirement 88
Ma Tai-loi

Retirements 91
New Appointments

In Memoriam
Tung-King Ng  (1921-2014)  

An Anecdote about Ms. Tung-King Ng
Tsuneharu Gonnami

Book Reviews
Zehao Zhou

Xian Wu

Index
From the Editor

With this issue, the official publication of the Council on East Asian Libraries passes a new milestone. Over the years there have been others: the switch from an irregular mimeographed newsletter to a bound regular print newsletter, the move to a bulletin, and then becoming a journal. An online electronic archive and later online current issues were achieved, as well as the Journal becoming a peer-reviewed journal. Now, effective with the next issue, February 2015, No. 160, it will become a completely online journal. Our organization has always been forward-looking and has always tried to use the most effective, efficient way to communicate among ourselves and with others who share our dedication to libraries and East Asian cultures. It is this desire, to serve more and serve better, that underlies the newest milestone, becoming an online journal.

I was the one who first raised the question of changing to online format with the Executive Board; I supported the idea; and I applauded the decision of the CEAL membership to implement it. I believe it is the best course for our journal and our organization. Yet a part of me feels a wrench that this is the last print issue and to realize that the journal will never be a physical, bound object again, sent out to subscribers to open, leaf through, read, and put on a shelf. The nostalgia is very real. Equally real is my commitment to CEAL and to the Journal of East Asian Libraries. I am truly glad that JEAL is becoming a fully online, open-access journal. I firmly believe it is the right path for CEAL and for our journal, and I will do everything I can to make it succeed. Please join me in supporting the new format for our Journal and in renewing your commitment to our organization, CEAL, and our profession of East Asian librarianship.

Gail King
Editor, Journal of East Asian Libraries
From the President

This issue of the *Journal of East Asian Libraries (JEAL)* will be the last published in print. As editor Gail King notes in this issue, what began as a mimeographed newsletter is now online, peer-reviewed, and open access. The move to exclusively digital format represents another remarkable transition for this 51-year old publication.

The original newsletter first appeared in May of 1963 under the auspices of the Association for Asian Studies’ Committee on American Library Resources on the Far East (CALRFE), the organization that later became the Council on East Asian Libraries (CEAL). The CALRFE newsletter began as a collection of numerous short notes and updates for the membership and bears little resemblance to the current professionally published *JEAL*. However, many of the core concerns of the organization’s membership have clearly not changed greatly over the years. The short articles discuss projects to preserve important scholarly resources and ways to design products to make them more user-friendly. They provide evidence of strong collaborations between East Asian studies librarians and a sense of excitement in communicating about recent publications and developments in the field. While the world of librarianship is radically different today, these legacies continue.

I took office in March as CEAL President, replacing Peter Zhou, who now becomes Past President on the CEAL Executive Board. The accomplishments of Peter as CEAL President are many and varied, but the two annual meeting plenary sessions he organized with Luce Foundation funding were a highlight. The plenaries brought the CEAL membership into contact with themes and ideas that are circulating among the foremost thinkers in our profession today. It was a welcome chance to engage in discussion with those who will help shape the way academic libraries evolve.

The election cycle for 2014 brought many new faces to the CEAL Executive Board. Jim Cheng is the new Vice President/President-Elect. New committee chairs are: Miree Ku (Korean Materials), Michiko Ito (Japanese Materials), Hong Cheng (Chinese Materials), Sharon Domier (Public Services) and Erica Chang (Technical Services). And, Tomoko Bialock and Michael Meng joined the board as Members-at-Large. Board business is in full swing; some of the major projects underway relate to grant applications, planning for a new CEAL budget model, renewal of the LC-CEAL Cataloging Internship Program, and planning for the 2015 CEAL Annual Meeting in Chicago. Planning will also begin soon for the 2015 elections for two officers (secretary and treasurer) and two members-at-large. Information about all of these initiatives will be shared on Eastlib and the CEAL website in coming weeks.

I look forward to greeting everyone next March in Chicago.

Ellen H. Hammond
President, Council on East Asian Libraries
Uncovering the Online Information Seeking Behaviors of Chinese University Students: A Pilot Study

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Qian Liu, Area Studies Librarian for East Asia, Arizona State University
Wang Lei, Instructor of English, Liaoning University, Peoples Republic of China
Melissa Guy, Area Studies Librarian for Latin America, Arizona State University

Abstract

The online behaviors of researchers have been studied from many angles in the library and information science literature. This collaborative study presents a unique perspective by detailing the behaviors exhibited by Chinese university students executing a researcher-defined task. Data was collected using a verbal protocol analysis method. The study results are correlated to research provided by leading scholars in the field of information seeking behaviors. The results of the study provide a valuable starting point for understanding the behaviors exhibited by a growing and significant group of online researchers.

1. Introduction

The amount of information available online has grown exponentially as the technological landscape has evolved. Many sources previously published in print format with limited access are now available electronically to a huge online audience. New consumers of online information increasingly live in emerging economies. China represents the world’s largest technology, communications and media market, and more than ever, Chinese researchers choose to go online in their quest for information. According to the China Internet Networks Information Center (CNNIC) China has the largest online population in the world with 618 million Internet users, a 45.8 percent usage rate at the end of 2013.1 The growth of the online Chinese audience, and the proliferation of online information retrieval systems has led to the need for greater knowledge and understanding of Chinese users’ information seeking behavior.

There are many definitions of information seeking behavior. The authors of this study have adopted the definition proposed by Peter Ingwerson and Kalervo Jarvelin that states that information seeking behavior deals with “searching or seeing information by means of information sources and (interactive) information retrieval systems.”2 It is “a complex dynamic, social human behavior that needs as rich a picture as possible to truly understand the phenomenon – and even then there will be many unanswered questions.”3
In the information seeking behavior literature, authors have explored many of the variables that have an impact on information seeking behaviors including the amount of searcher experience or expertise, personality types, learning styles, and cultural differences. This paper details a pilot project which explored using verbal protocol analysis to investigate the information-seeking behaviors of Chinese university students. For this project the authors selected the search strategy categories developed by Andrew Thatcher in his investigations of users' web searching strategies. Thatcher's four step theory is discussed in greater depth in Section 3.5, Analysis Methods.

1.1 Research Rationale

The purpose of this pilot project was to observe and identify the online information seeking behaviors of Chinese students. This study is unique, as it is one of the first projects to employ verbal protocol analysis to learn about the information seeking behaviors of university-level students in China. It is intended to provide the groundwork for a larger and more inclusive research project.

The research question asked is: What are the information seeking strategies of Chinese university students using the Internet in a researcher-defined task?

2. Literature Review

Donald Case suggests that there has been “an escalating growth rate: 30 items per year during the early 1970s, 40 during the early 1980s, 50 by the late 1980s, 100 by 1990, and 120 items per year by 2005” in studies of information seeking behavior. These studies cross a wide range of topics, including but not limited to studies exploring health information seeking behaviors, online purchasing decisions, habits of academic and students researchers, and information seeking behaviors in developing countries.

Over time, the emphasis of information seeking behavior studies has changed from a focus on professional researchers to include all kinds of information seekers. Heidi Julien et al. reviewed information seeking behavior research from 1999 to 2008. Building on earlier work, the authors found that while theory continued to play an important role in information seeking behavior research, a move towards “more qualitative approaches and greater interest in everyday life information seeking” could be identified. Pertti Vakkari agrees, noting that qualitative research on information seeking behavior has continued to increase since the mid-1960s with most researchers using survey methods (questionnaires and interviews). Vakkari also concludes that early studies on information seeking behavior tended to focus on professionals; however, in later years there has been an increase in studies on the information seeking behavior of everyday users.

Studies have been conducted, both in North America and China, to learn about the needs of Chinese student researchers and their perceptions and use of libraries and the Internet. Xiaoying Dong studied the use and usefulness of the Internet through a
A Canadian study conducted by Guoying Liu and Danielle Winn used in-depth interviews to explore Chinese graduate students' perceptions and expectations of academic library services at the University of Windsor.13

An extensive search of the mainland Chinese core information science journals reveals more than 90 articles published in the past 10 years that focus on the information seeking behavior of university-level Chinese users. A study by Hu Changping et al. explored the information seeking behaviors of researchers in higher education, both on the Internet and in the library. Using surveys, the authors found that 58% of respondents used mainly library resources supplemented with online search engines, and 42% of respondents used the opposite search process (mainly search engines supplemented with library resources).14

Tao Fanglin's study looked at university teachers and their information seeking behavior. The study found that 68% of university teachers' first choice for an information search was an online search.15 Research by Li Fengqing and Li Laisheng echo Tao's findings, which also found that 67% of faculty used electronic journals and 45% used electronic books in their information seeking tasks.16 It is interesting to note the increased preference for web-based searching in both the Tao study and Li and Li study, as compared to the Hu et al. study published just two years earlier.

A handful of articles that focus on college students and information seeking behaviors have been published in China.17 Wang Yiming studied the research behaviors of Beijing college students writing their dissertations. The study found that students spent 46.5% of their total research time focused on electronic sources.18 Similarly, Zhai Yanxiang et al.'s investigation found that over 50% of students used the Internet as their primary resource for finding information.19 Chen Jiewei's research found that more and more library users were using digital resources during their information seeking task and users were focused more on information that is innovative, accurate and systematic.20

A counterpoint to Wang's and Zhai et al.'s investigations is Zhang Caoxia and Zhang Weiyi's study of the information seeking and retrieval behavior of medical school students at Suzhou University. Eighty percent of students who did use the Internet for research responded that they solely relied on public websites; only 11% of students used university-subscribed research databases.21

Ren Qixiang and Wang Yanni used a survey to investigate university students' online information seeking behaviors. They found that the primary factors affecting students' choice of search tool was convenience and efficiency of the search engine, and the quantity of information available. When extracting the most useful results, credibility and the academic value of the information were critical.22

Tong Yanrong and Song Pengbo surveyed 600 Chinese university students to explore online information seeking behaviors in three areas: general Internet use, use of electronic library resources, and use of search engines for finding information. The
questionnaire uncovered that the majority of students find academic information primarily from the library’s print collection. 65% of students use Internet search engines and 51% use professional websites. Only 3% of students indicated familiarity with the library’s electronic resources. The popular Chinese search engine, Baidu, was preferred by 96% of students. When searching, 80% of students used keywords; however, 40% of students indicated they might also type in an entire sentence or phrase when searching. After an unsuccessful search attempt, 96% of students restart their search with new keywords. Few students showed competency improving a search strategy by combining search terms or choosing advanced searching options. Many students indicated that they would change search engines or add more keywords instead of refining an existing search strategy. It is interesting to note that all students reported that learning search methods and skills is necessary to have a successful online retrieval experience.

Guo Liwei surveyed the information behaviors of graduate students. Although Guo found the majority of students were able to describe their information needs, only 10% of respondents were willing to ask for help from an information specialist if their attempts were unsuccessful. The remainder of respondents either gave up the task or just randomly searched the internet without a plan. Guo’s research also found that about 32% of the surveyed graduate students preferred to rely solely on electronic resources. 14.4% of the students only utilized print sources, while the remaining 53.6% were willing to consult either print or electronic sources, depending on their needs. When choosing where to search for information most students use library databases (88.41%) and web search engines (78.26%). Approximately one third of students (34.78%) use only websites they are familiar with, and over 20% (21.74%) preferred to rely on websites recommended by others.

A limited number of articles in the Chinese academic press use verbal protocol analysis to study information seeking behavior. In 1992, Wang Su and Wang Ansheng first presented verbal protocol analysis as a methodology to the Chinese audience in their book *Renzhi xinlixue* 认知心理学 [Cognitive Psychology]. Later articles provided more detail on verbal protocol analysis across several Chinese fields of study. This study is the first to utilize verbal protocol analysis in the area of information seeking behavior in China. Existing studies are concerned mainly with uncovering the particulars of student use of the Internet, but do not explore information-seeking strategies or decisions in detail. Studies that collect qualitative data illuminating the decisions Chinese students make when they search online will become increasingly important as the Internet in China, as the research has shown the Internet has developed into the most important resource for academic research. This study is unique, as the information seeking behavior of Chinese university students’ utilizing verbal protocol analysis has not been investigated to date.

Outside of China, verbal protocol analysis methodologies are emerging as a qualitative research technique applied in the investigation of information-seeking behaviors in academic environments. Jennifer L. Branch collected over 140 verbal protocols in her study of the information seeking processes of junior high students as they accessed information using CD-ROM encyclopedias. Using the same methodology, Tamal Kumar
Guha and Veena Saraf learned about users’ satisfaction and dissatisfaction with an online library catalog.28 Maaike van den Haak, Menno De Jong and Peter Jan Schellens also tested the usability of an online library catalog through a comparison of concurrent and retrospective methods of verbal protocol analysis.29

3. Method

3.1 Site

Liaoning University in Shenyang, Liaoning Province, People’s Republic of China was the site for this project. Liaoning University is a multidisciplinary university with 25 colleges offering undergraduate and graduate degrees. As a Project 211* University, it is one of approximately one hundred universities participating in a government initiative to strengthen the quality of education, scientific research, management and institutional efficiency. Liaoning University has a teaching faculty of over 1,360 and a student body of over 27,000. This pilot project took place over a two week period toward the end of the 2011 spring semester.

3.2 Participants

Three test administrators, current students or recent graduates of the Master’s program in English at Liaoning University, were trained in conducting verbal protocol analysis sessions. The test administrators were given the responsibility of preparing participant transcripts, as well as the English translations of the transcripts. As remuneration the test administrators were given 1,000 RMB (about $150.00 USD) at the conclusion of the project.

Study participants were selected using the nonprobability judgment sampling method. One department was selected from each of the three major divisions at Liaoning University: social sciences (business), science, and the humanities (English). A call was sent out to the three departments asking for student volunteers, and from this pool 15 students were chosen as participants.

English majors at Liaoning University spend the first two years focusing on basic language skills, listening, speaking, reading and writing. In their junior year students begin to write research papers; however, students do not receive instruction or training on locating information or evaluating the found information. Business majors enrolled at the International Business School at Liaoning University participate in the 2+2 program. This program is a partnership with a university in Great Britain. The curriculum is designed by the British university and professors from the British university teach a

* Project 211 is a Chinese government project to strengthen selected institutions of higher education and key disciplinary areas as a national priority for the 21st century.
minimum of two weeks at Liaoning University each semester. Program instruction includes research methods and research paper construction during the freshman year. At the time of this study, the science students had begun work on their Master’s theses and displayed greater familiarity with finding and evaluating academic content.

Human subject approval was not necessary at Liaoning University for this project, as no personal information beyond age, gender, major, class, and searching level was collected during the research sessions.

3.3 Procedures

Participants were given a question (a researcher-defined task) requiring them to perform a search for an appropriate article. After locating an article, participants were asked to record the article citation. Sessions were conducted in Chinese. The English majors were asked to find a review of the novel *Five Spice Street*. The science majors were asked to find an article about sustainability and green technology. The business majors were asked to choose a major Chinese company and find an article discussing the company’s market strategy. Each session was audio recorded and lasted between 15 and 30 minutes. At the beginning of each individual session the test administrators explained the purpose of the study and outlined the specific process involved with collecting a concurrent verbal protocol. Participants received an Arizona State University T-shirt upon completion of the verbal protocol session.

The data collected was gleaned entirely from the verbal protocol transcripts. While participants did access the library's web page, they used it only as a place from which they could link to other databases. They did not use the library's online system. Participants also went directly to Baidu or Google.

3.4 Verbal Protocol Analysis Method

Verbal protocol analysis requires participants to verbalize their thoughts aloud while performing a task or a set of tasks. Statements are usually recorded or transcribed for analysis. The basic assumption of this method is that when people “think aloud” while performing a task, the verbal stream functions effectively as a “dump” of the contents of working memory. According to this view, the verbal stream can be taken as a reflection of the cognitive processes in use. Verbal protocols reveal information about the process by which decisions are made that might be overlooked through other data collection methods. Concurrent protocols are collected at the same time the participant performs the task. They are uninterrupted, unprompted verbal streams produced by the participant. Retrospective protocols are provided after the task has been completed in response to specific questions. For example, questions such as “How did you solve this problem?” and “Where did you go to find the information you needed?” will produce retrospective verbal protocols.
Verbal protocol analysis allows for a verbalization of the decision-making process without an alteration of the sequence of thoughts, and can therefore be accepted as valid data on decisions and behaviors. Based on their theoretical analysis, K. Anders Ericsson and Herbert A. Simon argued that the closest connection between thinking and verbal reports is found when subjects verbalize thoughts generated during task completion. When subjects are asked to think aloud, they vocalize “inner speech,” which would otherwise have remained inaudible. The goal is for subjects to express out loud the thoughts that occur to them naturally.

In a comprehensive review of dozens of studies, Ericsson and Simon found no evidence that the sequences of thoughts (accuracy of performance) were changed when subjects thought aloud as they completed the tasks when compared to subjects who completed the same tasks silently. However, some studies showed that when a verbal protocol is generated simultaneous to task performance, the act of verbalizing thoughts may slow down the cognitive processes slightly.

As is the case with most research methods, verbal protocol analysis has both advantages and limitations. Obviously, subjects can verbalize only thoughts and processes about which they are consciously aware. Thus, processes that are automatic and executed outside of conscious awareness are not likely to be included in verbal protocols, and other means of assessing such processes must be used. Also, nonverbal knowledge is not likely to be reported. Another limitation of the verbal protocol analysis methodology is that it is very labor intensive. Verbal protocol data is considered “expensive” data. The collection and coding of the protocols is extremely time-consuming as compared with other methodologies. However, the potential value of the information that can be acquired about the contents of working memory during task performance is arguably worth the time required.

### 3.5 Analysis Methods

The following data was collected from the verbal protocols and test administrator notes: time to complete task, number of queries, participant age, participant major, participant class, participant gender. Lastly, the participant’s success in completing the task (successful, partially successful, or unsuccessful) was recorded. The sample size (15 participants) was too small to provide any meaningful statistical analysis, therefore, only descriptive tables are provided in Section 4 of this article.

The analysis of the cognitive search strategies from the participants’ verbal protocols followed the categories devised by Andrew Thatcher’s investigation of information seeking behaviors on the Internet. Thatcher based his categories on the work of Gary Marchionini and Raya Fidel et al. Marchionini explained that searching for information can be broken into five areas: initiating the task, developing search terms, sustaining the search, terminating the search, and unusual behaviors. Thatcher modified this model to be “represented in four steps: initiation, search terms (formulating query and examining results), sustaining, and terminating.” Within these four steps, Thatcher identified several cognitive search strategies.
1. Safe Player strategies according to Thatcher are those where the searchers stay in search environments familiar to them. Thatcher describes four Safe Player strategies:

   a. **Broad first** where “participants would first search using one or more general search terms defined by the search task” before moving to more precise search terms when the broad terms failed to produce an acceptable result.\(^36\)

   b. **Search engine narrowing down** where searchers select “a search engine based on the known or perceived attributes of the search engine or chose the subject categories on a search engine that would assist in narrowing the search domain”.\(^37\)

   c. In the **search engine player strategy** searchers “used different search engines to search different portions of the Web with the same search terms based on the known, or perceived, capabilities of different search engines or would use meta-search engines to achieve the same goal”.\(^38\)

   d. **Known address search domain** where searchers go to a web site they were familiar with and that could be used as a portal or starting point for the search, rather than a search engine.

2. **Parallel Player strategy** searchers open “multiple browser windows”\(^39\) and simultaneously “conduct different searches”\(^40\) using different search strategies in each browser.

3. Searchers using the **link-dependent strategy** rely “on hyperlinks from the homepage to move from one webpage to another”.\(^41\)

4. In the **to-the-point strategy** searchers “first used quite specific search terms with the intention of getting directly to the answer”.\(^42\)

5. **Known address strategy** is where searchers go directly to a web site they have experience where they feel they are likely to find the results required.

6. The **sequential player strategy** “is a combination of the “safe player” and “to-the-point” strategies.

7. In the **deductive reasoning strategy** searchers “reason through the task, based on their own conceptualization of the problem domain”.\(^43\)

8. **Virtual tourist strategy** is one where the searcher follows a “predetermined set of links”\(^44\) in order to solve the information task.

9. In the **parallel hub-and-spoke strategy** searchers instead of returning to the results pages of a search engine would open up each search result in a new browser window”.\(^45\)
Andrew Thatcher in his research (which used researcher-defined tasks) found that more experienced searchers “were more likely to use “Parallel player” and “parallel hub-and-spoke” strategies and to a lesser extent, the “Known address search domain and Known address strategies”46. However, he found the less experienced searchers “were more likely to use strategies that involved less cognitive effort such as the “Virtual tourist”, “Link-dependent”, “To-the-point”, “Sequential player”, Search engine narrowing”, and “Broad first” strategies”47.

4. Results and Discussion

4.1 Descriptive Data

Table 1 presents the demographic information for the each group of participants.

| Table 1
Demographic Information Summary |
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<tr>
<td><strong>Group</strong>&lt;sup&gt;1&lt;/sup&gt;</td>
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<td>Business/Freshmen</td>
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<td>English/Juniors</td>
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<td>Science/Grad Students</td>
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<td><strong>Age</strong></td>
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<td>25</td>
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<td><strong>Gender</strong></td>
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<td>Female</td>
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<tr>
<td>Male</td>
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</table>

<sup>1</sup> In this study all freshmen are Business majors, all juniors are English majors, and all grad students are Science majors, therefore the class and major data have been combined.

The time to complete task, number of queries, and success in completing the task are illustrated in Table 2 below.

| Table 2
Time, Queries, Searching Level, and Success Summary |
<table>
<thead>
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<th></th>
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<tbody>
<tr>
<td><strong>Participant</strong></td>
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<tr>
<td>Business</td>
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<td>1</td>
</tr>
</tbody>
</table>
Though there can be no statistical analysis of the data in Tables 1 and 2 because of the sample size, several interesting observations can be made from the data. The results from the Science Group showed the fastest completion time (7.4) and the fewest queries (3.6), and also turned in the greatest number of successful task completions (4 out of 5). Six of the participants identified themselves as having only a beginning level of search experience, and 9 participants identified themselves as intermediate searchers. None of the participants identified themselves as advanced searchers. This may be more a reflection of the participants' reluctance to classify themselves as advanced users, rather than a real skill level assessment.

4.2 Verbal Protocol Analysis.

The primary goal of this research, as defined by the research question, is to determine the dominant information seeking behaviors of Chinese university students when using the Internet to answer a researcher defined task. The analysis of the verbal protocol transcripts revealed several themes.

One of the initial themes discovered during the analysis phase was that over half the participants in this study (eight out of 15) used the To-the-Point strategy as their first strategy. According to Thatcher, information-seekers using the To-the-Point strategy use specific search terms (exact words or phrases) in their favorite search engine. “[T]heir intention was to get directly to the answer straight away.” They do not begin their
search with broad terms and then narrow them down. Selecting their favorite search engine (most often Baidu), these participants entered the exact phrase asked by the test administrator. An example of this strategy is Business 2 who commented when given the task question:

I type in keywords “company’s market strategy for the future.”

Notice that Business 2 did not input a series of keywords but instead transposed the exact question phrase. After unsatisfactory results, Business 2 tried the following:

I’d like to switch keywords to “a research article of Chinese company” so that I can find some academic articles.

Once again the participant used the To-the-Point strategy and input an exact phrase. However, not all participants who began their information task with the To-the-Point strategy continued with the strategy after unsuccessful searches. Many participants in this study changed strategies, moving to one of the Safe Player strategies.

According to Thatcher, Safe Player strategies are centered on the participant’s intention to “remain within a safe or familiar search environment, and not to wander too far into ‘unknown’ search territory.”49 One of the most-used Safe Player strategies in this study was the Search Engine Player strategy where the information-seeker uses different search engines based on their attributes (real and perceived) using the same search terms. “They would use different search engines depending on whether the capabilities of a search engine matched the particular search task.”50 If the initial search engine choice resulted in an unsuccessful return, then the information-seeker changes search engines rather than revise the original search terms. Science 1 began searching in Google. After realizing that a required a research article was required, Science 1 commented:

...we use Google because we can find a wide range of information ... in our university we normally go to CNKI† to find research articles.

Science 1 did not change the search terms when he/she decided to try the scholarly CNKI database. Science 1 continues:

Here, uh, if you are not skillful in searching for information at CNKI, you can, like me and my classmates, we would first use Google or Baidu.

Science 4’s comments further illustrate the rationale for using the Search Engine Player strategy:

If I want to search for some non-academic articles, I’ll use Baidu. If I want an academic paper, I’ll use the electronic library of our university.

† CNKI stands for China National Knowledge Infrastructure
The participants did not change the search terms but moved from one search engine to another based on their assumptions about the search engine’s capabilities and the information it retrieves.

Another Safe Player strategy used quite often by participants in this study was the Known Address Search Domain strategy. Information-seekers using this strategy go directly to a known website to begin their search. The webpage is “selected because it defined a known search domain or contained links to webpages that may have had the answer.”

In this study participants most often use the Liaoning University Library’s homepage as a portal to link to databases, especially the CNKI database; however, most did not know the URL of the Library homepage and had to use a search engine to find the URL. Users of this strategy did not expect “to find the answer, but rather the point from which they intended to embark on their search task.” Some participants were familiar with the databases available on the Liaoning University Library homepage. For example, Science 5 commented:

Generally speaking, if we are hunting for some documents, I will go to the Liaoning Library website.

The Broad First Safe Player strategy used by the group (Science) was the most successful in completing the task correctly. In this strategy, the information-seeker selects a search engine they are familiar with, and uses search terms that are relevant to their task but still “broad enough to obtain a wide range of search results.” This group did thoughtfully consider which key words to use, as evidenced by Science 2’s comments:

I’d like to start from two key words sustainability and green technology. A question occurs to me immediately, namely, what are the general ideas of the two key words?

Science 5 provided a road map for this strategy by commenting after the verbal protocol session:

First I make the requirements clear, then I decide the specific measures of my search. I begin searching the Internet in a wide range then I select a narrow range out from the wide range.

A few participants used the Search Engine Narrowing Down Safe Player strategy. In this strategy participants select a “search engine based on known (or suspected) attributes of the search engine,” thus narrowing their search without leaving their comfort zone. The difference between the Search Engine Player strategy and this strategy is that users “choose a search engine category to narrow the search.” For example, English 2 began his/her search in Baidu but decided:

I am ready to alter the searching mode. I’d like to go to CNKI
English 2 moved from a general search engine to a much narrower search engine thus narrowing his/her search without altering the search terms.

The Link-Dependent strategy was rarely used by the participants in this study. Information-seekers employing the Link Dependent strategy use homepage links to find information about the task because they are uncertain about using search engines. According to Thatcher the intention is either to use “links from the homepage in searching for information on the particular”\(^{56}\) or “they were unfamiliar with search engines and felt more comfortable using links.”\(^{57}\) For example, after several failed keyword searches in Baidu, English 1 tried the link to the:

> “Baidu Encyclopedia, I hope I can find some information about this book.”

This approach was not successful. Instead of attempting a keyword search, the participant then decides:

> …let’s go to Baidu Knows\(^{‡}\) and see if there are some comments about the book.

This strategy also proved unsuccessful. Next, the participant used Baidu to find several blogs. After viewing several blogs without successful results, English 1 found something in a blog which they decided completed the task. English 1 did try both Baidu and Google but quickly moved away from using search engines and felt more comfortable using the Link-Dependent strategy then rethinking his/her search terms.

A few participants used the Sequential Player strategy which combines one or more Safe Player strategies (Broad First, Search Engine Narrowing Down, Search Engine or Known Address) and To-the-Point strategy. They move rapidly between two strategies going from general search terms to exact phrases or vice versa during their information-seeking task. For example, Business 1 commented:

> I will input “information on the company’s market strategy in the future”, then eh, I will input, eh, first I enter the keywords, then I will define the range and input “Chinese company”, and click “search.”

Once Business 1 realized that the exact phrase was not going to provide the results necessary to the complete the task, he/she decided to reduce the search terms:

> I will reduce the number of the keywords because I find it is hard to search when typing in all the keywords.

In this case, the revised search strategy increased the number of possible results, and was in fact a Broad First strategy. The participant moved from the To-the-Point strategy to the

\(^{‡}\)Baidu Knows is similar to (but not entirely like) Ask.com where one can ask a question and other users will answer.
Broad First Safe Player strategy by going from exact words or phrases to general search terms.

Two strategies identified by Thatcher were not used by participants in this study: the Parallel Player strategy or the Deductive Reasoning strategy.

5. Limitations

Because the sample size is small, (15) it is not possible to generalize the findings of this study. The verbal protocol analysis sessions were conducted in Chinese, and then translated by the test administrators into English. The possibility of incorrectly translated verbal protocols transcripts has been mitigated by the participation in this study by Ms. Wang, a graduate level English instructor at Liaoning University. Ms. Wang carefully reviewed the transcripts before the results were analyzed. In addition, examples cited in this article were reviewed again by Ms. Wang to ensure that the translation was correct.

Verbal protocol analysis as a data collection methodology has had critics. One criticism put forth by Alison Green is that the methodology requires a large amount of time to analyze the verbal data. This is perhaps less a criticism, than a warning for researchers to be aware of the time it takes to scrutinize verbal protocol data. Peter Samgorinsky observed that many critics of the methodology are concerned that “the act of talking while performing a given task might alter the process from the way it would naturally occur.” However, Mark C. Fox et al.’s meta-analysis of verbal reporting studies supports Ericsson and Simon contention that verbalization does not affect task performance during a verbal protocol session. Another concern of critics is that “[p]rotocols invariably include moments of silence, in which the subject struggles with a thought...” Samgorinsky reports that Ericsson and Simon suggested that even gaps provide additional information about the thought processes of the subject during the verbal protocol session.

A wide variety of studies have replied to these criticisms. In their meta-analysis of verbal reporting studies, March C. Fox et al. report “that think-aloud is a legitimate and practical method of collecting information on thought processes. Although the think-aloud procedure has limits and does not assure a complete record of participants' thoughts, it is at present the only nonreactive method of collecting the verbalized contents of thoughts while participants focus on completing challenging tasks.”

6. Conclusions

The original research question asked was: What are the information seeking strategies of Chinese university students using the Internet in a researcher-defined task? As we progressed through the protocol analysis it became apparent that a dominant information seeking behavior demonstrated by Chinese university students did not exist. Instead, we identified several strategies that participants employed during a research
task. Rarely did a participant stay with one strategy, but tended to move quite quickly from one strategy to another supporting both Andrew Thatcher and Raya Fidel, et al.’s observations that information-seekers often revise their search strategy as they progress through a task. Thatcher continues: “In fact, some participants changed their search strategy as many as three times for one task.” In this study twelve of the 15 participants changed their strategy at least once. Of these twelve participants, seven changed search strategies two times, and five changed search strategies three times. Our evidence supports the theory that information seekers change their behavior, sometimes more than once, during an information seeking session.

The authors recognize that, as a foundational study, it is not possible to generalize the findings of this study to all university students in China. Regardless, there are many applications for future explorations as the results do contain insights into the information-seeking behaviors of Chinese university students using the Internet. Those who are interested in cross-cultural studies may find useful information in this study. Teachers, librarians, and others who provide instruction in the use of electronic research tools may find the findings useful as they develop curriculum introducing students to the online environment. Lastly, website and interface designers, and search engine developers may gain a more nuanced view of the commonalities in information-seeking behaviors of university-level researchers.
Notes


Ibid.


35 Thatcher, 2006, 1316
36 ibid, 1316
37 ibid, 1316
38 ibid, 1316
39 ibid, 1316
40 ibid, 1316
41 ibid, 1317
42 ibid, 1328
43 ibid, 1328
44 ibid 1327
45 ibid 1327
46 Thatcher, 2006, 1059.
47 ibid, 1062.
48 ibid, 1060.
49 ibid, 1061.
50 ibid. 1061
51 ibid. 1061
52 ibid, 1060.
53 ibid. 1060
54 ibid. 1060
55 ibid, 1962.
56 ibid. 1962
57 ibid 1962


61 Peter Smagorinsky, 468.


63 Mark C. Fox et al., 338.

64 Andrew Thatcher, 2006 and Raya Fidel et al., 1999.

The Anyu 案语 of Siku quanshu zongmu 四库全书总目

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Beijing Normal University

Abstract: Anyu 案语/按语, found in ancient Chinese bibliographies, is an author’s note that adds extra information to the prefaces of different classificatory sections, and may record annotations concerning individual books. Siku quanshu zongmu 四库全书总目, which contains 127 occurrences of anyu 案语, may be regarded as typical. While anyu 案语 are valuable and beneficial to the bibliographical study of ancient Chinese books and to Chinese literary history, study of them has long been neglected and only a few articles have been written. This paper tries to redress this neglect by providing a more comprehensive investigation of the distribution, content and contribution to the bibliographical study of ancient Chinese books and Chinese scholarly history by the anyu 案语 contained in the Siku quanshu zongmu.

1. Introduction

The term anyu 案语/按语 in ancient Chinese bibliographies means “author’s note,” and is best defined as additional information supplied by an author to the prefaces of different classification levels in an ancient bibliography. Examples of such classification levels are bu 部, xiaolei 小类, zimu 子目 or tiyao 提要, and information provided in to anyu serves to supplement the information already contained on an individual entry or entries.1 As one component of a bibliography, anyu 案语 help deepen the understanding of an entry’s scholarly history as well as other related information on the categories and books recorded. Anyu 案语 originated in the Jing ji kao 经籍考 or “bibliographical chapter” of Ma Duanlin’s 马端临(1254-1323) great work Wenxian tongkao 文献通考, in which there are more than 30 examples of anyu. The use of anyu became most wide spread during the Qing dynasty. Siku quanshu zongmu’s 127 instances of anyu can be considered typical.2

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1 Bu 部, “section,” is also called dalei 大类, “major category;” it refers to the first classification level of a bibliography, generally consisting of the four traditional sections of jing 经 “classics,” shi 史 “histories,” zi 子 “masters,” and ji 集 “anthologies” in ancient Chinese official bibliographies. This four-part classification system originated in the Three Kingdoms period (220-265) and is called the Four Classification Method in Chinese bibliographical studies. Xiaolei 小类, “minor category,” refers to the second classification level. Zimu 子目, “sub-category,” refers to the third classification level. Tiyao 提要, “summary,” also called xulu 叙录 and jieti 解题, refers to introductory notes on an entry’s author, content, circulation, textual criticism, origin, and other types of evaluations.

2 The longest anyu has more than 800 characters. This is the anyu of Shuo wen jie zi 说文解字 in xiao xue lei 小学类 of Jingbu 经部 on page 345 of Si ku quan shu zong mu. The shortest anyu, on page
Few scholars have studied the anyu in Siku quanshu zongmu, and the research is still preliminary and unsatisfactory. The only specialized treatment on the topic, by noted Chinese expert on Siku quanshu zongmu, Sima Chaojun 司马朝军, claims that, because anyu is hidden in the text, scholars have long neglected them. But Sima went no further than applying a simple classificatory scheme according to the contents of the individual anyu; no analysis was performed. This paper aims to more comprehensively study the anyu in three parts: distribution, content and contribution to the bibliographical study of ancient Chinese books and Chinese scholarly history.

2. The Distribution of Anyu in the Siku quanshu zongmu

The distribution of anyu was noted in the Introduction of the photocopied edition of Siku quanshu zongmu republished by Zhonghua Book Company in 1965. This work states that there are xiaoxu 小序, or “minor prefaces” at the beginning of each dalei 大类 and xiaolei 小类, and anyu at the end of the zimu 子目 to narrate the origin, history and reasons for the classification. This shows that scholars in the 1960s noticed anyu but had not read them carefully. In actuality, a daxu 大序 is at the beginning of the dalei 大类, which is the first level of classification, and xiaoxu 小序 is at the beginning of the xiaolei 小类, which is the second level. Additionally, the anyu is not only at the end of the zimu 子目, which is the third level of classification, but in the xiaolei 小类 and the annotations to individual books. The text is formatted as four indented Chinese characters vertically, instead of two, since the text direction of Chinese characters traditionally is from top to bottom and from right to left.

There are a total of 127 examples of anyu in Siku quanshu zongmu. The content is classified as follows: 44 examples of anyu are distributed in category of shi 史; 39 examples are in the category of jing 经, 37 examples are in the category of zi 子, and 7 examples are in ji 集. The proportion of anyu in these different sections is 35%, 31%, 29% and 5% respectively. In addition, there are 21 examples of anyu at the end of xiaolei 小类, of which 13 examples are distributed in jing 经, 6 examples are in shi 史, 1 is in zi 子 and 1 is in ji 集. Furthermore, there are 44 examples at the end of zimu 子目, of which 9 examples are in jing 经, 14 are in shi 史, 21 are in zi 子 and none is in ji 集. The remaining 62 examples are scattered at the ends of the annotations on different books, of which 17 examples are in jing 经, 24 are in shi 史, 15 are in zi 子 and 6 are in ji 集. Although more than half of the 127 examples of anyu are appended to annotations of books, the anyu in xiaolei 小类 and zimu 子目 should receive the most attention. This is because 12 xiaolei 小类 (of the 44 total xiaolei 小类) contain 21 examples of anyu, and 42 zimu 子目 (of 66

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The distribution of anyu is shown in the following table:

<table>
<thead>
<tr>
<th>Xiaolei</th>
<th>Zimu</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yi(易):</td>
<td>Zhaoling Zouyi Lei</td>
</tr>
</tbody>
</table>
### Book Annotation

<table>
<thead>
<tr>
<th>记类别录存目：</th>
</tr>
</thead>
<tbody>
<tr>
<td>Zhengshu Lei Tongzhi 政书类通制；Zhengshu Lei Dianli 政书类典礼；Zhengshu Lei Bangji 政书类邦计；Zhengshu Lei Junzeng 政书类军政；Zhengshu Lei Faling 政书类法令；Mulu Lei Jingji 目录类经籍；Mulu Lei Jinshi 目录类金石。</td>
</tr>
</tbody>
</table>

| Yishu Lei Shuhua 艺术类书画；Yishu Lei Qinpu 艺术类琴谱；Yishu Lei Zhuanke 艺术类篆刻；Yishu Lei Zaji 艺术类杂技；Yishu Lei Zaiji Cunmu 艺术类杂技存目；Pulu Lei Qiwu 谱录类器物；Pulu Lei Shupu 谱录类食谱；Zajia Lei Zaxue 杂家类杂学；Zajia Lei Zakao 杂家类杂考；Zajia Lei Zashuo 杂家类杂说；Zajia Lei Zapin 杂家类杂品；Zajia Lei Zazuan 杂家类杂纂；Zajia Lei Zabian 杂家类杂编；Xiaoshuojia Lei Zashi 小说家类杂事。 |

| Zixia Yi Zhuan 子夏易传 11juan（2 pieces）；ZhouyiZheng Kangcheng Zhu 周易郑康成注 1juan；Yixiang Zheng 易象正 16juan；Yiwei Kunling Tu 易纬坤灵图 1juan；Gusanfen 古三坟 1juan；Hong Fan Kouyi 洪范 |

| Gangmu Xulin 纲目续麟 20juan，Jiaozheng Fanli 校正凡例 1juan，Fulu 附录 1juan，Huilan 汇览 3juan；Tianhuang Yudie 天潢玉牒 1juan；Guoyu 国语 21juan；Zhanguoce Zhu 战国策注 33juan；Qinding Menggu Yuanliu 钦定蒙古源流 8juan；Bixi Ru Zhi Bian 儒志编 1juan；Xingli Beiyao 性理备要 12juan；Mingliang Jiaotai Lu 明良交泰录 18juan；Wujingti Zhu Daquan Huijie 武经体注大全会解 7juan；Yilin 易林 16juan；Fanyan 范衍 10juan；Yunlin Shupu 云林石谱 3juan；Jingzi Yijie 靖子遗集 2juan；Yegu Ji 野龟山集 42juan；Zheng Zhongsu Zouyi Yiji 郑忠肃奏议遗集 2juan。 |

<p>| Guishan Ji 龟山集 42juan；Zheng Zhongsu Zouyi Yiji 郑忠肃奏议遗集 2juan；Yegu Ji 野龟山集。 |</p>
<table>
<thead>
<tr>
<th>书名</th>
<th>卷数</th>
</tr>
</thead>
<tbody>
<tr>
<td>口义</td>
<td>2 jian</td>
</tr>
<tr>
<td>Shangshu Dazhuan</td>
<td>4 jian</td>
</tr>
<tr>
<td>Buyi Shubie</td>
<td>1 jian</td>
</tr>
<tr>
<td>Shuyi Jinshi</td>
<td>书义矜式 6 jian</td>
</tr>
<tr>
<td>Yu Dongxue Shi</td>
<td>虞东学诗 12 jian</td>
</tr>
<tr>
<td>Hanshi Waizhuan</td>
<td>韩诗外传 10 jian</td>
</tr>
<tr>
<td>Guwen Xiaojing Zhijie</td>
<td>古文孝经指解 1 jian</td>
</tr>
<tr>
<td>Mengzi Yinyi</td>
<td>孟子音义 2 jian</td>
</tr>
<tr>
<td>Shuowen Jiezi</td>
<td>说文解字 30 jian</td>
</tr>
<tr>
<td>Shuowen Fanzhuan</td>
<td>说文繁传 40 jian</td>
</tr>
<tr>
<td>Lidai Zhongding Yiqi Kuanshi Fatie</td>
<td>历代钟鼎彝器款识法帖 20 jian</td>
</tr>
<tr>
<td>Liu yi Gangmu</td>
<td>六艺纲目 2 jian</td>
</tr>
<tr>
<td>Congshu</td>
<td>碧溪丛书 8 jian</td>
</tr>
<tr>
<td>Ming GaoHuanghou Zhuan</td>
<td>明高皇后传 1 jian</td>
</tr>
<tr>
<td>Ma Duansu Sanji</td>
<td>玛端肃三记 3 jian</td>
</tr>
<tr>
<td>Gechu Yishi Jieben</td>
<td>革除遗事节本 6 jian</td>
</tr>
<tr>
<td>Pingbo Quanshu</td>
<td>平播全书 15 jian</td>
</tr>
<tr>
<td>Shizong Xian Huangdi Shangyu Baqi</td>
<td>世宗宪皇帝上谕八旗 13 jian</td>
</tr>
<tr>
<td>Shangyu Qiwu Yi Fu</td>
<td>上谕旗务议覆 12 jian, Yu Xing Qiwu Zouyi 13 jian</td>
</tr>
<tr>
<td>Huojing Huowen</td>
<td>火警或问 1 jian</td>
</tr>
<tr>
<td>Silun Jiwyao Bianlan</td>
<td>丝纶捷要便览 1 jian</td>
</tr>
<tr>
<td>Yanzi Chunqiu</td>
<td>晏子春秋 8 jian</td>
</tr>
<tr>
<td>Sun Weimin Zhengnan Lu</td>
<td>孙威敏征南录 1 jian</td>
</tr>
<tr>
<td>Donglin Jiguan</td>
<td>东林籍贯 1 jian</td>
</tr>
<tr>
<td>Quanshi Lunzan</td>
<td>全史论赞 80 jian</td>
</tr>
<tr>
<td>Kanshui Zhi</td>
<td>潟水志 8 jian</td>
</tr>
<tr>
<td>Jifu Tongzhi</td>
<td>畿辅通志 120 jian</td>
</tr>
<tr>
<td>Huangqing Zhigong Tu</td>
<td>皇清职贡图 9 jian</td>
</tr>
<tr>
<td>Xiaoshanxian Zhi Kanwu</td>
<td>萧山县志刊误 3 jian</td>
</tr>
<tr>
<td>Shenzhou Gushi Kao</td>
<td>神州古史考 1 jian</td>
</tr>
</tbody>
</table>
3. The Content of the Anyu in Siku quanshu zongmu

As mentioned above, the Siku quanshu zongmu is a typical classified bibliography divided into four levels: bu 部, xiaolei 小类, zimu 子目 and tiyao 提要. The content can be clearly recognized according to the anyu 案语 attached to these levels.

(1) Anyu of Minor Category

The “Author’s Notes on Minor Categories,” xiaolei anyu 小类案语, which is appended to the end of xiaolei 小类, are useful supplements to the preface at the beginning of the xiaolei. While the preface usually focuses on the scholarly history of the xiaolei, the anyu supplements by clarifying the method of its classification. The preface aims to explain the evolution of the name of the minor category, then narrates additional scholarly history and related characteristics. Some anyu continue the preface by adding more information and details. The anyu of the cunmu xiaolei 存目小类 or “minor category of extant titles,” functions as a preface in lieu of a formal one. It is usually a paragraph analyzing the reason and characteristics behind the cunmu 存目. The content of xiaolei anyu can be observed more clearly in several aspects.

First, anyu clarifies why the books are recorded in this minor category. For example, in the xiaojing xiaolei 孝经小类, minor category of the Classic of Filial Piety, in the jing 经 section, the anyu states that there are so many books commenting on and annotating this classic that most of them duplicate one another. Thus, this minor category will only note the best and most original books. The cunmu anyu of the minor category of xiaojing primarily explains a few of the books that were removed from one category and placed into another. For instance, the Xiaojing jiling 孝经集灵 by Yu Chunxi 虞淳熙 (1553-1621) should be taken out of the jing 经 section and placed into the zi 子 section under “Specialists in Minor Tales (fiction)” xiaoshuo jia 小说家 because the content of this book is mostly about gods and spirits. In contrast, the Xiaojing benzhi 孝经本旨, Xiaojing waizhuan 孝经外传, Xiaojing gangmu 孝经纲目 and Jingshu xiaoyu 经书孝语 all should

5“Extant titles” refers to the fact that the Siku quanshu zongmu catalogue may record the title of a work, even though the work itself was not included in the Siku quanshu library.
be added to the rujia 儒家, "Confucians" category rather than the category of the Classic of Filial Piety, because these books do not actually annotate this classic. The commentaries on the Classic of Filial Piety remain in this category because these commentaries follow the text. Another example is that of the zhengshi lei 正史类, "category of official histories" in the shi 史 section, describes why several books of this minor category should be moved into bieshi lei 别史 "category of miscellaneous histories." The text says that Ban-Ma Yitong 班马异同, as part of Hanshu 汉书, and Liang-Han kanwu buyi 两汉刊误补遗, in combination with Hou Hanshu 后汉书, are not official histories; Jinshu 晉書, Songshi xinbian 宋史新编, Wudai shibu 五代史补 and Wudaishi quewen 五代史阙文 should all be taken out of the category of official histories and placed into the category of miscellaneous histories because corrections and deletions have been made. Additionally, the anyu of the bieji lei 别集类 "category of an author’s anthology" in the ji 集 section, notes an error in the classification of the Wenxian tongkao 文獻通考 that divides the category into shiji 诗集 "Poetry Anthologies", geci 歌词 "song lyrics", and zouyi 奏议. It claims that zouyi 奏议, memorials to the throne on national politics, should be combined with the zhaoling 诏令 in shibu 史部 instead of with the jibu 集部, while shiji 诗集 should be kept in the category of an author’s anthology. Consequently, the shiji 诗集 is combined with bieji lei 别集类, and ciqu lei 词曲类 is used to record geci 歌词 and related books in Siku quanshu zongmu.

Xiaolei anyu 小类案语 also narrates scholastic meaning and characteristics. For example, the anyu in Wujing zongyi lei 五经总义类 "minor category of The Five Classics' General Meaning" in the jingbu 经部 divides the Five Classics into three types based on their scholastic characteristics, while its preface mainly discusses the evolution of the minor category’s name. Yi 易, The Book of Changes, can be shifted anywhere, as it is the source of everything. Whenever an origin is traced, Yi is found. Different shu 数, xiang 象 and li 理 can be obtained by different inferences, according to it. Therefore, Yi can be recategorized; however, Shu 书, The Book of History, and Li 礼, The Book of Rites, cannot be so recategorized because Shu, which records government affairs, and Li, which is mainly about rites, are both realities that cannot be altered. While Shi 诗, The Book of Songs, and Chunqiu 春秋, The Spring and Autumn Annals, can be only partially recategorized because of the subjective evaluation of the poems in the Shi and the events in the Chunqiu, the words of the poems and the events themselves are objective. These characteristics are reflected in the books recorded in the category of The Five Classics' General Meaning in Siku quanshu zongmu, and it is the anyu that clearly summarizes them. The anyu of Sishu lei 四书类 “the minor category of The Four Books", Yue lei cunmu 乐类

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6Yong Rong, Siku quanshu zongmu, 268.
7Yong Rong, Siku quanshu zongmu, 416.
8Zouyi 奏议 refers to recommendations to the emperor written on paper folded in accordion form.
9Zhaoling 诏令 refers to an order issued by an emperor.
10Yong Rong, Siku quanshu zongmu, 1530.
11Yong Rong, Siku quanshu zongmu, 281.
存目“the minor category of the Yuelei extant titles”, Chunqiu lei cunmu 春秋类存目“the minor category of the Chunqiu lei extant titles,” in jingbu 经部, biannian lei 纪年类 “the minor category of the annalistic style books” in shibu 史部, and rujia lei 儒家类 in zibu 子部 play similar roles.

Some anyu supplement information about the content that is mentioned in the preface, though only briefly. The Yilei anyu 易类案语 in classics section stresses that the books on Yi (易) should teach how to make use of Yi (易), rather than how to make it; the books on the Shu 数 are recorded in this minor category, while those randomly derived from Yi (易) without the text are placed into Shushu 术数家 to make the classics more pure.12 In other words, the anyu 案语 analyze the standards for including books in this category, as well as analyze the differences between the minor category of The Book of Changes in the classics section and the Shushulei 术数类 in the master’s section in more details, which are only briefly mentioned in the preface. The anyu 案语 of the shulei 书类 in the classics section, through a textual study of the book Hongfan huangjishu 《洪范皇极数》 by Cai Shen 蔡沈 (1167-1230), arrives at the conclusion that the book should be placed into Shushu lei 术数类 in the masters section rather than the Shu lei 书类 because the content of this book is actually deduced from the Luoshu 《洛书》, rather than the Hongfan 《洪范》, which explains why the Huangjishu 《皇极数》 by Cai Shen should be moved over from the Shu lei 书类, which suggestions is mentioned in the preface.13 Additionally, the preface to the minor category of The Four Books tells of the scholarly history of this category. The title Sishu 四书 refers to the four books, including Lunyu 论语 (The Analects of Confucius), Mengzi 孟子 (Mencius), Daxue 大学 (The Great Learning), and Zhongyong 中庸 (The Doctrine of the Mean). The former two are separated works, whereas the latter two are independent chapters extracted from the ancient anthology of ritual works, the Liji 礼记. The four books were grouped together during the Chunxi 淳熙 reign (1174-1189) of the Song dynasty and were ultimately chosen as the subjects of imperial examination during the Yanyou 延祐 reign period (1314-1320) of the Yuan dynasty.14 The anyu 案语 adds that the Four Books were fixed by Sishu zhangju jizhu 四书章句集注 of Zhu Xi 朱熹 (1130-1200), who devoted his entire life to this collection of books, and that the emperor used the four books to choose distinguished men for the court starting with the Yanyou reign of the Yuan, which set a precedent for later emperors.15

Most of the cunmu xiaolei anyu 存目小类案语 explain the reasons for maintaining the extant-titled books, with only the names of extant books recorded in the catalogue, not the works themselves, as they were in the Siku quanshu 《四库全书》. Generally, this was due to either the small quantity of books in this category or the poor quality of the books.

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12 Yong Rong, Siku quanshu zongmu, 47-48.
13 Yong Rong, Siku quanshu zongmu, 106.
14 Yong Rong, Siku quanshu zongmu, 289.
15 Yong Rong, Siku quanshu zongmu, 307.
in which case the books could not satisfy either the emperor or the official compilers of the *Siku quanshu* library. For instance, the *Shu lei cunmu anyu* 书类存目案语 explains that on one hand, the *Shangshu* 尚书 is archaic and abstruse and was rarely annotated before the Song and Yuan dynasties; furthermore, so few copies were left that all existing copies at the time were recorded. Therefore, there was no need to include this work in the library. On the other hand, because the ancient books by Xue Jixuan 薛季宣(1134-1173) were found to have been forged and the books on ancient classics by Wang Bai 王柏(1197-1274) were found to have been distorted, the quality of these books was not good enough to be included in the *Siku* 四库 library. Instead, they are only briefly mentioned by name in certain *cunmu xiaolei* 存目小类. Another example is the *Biannian lei cunmu anyu* 编年类存目案语 in the *shibu*. It states that the *Gangjian zhengshi yue* 纲鉴正史约 and other similar books are inferior because they are mostly published by small bookshops but that *Wujing Sishu jiangzhang* 五经四书讲章 is acceptable even though its edition is poor, because the annotations are valuable.16 There are still some, such as those in the *Sishu lei cunmu* 四书类存目, *zhengshi lei cunmu* 正史类存目, and *bieshi lei cunmu* 别史类存目, that similarly explain why these categories, as well as those books in them, should be maintained.17

(2) Anyu 案语 of Sub-category

Some *anyu* of sub-category, *zimu anyu* 子目案语, investigate the names of the various sub-categories. The *Zhouli zimu anyu* 周礼子目案语 in *li lei* 礼类 of the classics section explains why the name of this sub-category is entitled *Zhouli* 周礼, even though the original name of this classic, *Zhouli* 周礼, was *Zhouguan* 周官. The text says that, although the original name was *Zhouguan* 周官, and though the *Sanli Yishu* 三礼义疏 authorized by Emperor Qianlong 乾隆(1711-1799) adopted the original name of *Zhouguan* 周官 once again, this sub-category will still refer to the work as *Zhouli* 周礼. After all, this name was widely accepted after the time of Zheng Xuan 郑玄 (127-200) because many annotated editions used this particular name.18 The sub-category of *mingren* 名人 in *zhuanji lei* 传记类 “biographical minor category” distinguishes the term *mingren* 名人, “famous persons” from *mingchen* 名臣, “famous ministers” in its *anyu*, stating that the former term more closely matches the reality of this sub-category. This sub-category not only records the biographies of successful and famous officials but also those of celebrities without official posts.19 Additionally, the *tongzhi sub-category* 通制子目 in *zhengshu lei* 政书类 “minor category of the institutional and social books” employs *anyu* to state that the reason for choosing this sub-category is that the systems and regulations of all of the governmental and social institutions that are recorded in one book cannot be

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16Yong Rong, *Siku quanshu zongmu*, 437.
17Yong Rong, *Siku quanshu zongmu*, 320, 417, 437, and 460.
18Yong Rong, *Siku quanshu zongmu*, 158.
19Yong Rong, *Siku quanshu zongmu*, 517.
divided. All of the examples show that the officials who were in charge of writing anyu strove to choose a more accurate name for the sub-category.

Some sub-category anyu narrate the scholarly history of the books in their categories. The anyu in the zhaoling zouyi lei 诏令奏议类 of the histories section is a good example. First of all, it notes that the zhaoling from the Han and Tang dynasties are the most valuable. Then follows the explanation that the zhaoling of the Tang dynasty collected by Song Minqiu 宋敏求 (1019-1079) are very useful to historical research, while those of the early Han dynasty and the eastern Han dynasty are derived from Shiji 史记 (Historical Records), Hanshu 汉书 (The Official History of the Former Han) and Hou Hanshu 后汉书 (The Official History of the Eastern Han), were compiled to standardize the writing style of the time. Lastly, it summarizes the development and characteristics of these types of books following the Song dynasty. The successes and failures of national politics can generally be observed in zouyi 奏议, rather than in zhaoling 诏令, and also in some anthologies.

The zabian 杂编 in the zajia lei 杂家类 in masters section is a good example of tracing the origin and development of congshu 丛书. Firstly, it provides a conception of congshu as a set of books under a unified title that includes works by different authors. Then, it identifies the earliest congshu as Dili shu 地理书 by Lu Cheng 陆澄 (425-494) recorded in “Monograph on Bibliography” 经籍志 in the Shuishu 隋书 (The Official History of Sui Dynasty). Next, it demonstrates that specialized congshu 专题丛书 devoted to a single subject during the Sui and Tang dynasties developed into a comprehensive style during the Song dynasty, with the Baichuan xuehai 百川学海 as an important example. Lastly, it distinguishes between congshu and leishu, and provides standards for recording books in the sub-category.

Some zimu anyu 子目案语 explain the relations between the sub-category and its minor category with similar scope. The zalu sub-category 杂录子目 of the zhuanji lei 传记类 in histories section explains the meaning of zhuanji 传记 and its relation with the sub-category in its anyu. It also says that zhuan 传 refers to a biography and ji 记 means “records of historical events.” The recorded books in the zalu sub-category are those with combinations of biographies and historical events that reflect the characteristics of the various contents. The anyu of bielu zimu 别录子目 of zhuanji lei 传记类 in the extant titles of histories section discusses the differences between bielu zimu 别录子目 and zaiji

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20Yong Rong, Siku quanshu zongmu, 701.
21Yong Rong, Siku quanshu zongmu, 495.
22Congshu is an important term in Chinese textual scholarship; it refers to a set of books including works of various authors issued in the same format and given a unified name by the publisher.
23Leishu 类书 is another very important term in Chinese textual scholarship that refers to a reference book with material extracted from various sources and arranged according to subjects.
24Yong Rong, Siku quanshu zongmu, 1064.
25Yong Rong, Siku quanshu zongmu, 531.
lei 载记类, as well as those between bielu zimu 别录子目 and the zashi lei 杂史类. It notes that the biographies recorded in the sub-category of bielu 别录 concern those who rebel against the government, while the biographies of those who set up separatist regimes by force of arms are recorded in the zaiji lei 载记类. The books concerning historical events, such as expeditions, are recorded in the zashi lei 杂史类.26 The junzheng zimu 军政子目 “military-political sub-category” of the zhengshu lei 政书类 in the histories section differs in its standards from the bingjia lei 兵家 “the minor category of military strategy” in the masters section,27 and the faling zimu 法令子目 “the sub-category of laws and decrees” differs in its standards from fajia lei 法家 “the minor category of Legalists which is a school of thought in the spring and Autumn and Warring States Periods” in masters section in its anyu. The anyu of the qinpu zimu 琴谱子目 “the sub-category of musical instruments and music score” of the yishu lei 艺术类 “the minor category of art” in masters section describes the differences between itself and the yue lei 乐类 “the minor category of The Book of Music” in the classics section.28 The anyu of the zashi zimu 杂史子目 of the xiaoshuojia lei 小说家类 in masters section explains that this sub-category is different from the zashi lei 杂史类 in histories section.29

To distinguish between similar zimu is another function of the anyu in a sub-category. Take the tongli zimu anyu 通礼子目案语 as an example. This anyu draws a distinction between tongli 通礼 and sanli zongyi 三礼通义. It says that although the books recorded in tongli zimu 通礼子目 include some concerning sanli 三礼, this category aims to collect and compile the rites of all dynasties, such as the Wuli tongkao 五礼通考 by Qin Huitian 秦蕙田 (1702-1764). Additionally, it states that the books in sanli zongyi zimu 三礼通义子目 focus on annotating the meaning of sanli 三礼, such as Sanli tuji zhu 三礼图集注 and the Du li zhiyi 读礼志疑.30 Other examples exist as well. In its anyu, the shuxue zimu 数学子目 “the minor category of mathematics” in shushu lei 术数类 of masters section cites the Taiyuan jing 《太元经》 as an example to show the differences between itself and the zhanbu zimu 占卜子目 “the sub-category of divination”.31 The anyu of the tuibu zimu 推步子目 in the tianwen suanfa lei 天文算法类 “minor category of astronomy and mathematics” in masters section differs from the arithmetic books on tianwen 天文.32

(3) Anyu of Summary

The tiyao 提要, “the summary of an individual book,” of a book recorded in Siku quanshu zongmu mainly introduces the author, evaluates the advantages as well as the

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26Yong Rong, Siku quanshu zongmu, 577.
27Yong Rong, Siku quanshu zongmu, 711.
28Yong Rong, Siku quanshu zongmu, 971.
29Yong Rong, Siku quanshu zongmu, 1204.
30Yong Rong, Siku quanshu zongmu, 179-180.
31Yong Rong, Siku quanshu zongmu, 919.
32Yong Rong, Siku quanshu zongmu, 902.
disadvantages of the work, lists and analyzes different related opinions, and enumerates the edition of the book. Following it, the anyu always adds more information concerning the book. The main content of the anyu of summaries can be described based on three aspects, as explained next.

Some contents include new thoughts about the scholarly history of a book. The *Guwen Xiaojing zhijie* 古文孝经指解 is a good example. It first claims that the book is important because it honors *guwen* 古文, or “ancient text before Han dynasty” school of the classics, and refutes the interpretations of *jinwen* 今文, or “modern school in Han dynasty” while annotating the *Classic of Filial Piety* 孝经. Then, it elaborates that, starting with this book, the dispute between *guwen* and *jinwen* readings of scholars of the work lasted for more than 500 years. Next, it evaluates this dispute, stating that the *Classic of Filial Piety* 孝经, whether in *jinwen* or in *guwen*, is the same in nature and that the later dispute will not be recorded in the summary because doing so would be of little value. The *tiyao anyu* 提要案语 of *Mengzi Yinyi* 孟子音义 in the minor category of The Four Books of the classics section is another example. It primarily examines the struggle for political status of a certain book, according to the scholarly history of the *Mengzi* 孟子. The text introduces the concept that Wang Anshi 王安石 (1021-1086) first popularized this work, and insisted that authors and works that defame the *Mengzi* actually defame Wang Anshi himself. The anyu concludes that the success of annotating *Mengzi* relies on both Zhao Qi 赵岐 (108-201) in the Han dynasty and Sun Shi 孙奭 (962-1033) of the Song, rather than Wang Anshi and the Cheng brothers of the Song dynasty. Therefore, the *Mengzi Yinyi* 孟子音义 plays an important role in initiating the serious study of *Mengzi* during the Song dynasty.

Some anyu analyze classification problems, noting errors resulting from the classification of the book into improper categories in former bibliographies. For example, that of the *Hanshi waizhuan* 韩诗外传 in the minor category of *Shi jing* 诗经(The Book of Songs) of the classics section, explains that, although it is recorded in a category such as found in the *Han zhi* 汉志, it is not proper to do so. This is because, as the scholar Wang Shizhen 王世贞 (1526-1590) said, the *Hanshi waizhuan* 韩诗外传 aims at using poems to document history, which distinguishes it from standard research on *Shi jing* 诗经. The anyu of *Guoyu* 国语 in *zashi lei* 杂史类 in histories section is another example. It primarily explains the reasons for recording this book in this section instead of the classics section. The reason given is that the time period ranges from Zhou Muwang 周穆王 (?-921B.C.) to Lu Daogon 鲁悼公 (?-437B.C.); however, it doesn’t accord with the records in the *Chunqiu* 春秋. The anyu of *Zhouyi cantongqi zhenyi* 周易参同契真义 in *daojia lei* 道家类 “the

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33 Yong Rong, *Siku quanshu zongmu*, 264.
34 Yong Rong, *Siku quanshu zongmu*, 292.
35 *Han Zhi* 《汉志》 is the bibliographical section of the *Hanshu, Official History of the Former Han Dynasty*.
37 Yong Rong, *Siku quanshu zongmu*, 461.
minor category of Daoism” of masters section explains that the book should not be recorded in the *wuxing lei* 五行类 in *Tang zhi* 唐志,\(^{38}\) nor should it be placed into the *yijing lei* 易经类, but that it should be placed into the minor category of Daoism to show that a superficial analysis of the contents of a book can produce errors in classification.

Other *anyu* also clarify the category of a book. The *Yunlin shipu’s anyu* 云林石谱 *anyu* in the *pulu lei* 谱录类 in masters section explains that, because the stones that the book records are not utensils nor natural jewelry, the book does not concern the skill of making utensils. As there is no other proper category for the book, it must be recorded in a secondary position in *qiwu zimu* 器物子目.\(^{39}\) The *anyu* of *Silun jieyao bianlan* 丝纶捷要便览 in the extant title of *zhaoeling zouyi lei* 诏令奏议类存目 in histories section\(^{40}\) and the *Donglin jiguan* 东林籍贯 in the extant titles of *zhuangli lei* 传记类存目,\(^{41}\) are both examples of this type. The following works are all classified in categories according to the contents of the books: *Qinding menggu yuanliu* 钦定蒙古源流 in *zashi lei* 杂史类; *Bixi congshu* 碧溪丛书; *Ma Duanlin sanji* 马端临三记, *Gechu yishi jieben* 革除遗事节本; and *Pingbo quanshu* 平播全书 in *zashi lei cunmu* 杂史类存目; *Yanzi chunqiu* 晏子春秋 and the *Sun Weimin zhengnanlu* 孙威敏征南录 in *zhuangji lei* 传记类; *Quanshi lunzan* 全史论赞 in *shichao lei cunmu* 史钞类存目; and *Kanshui zhi* 潞水志 in *dili lei* 地理类“the minor category of geography” in histories section.\(^{42}\)

According to an *anyu*, the authors or the time period of a book can be examined. The *anyu* of the *Jifu tongzhi* 畿辅通志 states that the name on the front page of the book is not actually the author but the supervisor of the writing of the book.\(^{43}\) An *anyu* to *Donglin jiguang* 东林籍贯 provides textual research on the era of the author, a scholar of the Wanli 万历 reign in the Ming dynasty, who made use of the *Donglin tongzhi lu* 东林同志录, the *Donglin pengdang lu* 东林朋党录, the *Tianjian lu* 天监录, and others.\(^{44}\) And that of *Guishan ji* 龟山集 in *bieji lei* No. 9 别集类九 and the *Jingnan changhe ji* 荆南倡和集 in *zongji lei* No. four 总集类四 in *jibu* 集部. Both examine the eras of the authors to provide background information and reasons for these categorizations.\(^{45}\)

4. The Contribution of the Anyu in *Siku quanshu zongmu*

The contribution of the *anyu* in the *Siku quanshu zongmu* focuses on bibliographical and scholarly values.

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38 *Tang Zhi*《唐志》is the bibliographical section of the official history book of Tang dynasty.

39 Yong Rong, *Siku quanshu zongmu*, 988.

40 Yong Rong, *Siku quanshu zongmu*, 504.

41 Yong Rong, *Siku quanshu zongmu*, 560.


43 Yong Rong, *Siku quanshu zongmu*, 606.

44 Yong Rong, *Siku quanshu zongmu*, 560.

45 Yong Rong, *Siku quanshu zongmu*, 1344, 1712.
(1) Bibliographical Contribution

The bibliographical contribution of the anyu in *Siku quanshu zongmu* includes its improvement of the four classification system, its addition to the structure of ancient Chinese bibliographies, and its research on ancient Chinese books.

First, *anyu* enrich the four classification system. From *Suizhi* 隋志, the bibliographical monograph in *Shuishu* 隋书 (Official History of Sui Dynasty) to *Siku quanshu zongmu*, Chinese books have changed greatly. According to the numbers and categories of the book at the time, the *xiaolei* 小类 and *zimu* 子目 are reclassified in *Siku quanshu zongmu* to attach more importance to the selection and classification of books; this results in a more detailed bibliography classified according to the four classification system in ancient China. *Anyu* plays an important role in explaining these changes. They discuss the standards for recording books in the *anyu* of minor categories, the differences among various sub-categories, the relationships between sub-categories and minor categories in the *anyu* of sub-categories, the content, and categorical changes of the books in the *anyu* of the summaries of individual books. Therefore, the need for *anyu* in the bibliography is clearly evident. The guide for using *anyu* states that if the minor categories and sub-categories are reclassified, an *anyu* should be added to the end to explain why.46

Finally, *anyu* serve the function of continuing the previous minor category and introducing the following one, which better ensures the continuity of the classification system.

Second, *zimu anyu* 子目案语 function as *zimu xu* 子目序, the prefaces of the sub-categories. There are no *zimu xu* 子目序 in ancient annotated Chinese bibliographies, although there is always a *daxu* 大序 at the beginning or end of one *dalei* 大类 and a *xiaoxu* 小序 at the beginning or end of a *xiaolei* 小类. The *zimu anyu* 子目案语 in *Siku quanshu zongmu* makes up for this deficiency, resulting in the formation of a more complete *xu* 序 or “preface” system in bibliographies, described as *daxu* 大序, *xiaoxu* 小序, *zimuxu* 子目序, and *tiyao* 提要 system. For example, the *anyu* of the sub-category of *shengxian* 圣贤子目 of *zhuangji lei* 传记类 explains that the category in this system was so entitled due to the books about sage men (*sheng*) that were recorded in it, and the books about virtuous persons (*xian*) recorded in its extant titles. In contrast, the *shengxian cunmu anyu* 圣贤存目案语 narrates the origins of *sheng* 圣 and *xian* 贤 in Chinese scholarly history. It reads:

> Confucius says that Boyi 伯夷 and Shuqi 叔齐 were virtuous persons. Mencius also says that Boyi 伯夷 was a sage person. Therefore, Boyi 伯夷 and Shuqi 叔齐 were sage and virtuous persons. The others, except those who had been taught by

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46Yong Rong, *Siku quanshu zongmu*, 18.
Confucius and Mencius, were not sheng 圣 or xian 贤. This is why the most famous historian Sima Qian 司马迁(145or135-86B.C.) just recorded the biographies of 70 students of Confucius without recording the followers of these 70 disciples and Mencius' disciples.47

Unlike the xiaoxu 小序, which are at the beginning of the xiaolei 小类, the anyu of sub-categories are appended to the end of a sub-category; however, the contents are similar. The function is to narrate origins, schools, evolution, scope and categorical characteristics. A famous modern Chinese scholar noted that the appearance of sub-categories demonstrates the improvement of bibliographical classification, because only with deeper thought and clearer descriptions of books can bibliographers record books in the correct categories.48

Third, as part of ancient Chinese bibliographies, anyu can be summarized within the recording system in the bibliographical studies of ancient Chinese books. With the development of such studies, Chinese bibliographers have maintained differing opinions regarding the recording system of bibliographies. Yu Jiaxi 余嘉锡(1884-1955) names this system a tizhi 体质, since it includes a list of articles, annotations, xiaoxu 小序 and the prefaces and postscripts regarding the editions of books.49 Yao Mingda 姚名达(1905-1942) calls it zhiliao 質料, since it consists of bibliographies, annotations, indices, xiaoxu 小序 and zongxu 总序.50 However, Lai Xinxia 来新夏(1923-) suggests that the basic structure of tizhi 体制 includes the names of books, xiaoxu 小序 and annotations,51 while Zhou Shaochuan 周少川(1954-) claims that the recording system consists of book names, a xu 序 system, annotations and notes.52 As they provide a great deal of information, anyu should actually be another part of the system.

Lastly, anyu 案语 provide valuable material on the philosophy behind ancient Chinese bibliographies. There are many examples of it emphasizing the importance of maintaining a category that is set in former bibliographies and elaborating upon the origins and evolution of the category. Because of the philosophy inherited from ancient tradition, the classification method of Chinese bibliographical studies has been improved and transmitted from generation to generation. Many examples of anyu reflect the philosophy of seeking the truth from facts. Following this direction, compilers started to

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47Yong Rong, Siku quanshu zongmu, 535.
49Yu Jiaxi 余嘉锡， Muluxue fawei 目录学发微 (Beijing: China Renmin University Press, 2004), 30-83.
52Zhou Shaochuan, Guji mulu xue, 14-25.
pay more attention to typical books, emphasizing those of truly high quality that exerted
great influence on society when they recorded books and examined their contents. This
new outlook was a great advance over the mindset of traditional bibliographers who
typically made quick judgments based on the names or identities of authors before
dividing their books into specific categories.

(2) Scholarly Contribution

From Ban Gu 班固 (32-92) of the Han dynasty to Zhang Xuecheng 章学诚 (1738-1801)
of the Qing dynasty, many scholars have agreed that the most important function of
ancient Chinese bibliographies was to analyze research and examine the origins and
development of scholarship. The anyu in Siku quanshu zongmu make a unique scholarly
contribution along with the daxu 大序, xiaoxu 小序 and annotations of books.

Anyu clarify scholarly concepts and ideas. For example, the anyu of the annotation to the
Yiwei kunlingtu 易纬坤灵图 in the yilei 易类 of jingbu 经部 differentiates between the
concepts of chen 誦 and wei 繦, two variety of apocryphal texts. The anyu notes that chen
誔 and wei 繦 were two different concepts, although they were mostly used together. The
former means “the prediction of good or bad luck stated subtly,” and started with Lu
Sheng’s 庾生 recording of books in the Shiji 史记, while wei 繦 refers to the branches of
jing 经. An anyu explanation analyzes the process of combining the two concepts into one:
the early wei 繦 books only contained research on Confucianism. Over time, they were
combined with shushu 术数 and this interpretation became inaccurate, resulting in the
combination of chen 誔 and wei 繦.53 Another example, the anyu of yilei 易类 in jingbu
经部, states that, although Yi 易 seems to be a classic of divination, it is truly a book of
yili 义理.54

Anyu not only supplement the examination of the origin and development of scholarship,
such as xiaoxu 小序 and book annotations, but also create a philosophy of their own.
Previous Chinese scholars have paid attention to xiaoxu 小序 and annotations because
they played important roles in examining the origin and development of scholarship; but
anyu actually fulfill the same role. Some provide assistance, supplementing xiaoxu 小序
and annotations. If xiaoxu 小序 aims to examine the evolution and importance of the
minor category in Chinese academic history, particularly focusing on the differences
between it and the other categories, the anyu examines the minor category itself. For
example, the xiaoxu 小序 of the yilei 易类 in jingbu 经部 mainly discusses the
differences between Yi 易, Shu 书, Shi 诗 and Chunqiu 春秋 and examines the
relationships among them, while the anyu examine the origins and development of Yi 易.
Additionally, some anyu uniquely connect the function of zimu xu 子目序 and cunmu xu

53Yong Rong, Siku quanshu zongmu, 47.
54Yong Rong, Siku quanshu zongmu, 47.
存目序。Furthermore, anyu can examine academic cases and reach conclusions of their own. For instance, reaching a conclusion contrary to the beliefs of many scholars, the anyu of Shuowen jiezi 说文解字 in xiaoxue lei 小学类 of the classics section, which is the longest one in Siku quanshu zongmu (more than 800 Chinese characters), determined that Xu Shen 许慎 (58-147) only saw Shangshu 尚书 as written in modern script of the Han dynasty. As written, it possessed 28 chapters, which were proofread by Liu Xiang 刘向 (77-6 B.C.) and afterwards passed on to Du Lin 杜林 (?-147) and then Jia Kui 贾逵 (174-228) before being returned. This is instead of the edition written in the pre-Qin script with 56 chapters transcribed and commented on by Confucius’ eleventh-generation descendent, Kong Anguo 孔安国 (156-74B.C.). This work has been critically examined in Han zhi 汉志, (Official History of the Eastern Han Dynasty), Hou Hanshu 后汉书, Shi tong 史通 by Liu Zhiji 刘知几 (661-721), Jingdian shiwen 经典释文 by Lu Deming 陆德明 (550-630), Rizhi lu 日知录 by Gu Yanwu 顾炎武 (1613-1682), and Jingyi kao 经义考 by Zhu Yizun 朱彝尊 (1629-1709).

Anyu are helpful in changing an incorrect attitude toward academic research. The shulei cunmu anyu 书类存目案语 explains that, recording these books because they were less important and of lower quality, such as in the case of a scholar like Xue Jixuan, led to incorrectly forged and distorted books. Additionally, it emphasizes that the purpose of dealing with the books in this way was to criticize the forging and distortion of classics.55 Additionally, the anyu of Mengzi yinyi 孟子音义 in Sishu lei 四书类 of jingbu 经部 warns scholars not to chase after unimportant disputes between different factions and thus forget the fundamentals. All of these experiences and lessons regarding scholarly research are also meaningful to present-day scholars.

5. Conclusion

Just as a coin has two sides, there are some deficiencies in the anyu of Siku quanshu zongmu. As an official bibliography, its political feature can be observed not only in the format but also in the content. In the format, the imperial characters, such as Yu 御 “imperial” and Di 帝 “an emperor”, are all written flush with the margin, without any indentation. This results in a disorderly format that makes it difficult to read and understand. For commending the meritorious and extolling the reputation of the Qing dynasty, words such as “heresy” and “traitor” are used to describe some books and scholars of the Ming dynasty, and these are considered offensive by the imperial court.

55Yong Rong, Siku quanshu zongmu (Beijing: Zhonghua Book Company, 1965), 118.
Graffiti Inside an Art and Design Library?  
The Hong Kong Design Institute Library Experience

Dr. Patrick Lo  
(Associate Professor, Faculty of Library, Information & Media Science, University of Tsukuba)

&

Dr. Dickson Chiu  
(Lecturer, Faculty of Education, The University of Hong Kong)

Introduction

Opened in September 2010, the Library (Learning Resource Centre) of the Hong Kong Design Institute (HKDI) is a multimedia learning facility that provides an environment conducive to study, research and leisure reading, etc. Its mission is to support and promote the academic goals of the Institute, i.e., to prepare the students for their professional careers in visual arts and design, with emphasis on learning under a creative and interactive environment; meanwhile upholding a positively relaxing, and yet inviting atmosphere.

In the following interview, Mr. Wilson Chu, (Head Librarian at the HKDI), shares with us his unique approach in managing the LRC. In addition, he also discusses the distinctive differences between the information needs and other usage preferences of the end-users at the HKDI and those of other traditional academic libraries.

Patrick Lo (PL): Could we begin this interview by first introducing yourself, e.g., your training and educational background, and your major roles and duties at the Learning Resources Centre (Library), Hong Kong Design Institute (HKDI)?

Wilson Chu (WC): I am Wilson Chu, and I am currently serving as the Head Librarian at the HKDI Learning Resources Centre (LRC). The HKDI is one of the many tertiary education institutes under the Vocational Training Council (VTC) in Hong Kong. And I became the Head Librarian at the HKDI LRC in 2010.

With reference to my educational background, I received both my Bachelor's and Master's degrees in Computer Science from the City College of New York. Then I

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1 Hong Kong Design Institute (HKDI) – Homepage. Available at: http://www.hkdi.edu.hk/
2 Learning Resources Centre (LRC) at the Hong Kong Design Institute (HKDI) – Homepage. Available at: http://dilwllrc.vtc.edu.hk/index_en.php
4 The City College of New York – Homepage. Available at: http://www.ccny.cuny.edu
received my Master’s of Library Studies (MLIS) degree in 2001 from Rutgers University. In addition to that, I also earned a post-graduate diploma and a master’s degree in Chinese Language and Literature from the Chinese University of Hong Kong.

The formation of the HKDI was that the VTC gathered all the design departments and programmes from 3 different campuses [Shatin, Kwai Chung and Kwun Tong], and merged them together into one single unit.

**PL: What was the original purpose of combining all these different programmes under VTC into one single unit? Was it meant to facilitate the overall administration and operations of the visual arts and design programmes under all the VTC branches as a whole?**

WC: This ‘merging’ was meant to achieve better ‘branding’ purposes. By doing so, we would have a more ‘stand-out’ image, telling people that this Institute is dedicated to the teaching and learning of visual arts and design at tertiary level in Hong Kong. The HKDI Project has been operating for many years, but this physical building of the HKDI and its LRC (Library) were not officially opened until September 2010.

**PL: What are the ultimate advantages for creating a strong brand or a ‘stand-out’ image for the HKDI? Combining programmes from 3 different campuses, has such an effort proven to be worthwhile?**

WC: I am not the right person to give comment on the overall learning and teaching strategies of the HKDI. But speaking for library management, our library resources became more focused on design disciplines, as well as the facilities and library workshops. In the past year, we also offered e-resources, iMac and Adobe Creative Suite (CS) workshops that were all tailor-made for design students.

**PL: What kind of academic programmes does the HKDI offer?**

WC: We offer a wide range of programmes, ranging from various professional certificates to high diplomas, etc. We also started offering degree programmes since 2013. In short, the programmes we offer here at the HKDI range from 2-month certificate to 4-year degree programmes. The programmes we offer at HKDI include: advertising design, creative media, digital music and media, fashion design, fashion branding, architectural design, etc.

**PL: Could you please tell me about your Library’s collection size?**

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5 Rutgers University – Homepage. Available at: https://www.rutgers.edu
6 The Chinese University of Hong Kong – Homepage. Available at http://www.cuhk.edu.hk/english/index.html
7 http://en.wikipedia.org/wiki/Adobe_Creative_Suite
WC: The HKDI Library has 80,000 items, but altogether with other VTC library branches, we have over 600,000 items. We also subscribe to 240,000 e-books and around 60,000 e-journal titles.

**PL:** Could you tell me about the collection highlights at the HKDI Library?

WC: The focus of our collection is visual arts and design. I would say over 60% of our book collection are related to visual arts and design. But we also have certain percentage of book titles on other academic disciplines, e.g., business administration, information technology, marketing, and merchandizing, etc. – all these are meant to support students’ learning via a more interdisciplinary approach.

**PL:** Could you describe the user behaviour at the HKDI Library? How are they different from the other users at a regular academic library?

WC: They are very different! For one thing, they frequently make the furniture inside the Library dirty. Instead of using their own studio space, they tend to paint and draw everywhere inside the Library. In other words, you can easily find graffiti, scratches, unwanted pen/pencil markings and other damages made by paper cutters, colour paints or other sharp/art tools around the user areas inside the Library. Under the [Institute’s] regulations, artworks should only be done at the studios designated for the students. However, the art studios are not open 24 hours a day. So when the studio is closed and these students suddenly feel the need to fulfill their creative urges, and wish to do a painting, without giving any serious thinking, they would just lay out the materials on the table inside the Library and start painting.

We also have this Student Learning Common located right next to the HKDI LRC, called Zone24. The Common was opened in 2010, but we had to close it down in 2011 for renovation, because the whole place was so messy – as a result of the students doing artworks inside, instead of using their own studio space. I also heard that other art and design libraries in Hong Kong also suffer from similar problems, i.e., unwanted graffiti and other damages made by students inside the library.

In addition, the overall atmosphere inside our Library is more relaxing. Compared to the users at other traditional academic libraries, our students do not follow regular study and research patterns, i.e., they prefer not to sit quietly at the desk and study. Instead, they tend to gather together as a team to engage in some kind of modeling projects (e.g., taking photographs or doing special makeups, etc.). You can easily find our students engaged in various group activity or discussions, as so-called brainstorming for creative ideas. In this sense, we are a ‘noisy’ Library, as we allow the students to make noise and engage in discussions in open areas.

**PL:** As the Head Librarian of the HKDI Library, how do you deal with this graffiti problem? Do you go around to educate the users on a regular basis, as a way to prevent it from happening? Or do you deploy security guards to go on patrol regularly, and to stop the students from doing artwork inside the Library? Or to
**PL:** Do you know the reason why the students chose to come to the Library instead of using their own studio space or other venue (such as a café) for their discussions and other creative activities? Do they come to the Library to find images for their own creative inspirations?

WC: The reason that we changed the name from the ‘Library’ to the ‘Learning Resources Centre (LRC)’ was because it would enable us to change the concepts, in terms of how librarians should/could manage and operate the Library. According to the old or traditional library concept, users would spend a great deal of time alone, isolating oneself inside a study carrel, and reading a book quietly in solitude.

In this new era, we encourage them to interact even more actively with others. Inside this Library, you cannot find a single study carrel. We do not even have any designated discussion zone. As I mentioned earlier, students are allowed to make noise and engage in discussions anywhere inside the Library. In other words, the whole Library is a discussion zone itself. In addition, we do not want the students to come to the Library to just borrow books or to study for tests, we also encourage them to use our Library as a space for socializing – to chit chat with friends, or even to lie flat on the sofas to relax in between their lessons.

**PL:** I wonder if you also provide information literacy workshops for your students, as a way to teach them how to be self-dependent in terms of locating materials inside the Library?

WC: I found that information literacy workshops are not very popular amongst our young students at HKDI. The reason is that our students are not at the same research level as the other students at the Universities, e.g., the University of Hong Kong\(^8\) or the Chinese University of Hong Kong.\(^9\) For this reason, we almost never receive any formal reference enquiries. The academic level amongst our students at HKDI is somewhat in between high schools and universities. Having said that, we do organize a number of workshops on teaching the students how to use mobile devices, e.g., iPhone and iPad to access library resources from remote sites. This I would say is our way as librarians to respond to the new trend in learning in the digital era, i.e., exploring various new ways to enhance

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\(^8\) The University of Hong Kong – Homepage. Available at: http://www.hku.hk/

\(^9\) The Chinese University of Hong Kong – Homepage. Available at: http://www.cuhk.edu.hk/english/index.html
teaching and learning outside the physical classroom environment. In addition, we do not organize workshops for only students, instead we welcome both students and HKDI staff at all levels to take part in our library workshops.

Another reason why our circulation statistics are much higher than the other VTC branch libraries is that our design students really need to look at these design books that are full of colourful images as a way to gather ideas for their own designs. And based on feedback gathered from the students, images found on the Internet cannot replace the printed images found on these design books—simply because the visual quality of the images found in printed books is far more superior.

PL: Could you describe in details the circulation statistics at the HKDI Library? Via looking at the circulation statistics, have you identified any interesting usage patterns amongst your users, e.g., what kind of books or resources tend to be more popular amongst the students here?

WC: HKDI LRC opened in 2010, and [according to statistics we have logged, the circulation checkout rates have been steadily increasing for the past three academic years. And the 4th year is also looking strong on the circulation figures. We never studied what kind of materials were the most popular among our students, but our acquisitions policy focuses more on design reference and textbooks over leisure books (e.g., novels) and blockbuster movies.

PL: As the HKDI Librarian, which part(s) of your job do you find most satisfying?

WC: As the HKDI Librarian, under the current digital era, everything is so easily available via the Internet with a few keystrokes—despite that, the HKDI Library could still witness a positive and yet steady growth of circulation usage of our printed books over the past few years—this is definitely something that I found most gratifying.

In addition, my Department [LRC] is collaborating with three different service units, i.e., the Library, the IT Department and the ETU (Education Technology Unit, including AV and printing services). I have to synthesize the end-user services amongst these three different operational units, [and getting them] to work together as a team is definitely not easy. But if everything works out at the end; and our young users are telling us that they enjoy spending time in our Library and appreciate what we could do for them—I have no more complaints. At the end of the day, it is our satisfied and loyal users that make my hard work worthwhile.

To conclude this interview, I would like to highlight that I really like the way VTC is running the Library. The overall atmosphere of this Library is very leisurely, inviting, and at the same time, very lively and engaging. At the HKDI Library, I am very fortunate that I have been given a lot of freedom to exercise my professional knowledge and skills to the best advantage for the overall success of the whole organization.
## Appendix I

<table>
<thead>
<tr>
<th><strong>Hong Kong Design Institute Learning Resource Centre – Basic Facts</strong></th>
<th><em>(date as of January, 2014)</em></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Size of printed collection</strong></td>
<td>77,743 volumes</td>
</tr>
<tr>
<td><strong>Size of electronic collection</strong></td>
<td></td>
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<tr>
<td>E-books: 2,167,522 titles</td>
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<tr>
<td>Electronic databases: 120</td>
<td></td>
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<tr>
<td><strong>No. of PC stations</strong></td>
<td>237 (Mac: 53%)</td>
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<tr>
<td><strong>No. of seats for users</strong></td>
<td>Around 480</td>
</tr>
<tr>
<td><strong>Physical size of library (square meters)</strong></td>
<td>2,861</td>
</tr>
<tr>
<td><strong>Café / Coffee bar / Vending machines</strong></td>
<td>Vending machines are available at Zone24 (Learning Common)</td>
</tr>
<tr>
<td><strong>Group discussion rooms</strong></td>
<td>4</td>
</tr>
<tr>
<td><strong>Art gallery, display, &amp; exhibition space</strong></td>
<td>1, still under planning</td>
</tr>
<tr>
<td><strong>Reading room</strong></td>
<td>NIL</td>
</tr>
<tr>
<td><strong>Information commons</strong></td>
<td>Yes</td>
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<tr>
<td><strong>Archive / Special collections</strong></td>
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</tr>
<tr>
<td><strong>Media production rooms</strong></td>
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</tr>
<tr>
<td><strong>Lounges</strong></td>
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</tr>
<tr>
<td><strong>New book displays</strong></td>
<td>Yes</td>
</tr>
<tr>
<td><strong>Leisure / popular reading collection</strong></td>
<td>A few</td>
</tr>
<tr>
<td><strong>Faculty reading rooms</strong></td>
<td>NIL</td>
</tr>
</tbody>
</table>
Appendix II

Images of the HKDI Library and Its Users
Why is the Archives Policy Absolutely Vital for the Archives Collection to Function?  
the Lingnan University Experience

by

Simon Sin
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&

Dr. Dickson K.W. Chiu
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Introduction

The Lingnan Archives, established around 2010, collects the original and unique records that document the history of the Lingnan University; and its predecessor bodies created and accumulated since its foundation in 1888. Some of its contents are accessible from its webpage1.

In this interview, Dr. Lau Chi-pang, Director of the Lingnan Archives, and also a renowned scholar of local Hong Kong history, explains the unique characteristics of the archives collection. During the discussions, Dr. Lau also shares with us the critical success factors and other obstacles faced during the implementation of this University Archives Project.

Simon Sin (SS): Could you tell me in which year the Lingnan University Archives Project was established?

Lau Chi-pang (LCP): Our [Lingnan University] Archive was established around 2010. That is rather recent and our archives policy is still not in place. Our University was established in 1967, and our collection is fairly new compared to Tong Wah Group Hospital (TWGH)2 which has a history of 144 years. Some of their old documents were hand-written in black ink, which has already started to fade. This kind of old documents

1 Lingnan University Archives – Homepage. Available at: http://archives.ln.edu.hk/
2 Tong Wah Group Hospital – Homepage. Available at: http://www.tungwah.org.hk
has an urgency to get preserved before they are gone. Our Archives Collection at Lingnan University is fairly new by comparison.

**Simon Sin (SS):** At Lingnan University, there is a number of faculty staff within the History Department, could you tell me why the University has selected you to build such a unique archives collection? Does it have anything to do with your expertise in local history of Hong Kong?

LCP: Not exactly. The University just wanted someone, preferably a ‘trained’ historian to do the job. Before the University decided to launch this [Lingnan University] Archives Project in full scale, I was already working on two different projects concurrently by myself, namely the Lingnan University Archive and the History of Lingnan University since 1967. And the University was talking about these two history projects for some time on and off. Because I have already done the initial background work, and the preparations [for the above two projects], and also because I am a trained historian myself, I appeared to be the most suitable candidate to take over the project. On top of that, I am also well-known for my research and other publications in the field of local Hong Kong history.

**SS: What were the original aims and objectives for setting up the Lingnan University Archives? Why did the University suddenly see the need for building an Archives Collection for documenting its history and developments?**

LCP: The Lingnan Alumni under the Lingnan Education Organization (嶺南教育機構) has always wanted to keep records for the University, as a way to [help] them to provide a full and comprehensive account of the history and developments of the Lingnan University. The Lingnan Education Organization was founded in 1969, and its administration and management structure are in fact completely different from the one of the current Lingnan University’s. In other words, it was the Lingnan Alumni who first saw the need to establish an archives collection for the University, and they were the ones who voiced this need to the Senior Management of the University.

Ever since the Guangzhou period [where Lingnan was previously (located) before relocating to Hong Kong], the alumni has a consensus that something has to be done to preserve the history of the Lingnan College. Before the Archives Collection was properly established, the University Library kept some records concerning the Lingnan College in Mainland China from the Guangzhou period. But these are not formal records, only some old publications issued by the old Lingnan College in Guangzhou, China.

**SS: The existing Lingnan University Archives – what are its relations to the following?**

1. its relations to the local history of the Tuen Mun District in Hong Kong; and

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3 Lingnan Education Organization – Homepage. Available at: http://www.lingnan.org.hk
2. its relations to the former Lingnan College (Hong Kong) – as we all understand the Lingnan College was upgraded to become the current University in 1998.

In addition, within this archives collection, can one expect to find a large number of records documenting the above events, or detailing the gradual transition of this University?

LCP: There is not a great deal of materials relating to the local history of the Tuen Mun District within the Lingnan University Archive Collection. The Lingnan University Archive was established with the sole purpose of acquiring and keeping records of the Lingnan College/University since it was re-opened in Hong Kong in 1967. Despite such a timeline, we have also collected a small number of archival records created before 1967.

SS: Could you tell me what is the current size of the Lingnan Archives Collection? What kind natures and formats of documents could be found in this Archives Collection? In addition to the regular printed/paper documents, I wonder if one could also expect to find other 3-dimensional artifacts being kept as part of the Lingnan Archives Collection?

LCP: Our Archives Collection is still very much at an infant stage; and for this reason, it is not yet operational. In addition, the policy for transferring documents from individual departments and operational units [within the University] to the central Archives is not yet in place. The collection and other items which you saw on our current Lingnan Archives Homepage are already everything we have in our Collection. There are a small number of letters and correspondence documents. Because of its small size, this Archives Collection is actually not very suitable for public access at the moment. We also have a number of artifacts in our Archives Collection dating all the way back to 1967 [such as] several paintings done by the members of the Lingnan Alumni. Furthermore, there are also compilations of theses written by our former Lingnan students who graduated before 1967.

SS: How would this Lingnan University Archives contribute to the overall developments of the University, as well as the study and research of local history of Hong Kong?

LCP: It is hard to say how much the Lingnan Archives Collection could contribute to the overall developments of the University, as there is still no common consent amongst the individual departments and other operational units [within the University] regarding how the records should be transferred to the central archives. This University Archives Collection will certainly be most useful for the study and research of local Hong Kong history, but only in a limited sense, for the reason that Lingnan University is just one of the several local universities in Hong Kong. But you may say the Lingnan University Archives could serve as a small reflection of the history of the tertiary education system and its developments in Hong Kong.
SS: In addition to the University’s Management Committee, the President and other faculty members, to what extent can the University Archivist contribute to the design and overall development of an institutional-wide archives policy?

LCP: The role of the University President is to provide full support and useful advice to the University Management Committee for the design and implementation of the University Archives Project. From the viewpoint of a professional archivist, the University President should/could work closely with the professional archivists to develop and to execute the ‘agreed’ institutional-wide archives policy, as well as to inform the Management Committee about the resources and manpower needed for the actual implementation of the whole Archives Project. I was assigned by the University Management Committee to serve as the Director of the Lingnan Archives to take up this University Archives Project.

Currently, there is a full-time librarian\textsuperscript{4} stationed at the University Library\textsuperscript{5}, who is helping with the daily operations of this Archives Project; but she is not a professionally-trained archivist. As the Director of Lingnan Archives, I am perhaps the closest to the role of an ‘Archivist’ for managing this Collection. Unfortunately, the Lingnan University Archives Collection has ceased to function at the moment for various administrative reasons. With reference to the archives policy, I already mentioned earlier that the Senior Management of the University is not interested in investing too much resources and manpower to fully implement this archives policy. In fact, the former President of the University has completely ignored my repeated requests to develop a top-down institution-wide policy, which is absolutely necessary for this University Archives to function.

SS: Could you tell me the highlights of the Lingnan University Archives Collection? What are the most valuable items to be found in this collection?

LCP: We have not received many items so far. As I mentioned earlier, our Archives Collection is still under an infant stage. The most valuable items would be the records of the Management Committee meetings accumulated since the re-opening of the Lingnan College in Hong Kong in 1967. Unfortunately, many of such documents still have not been transferred to the Central Archives yet. They are still being kept in the University’s Main Office, though it is almost 50 years since the former Lingnan College was re-opened in Hong Kong in 1967.

SS: Could you tell us what kinds of resources and conditions are required for establishing an archive collection for a small-scale academic institution like the Lingnan University in Hong Kong?

\textsuperscript{4} Sheila Cheung (Assistant Librarian, Scholarly Communication, Archives Processing and Donations, Lingnan University Library) – details available at: http://www.library.ln.edu.hk/about/contact-us/sheila-cheung
\textsuperscript{5} Lingnan University Library – Homepage. Available at: http://www.library.ln.edu.hk/
LCP: Please allow me to give you a brief introduction of the policies, procedures and the resources necessary for setting up an archive collection for an academic institute like Lingnan. The first thing you need is ‘physical space’. The physical place of storage is often referred as an archives or repository. In other words, you have to designate a large-enough physical place for the safe keeping the archive collection, which is expected to grow continuously. For various practical and operational reasons, archives collections are often found within the library buildings.

With reference to the ways archives are different from libraries, libraries deal mostly with published materials, meaning that a single book title could have multiple copies. In addition to regular printed collection, many libraries nowadays also subscribe to a large number of titles in electronic format. Furthermore, materials in libraries could usually be taken out of the library building for circulation purposes.

Unlike other regular library resources which are always open to all users, and the library collection could be shared amongst other member libraries via interlibrary-loan services, an archive is an independent and stand-alone collection that consists of mostly unique and unpublished items. For this reason, the printed books belonging to an archive are usually rare and out-of-print titles. The ultimate goal of an archive is to collect and preserve. And because of their highly cultural, historical and irreplaceable values, restricted-access policies are usually applied to these rare book items, with the aim of avoiding loss and damages. In addition, photocopying of such materials is almost never allowed. Given their distinctive differences, limited funding and physical facilities are always the key challenges for both libraries and archives.

Since archives deal mostly with the original, rare and irreplaceable materials, if the original items are damaged or missing, they are gone forever and can never be replaced. As a result, having massive storage and long-term preservation are the most important process of maintaining the archives collection. For this reason, archival documents need to be kept in tailor-made acid-free boxes, in order to ensure that such documents would not deteriorate easily and could be preserved for a long period of time. Such tailor-made acid-free boxes could be quite expensive; and you are talking about few hundred dollars for each, depending on their size.

Another technical issue crucial for establishing an archive is the need for an environment-controlled chamber or system. In addition to selecting and acquiring the materials, another core responsibility of an archivist is to ensure that the materials are accessible over time. Environmental control and monitoring are keys to sustainable collection management in an archive. For example, careful control of temperature and relative humidity (especially for the sub-tropical climate in Hong Kong) is the most critical for preservation. Extreme and uncontrolled environmental conditions would simply speed up the deterioration of the materials. Some archives also require their shelves to be raised at certain height from floor – to prevent damage to documents from flood. Such technical issues could usually be resolved rather easily if enough resources and manpower are available.
Having said that, in addition to funding and physical space, another criteria necessary is having an archivist with the professional skills for building the archive collection, as well as the skills for preserving it. However, there are no universal standards for managing an archives collection. And from the perspective of a historian, it would be the most ideal to keep anything and everything as part of the archive, as you never know what you want to see or to research on in ten years’ time. But in real practice, you need to exercise professional judgment and other criteria to select documents to the central archive. There are many different types of archives; and the three main categories are namely, governmental, non-governmental (for profit) and religious archives, etc.

SS: In addition to funding and physical space, what are the major challenges & difficulties when building the archives?

LCP: With ‘money’, you can always hire more people – people with experiences and professional training to take over the archives. With ‘physical space’, you can start acquiring records to build your collection. With an effective archives ‘policy’, you can make it mandatory for the individual departments and operational units to start submitting records to the Central Archives on a regular basis. In other words, ‘money’, ‘physical space’ and ‘archives policy’ are all indispensable for building an archives collection of any kind. But I would like to highlight that developing an effective archives policy is the thorniest of the whole Archives Project.

SS: Why is the archives policy absolutely vital for the archives collection to function?

LCP: Money and physical space are considered merely technical issues. With money, one can always ‘buy’ more physical space. Even with limited funding, or limited physical space, one can always start building the collection gradually on a much smaller scale. However, without a top-down institution-wide archives policy, simply nothing can be done. If the University’s Senior Management can give a ‘green light’ to execute the archives policy, the Archives Project can start to operate at any time. The most important question is whether the University’s Senior Management could come up with an effective and institution-wide archives policy to drive the whole Project forward.

Another important issue we need to consider is the nature of the archive and how it should be used amongst its users, which could be rather complicated. Public archives normally have a thirty-year policy/rule. Government documents created today can only be released to the general public thirty years from now. And in principle, the use of the archives may not be the same as the documents originally being intended to. For example, there is an email between you and me, and no third party is involved; and no one else is expected to see the contents of this email, or even use our email. Email is just a simple case, but for some official documents within government, or some strategic documents which are sensitive in nature, or while the event is still taking shape or not yet finished, finalized or formalized, if the public should request disclosure now, the chance of such request being granted is very unlikely. The policy rule for disclosure could also be thirty years, fifty years, seventy years or even 100 years.
SS: Why is there is thirty-year policy/rule?

LCP: I didn’t find out why there is this thirty-year rule. From my experience, it seems that after thirty years most cases should have been settled. Say a government official started to work in government at his twenties, after thirty years he will be in his fifties and it is about time to retire. The disclosure of what he did at his twenties should not have much impact on him, his department or his institute after he retires. This is the minimum I think. I think similar considerations should be taken for school archives. Other more complicated issues are those that involve inter-personal relationship. In some cases, archives will only be released for public access after 100 years.

SS: Does it mean that the archives cannot be accessed while the person is still alive?

LCP: Some people may have life expectancy of 80 or even 90 years. For this reason, access to an archive may have to wait until the person passes away; or sometimes we even have to wait until their next generations have passed away. The creator may be in his twenties or thirties when he created the document. It seems not likely that he will live longer than 100 years. His children can be a few years old. So after 100 years two generations should have already passed. Provided the current and the next generation would not be affected, it would seem relatively safe to open up the collection for public access.

SS: Even without the support of a top-down, institutional-wide policy, you managed to set up an archives collection that is unique for the [Lingnan] University. Given the current successes, is there anything that you would like to do differently if you were given a chance to re-do this Project all over again?

LCP: Not much. The most important thing is to secure the funding source from the parent institute [Lingnan University] for the long-term and ongoing management of the archives collection. Ongoing funding and physical space are the major challenges faced by most librarians and archivists. Before building an archives collection, one must first discuss with their parent organization the funding and space requirements. In other words, getting the senior management to agree and commit to support the establishment of the archives on an ongoing basis is most crucial. Once getting the commitment from the senior management, the archivist may start developing a top-down institution-wide policy for building the archives collection. Even for universities that have holdings that chronicle the business of the universities, they are often done in a very casual and ‘unprofessional’ way – meaning that there is not always a fully trained or qualified professional to manage the archives collection. Furthermore, additional funding and manpower might not always be available. If that is the case, an immediate solution might be to deploy the existing librarian to oversee the archives collection, provided that adequate training in archival science is given to the librarian.

SS: I understand that there are many non-profit institutes in both Hong Kong and overseas that are requiring the librarian to play dual roles, i.e., to oversee the library, as well as to look after the archives collection at the same time – for the
reason of saving manpower and resources. And very often, this librarian would have very minimal or close to absolute zero training in archival science. I wonder what is your opinion in this matter?

LCP: True, that happens very often in Hong Kong. With the exception of the University of Hong Kong\(^6\), many local universities expect their librarians to perform dual roles. But many practicing archivists would tell you without any hesitation that archival science and librarianship are very distinct from each other. And institutionally speaking, archives and library collections should each be headed by experts/professionals in their own fields for various administrative, functional, and technical reasons.

With my knowledge in local history and social networks, I successfully initiated and founded the whole Lingnan University Archives Project. However, on an operational level we still need to have a fully qualified and professionally-trained archivist to manage the archives collection on a full-time and day-to-day basis in the long run. During the initial setup of the Lingnan Archives Project, we had to borrow examples from other local university archives and model after their successful practices and experiences. For the University Archivist, she/he must possess the professional knowledge and skills necessary for ensuring the good and proper handling of all materials belonging to this Lingnan Archives for many years to come.

In addition, for the University Archivist project management skills are equally essential for the overall planning, monitoring and delivering special goals within a timeframe and budget. These are complex tasks that might even involve convincing the Senior Management to implement an institutional-wide policy – thereby requiring individual departments within the University to send their records to this central repository regularly for archival purposes.

SS: If there is a change in the Senior Management, President or change of budget holder within the University - would they value or see the Archives differently?

LCP: Of course this would happen. You never know what kind of changes would actually take place within the senior management of the University, once a new President has been appointed. If fact, you can never foresee how much the new management would value, or see the University Archives. Whether an Archives Collection is functional depends entirely on the amount of support and funding received directly from the Senior Management. The University Archives Collection is not an item that exists within the UGC provision.\(^7\) The Archives Collection is not directly related to the teaching, learning or even research activities of the University. For example, as part of the curriculum, it is the duty and obligation of every new President to help every single student at the University to achieve a minimum number of 120 credits before graduation. However, building a University Archives Collection is not mandatory,

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\(^6\) The University of Hong Kong – Homepage. Available at: http://www.hku.hk/

\(^7\) UGC (University Grant Commission of the Hong Kong (SAR) Government) – Homepage. Available at: http://www.ugc.edu.hk/eng/ugc/index.htm
because it is simply not written as part of the University President's job description. Our last University President did not demonstrate much interest in history; for this reason, he expressed very little inclination and provided minimal support to the overall establishment of the Lingnan Archives Project, i.e., including the execution of a top-down institution-wide archives policy.

**SS: Dr. Lau, is there anything else you would like to add before closing this interview?**

LCP: I have nothing else to add. Thank you very much.

**Dr. Lau Chi-pang – Biography**

Dr. LAU Chi-Pang completed his B.A. and M.Phil. at the University of Hong Kong and received his Ph.D. from the University of Washington, Seattle, U.S.A. He is Associate Professor of History at Lingnan University, teaches Chinese history and Hong Kong history. He is concurrently Coordinator of Hong Kong and South China Historical Research Programme of the same University. He has also actively engaged in community and cultural services, holding memberships in Tuen Mun District Council, Heung Yee Kuk, Antiquities Advisory Board, Advisory Committee on Revitalisation of Historic Buildings, Town Planning Board, History Museum Advisory Panel, Lord Wilson Heritage Trust, and Municipal Services Appeals Board. A contributor to the *National Qing History*, Dr. LAU has widely published on Hong Kong history and is now Director of Hong Kong Local Record Office and Editor-in-Chief of the *Comprehensive Records of Hong Kong* project.
Photos of the Lingnan University Archives Collection:
Photo of Dr. Lau Chi-pang
The Hong Kong Museum of Medical Sciences

Dr. Patrick Lo

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Introduction

Established in 1996, the Hong Kong Museum of Medical Sciences (HKMMS) occupies a building formerly known as the Bacteriological Institute. Situated in the area of the original site of the 1894 Plague Outbreak at Tai Ping Shan, the institute was the very first purpose-built medical and public health laboratory in Hong Kong. It was opened in 1906 and declared a public monument in 1990. Later, the Hong Kong College of Pathologists, recognizing the importance of public awareness for local history, petitioned for use of the Bacteriological Institute as a non-government museum for preserving local heritage. It is now operated by a non-profit organization, the Hong Kong Museum of Medical Sciences Society.

The HKMMS’s mission is to provide a stimulating environment for public education on health and medical sciences, past, present and future. This Museum is devoted to collecting and preserving historically significant records for a variety of research, teaching and publication purposes. Over the years, the Museum has played a leading role in the development of education on Hong Kong’s medical heritage.

In the following interview, Dr. Faith Ho, Chair of the Education and Research Committee of the HKMMS Society and Mr. Condon Lee, Curatorial Assistant of the Museum discuss the goals and missions of the HKMMS, as well as its challenges in establishing the archives collection for the Museum.
The following interview with Prof. Faith Ho and Mr. Condon Lee was conducted at the Hong Kong Museum of Medical Sciences on 18th March, 2013.

*Patrick Lo (PL): Could we begin this interview by first introducing yourself and your roles at the Hong Kong Museum of Medical Sciences (HKMMS)*<sup>1</sup> *and its archives collection?*

Faith Ho (FH): My name is Faith Ho, and I am Chairman of the Education and Research Committee of the Hong Kong Museum of Medical Sciences Society.<sup>2</sup> This is Mr. Condon Lee, he is one of our staff members, and is currently serving as the Curatorial Assistant of the HKMMS.

The HKMMS Society started, and now operates the HKMMS. The Museum was officially opened in 1996, and has since been open to the general public in Hong Kong. We are an independent museum run by a non-profit and non-government organization, which is the HKMMS Society. We depend almost entirely on donations and sponsorships for our work. In comparison to the other public museums in Hong Kong, we are relatively a small museum organization, but we are unique in terms of our museum collections and services.

The HKMMS was set up with 2 main themes — Heritage and Health. You can see we are in a heritage building which was built in 1905. The building itself has more than 100 years of history. The Museum building is now declared a historical monument. Originally, the Museum building was used as a bacteriological institute, built as a response to the plague that first broke out in Hong Kong in 1894. At the turn of the 20th century, plague was still recurring year after year, with devastating effects on the economy, and the Governor of Hong Kong, therefore, petitioned the British Colonial Government to send a medical expert to Hong Kong to help control the plague. But the expert, William Hunter said, “There is no way I can help you unless you have a laboratory in Hong Kong that I can work in.” At that time, in the whole of Hong Kong, there was not a single medical laboratory. So the Governor of Hong Kong promised him that a medical building would be purposely built for him for his medical research. The medical expert, William Hunter, came to Hong Kong in 1902 and supervised the building of this medical laboratory.

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1 Hong Kong Museum of Medical Sciences – Homepage. Available at: http://www.hkmms.org.hk/
2 Hong Kong Museum Medical Sciences Society - Homepage. Available at: http://www.hkmms.org.hk/English/hkmmss.htm
Of course, this type of old building soon could not provide all the medical services that Hong Kong needed as the local population increased drastically. Later, in the 1960s and 70s, gradually all of its functions and facilities were relocated to new places. This ‘original’ building was then used for various other functions. In 1990, the building was declared a public monument and is currently serving as a medical museum which has been open to the general public in Hong Kong since 1996. It is the only medical museum in Hong Kong.

Through this Museum, we want to provide an experience for our visitors, via which they could learn about heritage and health. We have exhibitions to let people learn about the historical developments of Hong Kong in the context of medicine and public health. Besides that, we want to let people know how to stay healthy, and what is happening now in terms of public health and medicine, and not just what happened in the past. All these are an important part of our Museum’s mission. However, for our archival collections, they are more focused on the historical aspects of medicine and public health.

With reference to the archives collection, we have a rich collection of documents related to SARS (Severe Acute Respiratory Syndrome). Although it happened only 10 years ago, the SARS outbreak was no doubt a major event and unexpected shock to the Hong Kong society as a whole. It was truly modern Hong Kong’s first encounter with such a major disaster. Fortunately, our local medical scientists working in collaboration with an international team of researchers in 13 different laboratories around the world, managed to discover the cause of SARS, and it was no doubt a tremendous achievement. During the SARS crisis, medical laboratories in Hong Kong were working for 24 hours straight. I think we should be proud of what they have done for Hong Kong. SARS was a major threat to public health in Hong Kong with repercussions spreading to all aspects of life and the economy – and for the SARS theme, we will be collecting a lot of oral interviews and other documents from the various groups of medical and non-medical personnel. They will indeed be an important part of our Museum’s archives collection.

PL: What are the differences between the records about SARS kept at the HKMMS and the ones kept at the Hong Kong Hospital Authority (HKHA) or at the other local

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3 Hong Kong Hospital Authority – Homepage. Available at: http://www.ha.org.hk/visitor/ha_index.asp
**public hospitals?**

FH: I am sure that the HKHA and the other local hospitals also have many records on SARS. But because we are a public museum, our records would probably be more comprehensive and accessible to the general public than those kept at the HKHA or maybe at the Department of Health Hong Kong. For example, for our SARS Oral History Archive project, our interviews will cover a wide spectrum of medical and health as well as non-medical & health personnel. For the people who wish to consult our SARS records, starting from mid-2015, they could apply and state the purpose of their study as well as join our Society and become an associate member of the HKMMS. They don't have to pay much [fees] to be a member.

**PL: Could you give me an example of such archives records that are made accessible for the public?**

FH: Plague and SARS – these are the 2 themes that are the most comprehensive among our archives collection. Also, there are other records featuring our historic locality, the Tai Ping Shan district, and the stories and history of our local hospitals in Hong Kong during the early years, e.g., the Tung Wah Hospital and the Nethersole Hospital, etc.

**PL: Am I to understand that this Museum’s archives is meant to serve as a centralized one-stop centre or repository for people who are looking for archival records on the developments of medical history of Hong Kong?**

FH: This is one of the many purposes! We also need to use the materials ourselves in the course of our work in preparing exhibitions and other educational activities. Not all the materials consist of original documents, some are copies of the original, but they do serve to bring together for study a body of relevant materials in one place. In order to make our records more accessible, we are now developing an online cataloguing system to facilitate record filing and retrieval.

**PL: You have mentioned that your Society saw the need to provide educational**

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4 Department of Health of Hong Kong – Homepage. Available at: http://www.dh.gov.hk/eindex.html
5 Tung Wah Group of Hospitals – Homepage. Available at: http://www.tungwah.org.hk/?content=369
6 Alice Ho Miu Ling Nethersole Hospital – Homepage. Available at: http://www3.ha.org.hk/AHNH/index_e.asp
programmes; -- who are your target audience? And who are the vast majority of the Museum users?

FH: Our Museum’s educational programmes are mostly opened to the general public, but we also run tailor-made programmes for special groups like medical students. The majority of our visitors are secondary- and primary-school students. Our Museum staff Condon is one of the team members who provide guided tours for local school groups. In addition, we also provide special seminars and teaching materials to local school teachers for various educational purposes. Furthermore, we also have a large number of elderly people and local community groups come to visit our Museum on regular basis, as well as visitors from overseas.

PL: Based on my understanding, there is also a Department of Health in Hong Kong. Since both of you are providing health-education-related services and activities, could you please tell me what the main differences are?

FH: The Department of Health provides health education services to the public, but unlike us, is not involved in medical history or archival collections. Nobody else is providing archival records and educational activities on medical history integrated into health education. We are the only institution in Hong Kong serving this purpose. In fact, the Head of Central Health Education Unit⁷ under the Department of Health is a member of our Museum’s Education and Research Committee. We think that it is a very important part of the work of a medical museum to have a central repository to keep, to collect and to preserve the documents related to the history of health and medicine in our region, as well as the medical developments in Hong Kong.

PL: As the Chair of the HKMMS Education & Research Committee, could you tell me what are your main duties and responsibilities?

FH: Under the Board of Directors, we have 4 different committees within this Museum organization, and they are namely: the Management Committee, the Finance Committee, the Publicity & Public Relations Committee and the Education & Research Committee. I am in charge of the Committee which deals with education and research which includes initiating and undergoing research projects and advising our staff on the management of

⁷ Central Health Education Unit – Homepage. Available at: http://www.cheu.gov.hk/eng/index.asp
our collections.

In fact, I am a retired professor of pathology, and I have been involved in this Museum Project since the very beginning. It has been very interesting to see how the whole Museum has developed and evolved over the past years. The whole Museum was set up by us volunteers. All of the committee members are in fact volunteers.

PL: To Condon -- As the Curatorial Assistant, what are your main duties and responsibilities?

Condon Lee (CL): My core duty is to help appraise and to identify which of the artifacts or records are worth adding to our Museum collection. Once we have decided which artifacts or records are to be added to our collection, I am also responsible for cataloguing them and ensuring their proper storage.

Besides, I am responsible for providing guided tours to the local public groups, including students from different local schools and universities. Our main goal is to promote awareness about the history of medical developments amongst the general public in Hong Kong.

I was a history major and [am] now in training as a museum curator. My predecessor who helped start and develop this archive had taken one of the archive courses at the University of Hong Kong. In addition to my archival duties, I also assist in giving guided tours and talks to the local school groups, as well as preparing displays and exhibitions for the Museum. In fact, as we are a small museum, most of our Museum's staff members are expected to be multi-tasking.

PL: As your Museum's archive collection is gradually expanding, how do you decide which items are suitable to be added to the collection and which are not?

FH: Since we are relatively new, in order to build our basic collection, we have been trying to collect as much as possible, and we are only now starting to document our acquisition policy. In fact, we do not just collect the original materials. For example, we are looking at a report of the Plague Outbreak that took place in Hong Kong in 1894, we may not have

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8 The University of Hong Kong – Homepage. Available at: http://www.hku.hk/
the original document, but at least we have a copy of that report. Besides, we have a copy of the diary of the doctor who was in charge of the medical team that was responsible for controlling the 1894 plague outbreak in Hong Kong. I have seen the original diary, but the donor only gave us a copy. This document and microfilm is part of our archives collection and as far as I know is not available anywhere else. But of course, we do have the originals of other historical documents, e.g., we have the original graduation certificates of prominent doctors and other originals of rare patient records and lecture notes.

**PL**: In addition to the printed documents and 2-dimensional objects, since you are a Museum, do you also collect other 3-dimensional artifacts? If yes, can you give me examples of such 3-dimensional artifacts in your Museum collection?

**CL**: Most of the 3-dimensional artifacts we collect at this Museum are medical equipment. Such old medical equipment provides much information about the history of medicine and some are actual Hong Kong discoveries. Furthermore, we collect photographs and video-recordings for archival purposes. There is this saying, “a picture is worth a thousand words.” Our museum also produced a video on the plague of 1894 and a video documenting the discovery of the cause of SARS in Hong Kong, by filming in the actual laboratories where the work was done.

**PL**: What kind of people would come to use your medical archive collection? What kind of services have you been providing at or via your Museum?

**FH**: Our resources are limited and we are still developing our archives and cannot be considered a big organized archival institution. A large number of our research or reference enquiries, both local and international, have been related to the history of plague in Hong Kong. In fact, we are expecting a visitor from [the University of] Cambridge next month - he wants to look at our plague archives because he is doing a particular research in that area. And people frequently ask if we have certain photos, especially those related to the plague outbreaks in Hong Kong for their publications. We have also received people asking about [medical-related] certificates. Most of our reference enquiries were requests for accessing our archives collection for research purposes. Earlier, we had a professor from the Department of History, Lingnan
University\textsuperscript{9}, writing a book who was interested in a certificate in our collection awarded during the time of the Japanese occupation. And Dr. Tim Ko from the Hong Kong Branch of the Royal Asiatic Society\textsuperscript{10} also asked about availability of a photograph to use in the \textit{Dictionary of Hong Kong Biography} which he was helping with. We also had a Ph.D. student from the CUHK\textsuperscript{11} asking to view the materials we hold on the first hospital providing Western medicine to Chinese in Hong Kong, i.e., the Alice Ho Miu Ling Nethersole Hospital.

\textbf{PL: Do you have any strategic plans for developing your archives collection and the Museum for the next 2 to 5 years?}

FH: For our collections, our plan is to organize them better, as well as finish the cataloguing which would take at least 2 years. It will be easier to search and access them in future, and we are still documenting our procedures and developing our archives. Then we may consider putting some of our collection items on the Internet to increase the audience and the number of people who can benefit from our collections. So far, we have collected about 2,000 artifacts and documents, 1,000 volumes of books, and over 1,000 historical photographs. For the cataloguing of the printed books, we want to leave them to the very last, because books [monographs] are relatively easy to access by searching their titles. However, if we should continue to receive more and more new items in the future, we might not be able to meet our target timeframe. We hope to have our entire archive collection ready for our users and a catalogue list for public access by 2015.

\textbf{PL: With reference to your archives collection, how far back does it goes? Or maybe you could give me some highlights of your collection?}

FH: There are a number of highlights. In addition to the archive records on the 1894 plague outbreak and on SARS, we also have a lot of records on the Alice Ho Miu Ling Nethersole Hospital starting from 1887.\textsuperscript{12} Furthermore, we have collections on

\begin{itemize}
  \item \textsuperscript{9} Lingnan University – Homepage. Available at http://www.ln.edu.hk/
  \item \textsuperscript{10} Hong Kong Branch of the Royal Asiatic Society – Homepage. Available at: http://www.royalasiaticsociety.org.hk/
  \item \textsuperscript{11} CUHK – The Chinese University of Hong Kong – Homepage. Available at: http://www.cuhk.edu.hk/english/index.html
  \item \textsuperscript{12} Alice Ho Miu Ling Nethersole Hospital – Homepage. Available at:
\end{itemize}
important medical personnel and research materials connected with our exhibitions and previous activities, like the development of midwifery in Hong Kong. The reason we had an exhibition on midwifery was because we wanted to reflect how the development in midwifery services impacted the changing attitudes amongst the local Chinese people towards Western medicine in the last century.

**PL: Do you have any rare books that are of high cultural, historical or research values in your archives collection?**

**FH:** We don't have too many rare books. Most of the books found in our collection are related to medicine, including Chinese medicine. But we have about 50 book titles that are of high value. For example, there is a book written in the 1920’s by the first professor in pathology at the University of Hong Kong, Prof. C.Y. Wang; he was the very first Chinese professor in Hong Kong. The book is out-of-print now. And luckily, we still have a copy of this title, which was kindly donated to our Museum by his son. Another example is the original bound copy of notes hand-written by a student (who became a well-known doctor in Hong Kong), taken of lectures given by the first full-time Professor of Medicine in Hong Kong, Professor John Anderson, also in the 1920's. We also have a few old Chinese medicine books.

**PL: What part of your job do you find most gratifying?**

**FH:** I am a volunteer at this Museum. When people show appreciation for what I have done for them and for the Museum, I am happy. It is truly a gratifying experience when I know that I could give back to the society even after I have retired.

**CL:** Being able to work for this Museum is indeed a very rewarding experience. What I am doing here is related to the history and heritage of Hong Kong. By preserving these medical records and artifacts, it does not only enable us to understand our past, it also tells us what is going on at present and is likely to happen in the near future.

**FH:** People always talk about intangible cultural heritage - in fact, the medical history of Hong Kong is very much tied with the whole social history of Hong Kong. And for Hong Kong people, they would probably like to know what makes Hong Kong different from

http://www3.ha.org.hk/AHNH/index_e.asp
any other places. For example, comparative studies between traditional Chinese medicine and Western medicine have always been hot topic amongst the medical professionals and the common people, and this is one of the major themes of this museum. For instance, in the past, the Chinese people in Hong Kong were skeptical and had no confidence in Western medicine. It took many years for Western medicine to be accepted by the majority of the Hong Kong public, but now traditional Chinese medicine is witnessing a resurgence. And currently, there have been a lot of talks on the integration of Western and Chinese medicine, and whether this can be achieved. All these are related to our cultural heritage. In fact, we are currently preparing an exhibition which will open in June 2013 on the comparison between traditional Chinese and Western medicine in the use of herbs.

Photo 1.
Dr Alice Sibree was appointed by the London Missionary Society in 1903 and arrived at Hong Kong a year later. She was in charge of the first maternity hospital for Chinese: Alice Memorial Maternity Hospital opened in 1904. The photo shows Dr. Sibree with student midwives and graduates.

Source: Hong Kong Museum of Medical Sciences's Collections, from Alice Ho Miu Ling Nethersole Charity Foundation.
Photo 2.
The photograph showing Temporary Plague Hospital in Kennedy Town with patients lying on the floor.

Source: Hong Kong Museum of Medical Sciences collection, donated by Mrs. Ashburner.
Photo 3.
A temperature chart from a patient treated successfully by Yersin's antiserum.

Source: Hong Kong Museum of Medical Sciences collection.
Editor's Note:
The works of the late Eizaburo Okuizumi, for many years Japanese Studies Librarian at the University of Maryland and the University of Chicago libraries, include over 200 published articles, talks, presentations, and introductions to edited volumes. A prolific and respected scholar, he is particularly known for his research on U.S.-Japan wartime and post-war relations, especially bibliographic studies on the history of the occupation of Japan by the Allies after World II, and on the Japanese-Americans in North America. Mr. Okuizumi's widow provides us with this invaluable bibliography of his works which she compiled.

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Keiko Okuizumi, compiler

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78
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Remembrance on the Eve of My Retirement

Tai-loi Ma

A few years back, Guoqing Li of Ohio State described me and some of my contemporaries still working as from an earlier generation, and he was correct. I remember quite vividly the anxiety of the library world when it had to change to AACR2 in the seventies. It was the Y2K problem of its day. It involved a lot of work, and everything was done manually. So before this old librarian fades away, he would like to recall a few events of his time which may be of interest to some younger colleagues.

Longevity has played a major role in my library career. I simply did things at an early stage and for a longer period of time. I am also fortunate to have met the right people at the right time. I served as the local guide for some first-time visitors to the States, including Gu Tinglong, Wu Xiaoling, Fu Xuancong, and An Pingqiu. It allowed me to have hours of private conversation, and in the case of Mr. Wu, days of discussion about traditional Chinese fiction.

I attended the Graduate Library School of the University of Chicago from 1970 to 1972. I would not have come to the United States had I not received a full scholarship (tuition plus a monthly stipend of $225). The Graduate Library School itself did not have much scholarship funding to distribute. Prof. T.H. Tsien must have convinced the School’s Dean of Students to recommend me to the International House Fellowship committee. Among the application materials for admission I submitted was an article of mine which cited but disagreed with Dr. Tsien. It was evident that he did not take offence. I was also the only MA student in the Far Eastern Librarianship Program. My classmates, including David Tsai, Ming-sun Poon and James Cheng, all had studied in American library schools and had MLS degrees when enrolled, and therefore had little chance to receive the I House Fellowship. The Graduate Library School was closed in 1989, and the International House still provides Residential Fellowships at about $2,000 per year but no longer pays the tuition.

I first learned of Nixon’s intended visit to China when I saw the TV evening news in the lobby of International House. After that historic visit, there were a few guest speakers talking about their experience in China as visitors or locals, including Jack Chen and Ding Ling. Jack Chen stated that Yang Xianyi and Gladys Yang would be released very soon. That eventually took place a year or two later. Ding Ling impressed me as an elderly lady steadfast to her beliefs. It looked as if the Cultural Revolution had taught her nothing. To be fair, at that time most people outside of China were fans of the Cultural Revolution.

In 1979 Shanghai’s Zhonghua wenshi luncong published some articles by Hu Shi. After the founding of the People’s Republic in 1949, Dr. Hu had been the target of vicious campaigns. What did the publication mean? Relaxation on academic freedom? I
wanted to find out and submitted a short research note on Pu Songling to the journal. It was published in January 1980, together with another article by a professor at the Chinese University of Hong Kong. These two articles were probably the first articles published in China by authors residing outside of China after the Cultural Revolution. The event was duly reported in the People's Daily on April 25, 1980. In 1981 I had another article published in Wen shi. In both cases, I just sent in the articles without contacting anyone. This approach did not always work. After I discovered the contemporary poem about Song Jiang's surrender, I wrote an article and sent it to Lishi yanjiu. It was returned without any explanation. After my article was later published in Zhonghua wenshi luncong, Deng Guangming, the dean of Song historical studies who had argued repeatedly that Song Jiang never surrendered, accepted my theory and applauded me for announcing my discovery in a timely manner. He did not realize that my announcement was delayed by about a year. In 2009 Song Dejin, [a frontline editor of Lishi yanjiu], finally explained that he rejected my article to avoid controversy.

1980 was an eventful year for me. In May, Prof. Chow Tse-tsung of the University of Wisconsin organized the first international conference on the Hongloumeng. (Due to some peculiar LC rule interpretations, Prof. Chow is represented as Zhou Cezong in library catalogs.) It was also the first non-science conference outside of China after the Cultural Revolution attended by scholars from China. Prof. Chow was very considerate and asked me to go to Chicago's O'Hare Airport to help the three Chinese representatives, Zhou Ruchang, Feng Qiyong and Chen Yupi, change to the plane to Madison. I had read the works of all three scholars but I had never thought that one day I would meet them in person, especially in America. All three scholars gave me signed copies of their recent publications. I regretted that I forgot to bring my own copy of Zhou's Hongloumeng xinzheng for his signature. I bought this original Tangdi chubanshe edition in a regular bookstore in Hong Kong when it was already quite rare. It must have come from the storage after an inventory.

In December 1983 I went to Guangzhou to attend my first conference in China (on the Nanfang caomuzhuang). I received an ACLS travel grant, probably due to favorable recommendations of Professors L. Carrington Goodrich and Frederick Mote. At that time there was only the Chinese embassy in Washington, D.C. and I had to send my travel document by registered mail to get the visa. In one instance I had to telegraph the sponsor, the South China Agricultural College. Faxing and e-mail were not options at that time. It was my first trip to my birthplace since my family moved back to Hong Kong after World War 2 when I was still a toddler. After the Conference, I visited the Sun Yatsen University Library and the Provincial Zhongshan Library to consult some rare books. The Zhongshan Library did not have electricity on the day of my visit. Electricity was provided in rotation for different districts during peak periods. What a big difference when I visited the new buildings of these two institutes in 2012! I made no attempt to find the exact place of my birth, but did get some useful information about my grandfather from the Islamic Association of Guangzhou.
In early June 1989 the late Eizaburo Okuizumi and I went to Ann Arbor to attend a Midwest Japanese Library Consortium meeting organized by the Asia Library of the University of Michigan. The weather was very bad, and the flights from Chicago were either cancelled or delayed. Eventually we had to rent a car for the trip. Oku did all the driving, and we arrived after midnight. I have forgotten practically all the formal discussion. What I remember was that people’s attention had turned to what was happening in Beijing. I only got a fuller picture of the situation after I returned to Chicago the next day. Things changed rapidly and drastically after the Tiananmen Incident.
RETIREMENTS

Ma Tai-loi, Director of the East Asian Library at Princeton University, will retire at the end of October 2014.

Ma Tai-loi originally studied in Hong Kong University under such luminaries as Rao Zongyi and P. K. Yu, before enrolling into the legendary Far Eastern Librarianship program in Chicago under Tsuen-hsuin Tsien in the fall of 1970. After graduation two years later, he started working full-time in the East Asian Library at Chicago, while at the same time studying under Ho Ping-ti for a PhD he received in 1987, with a dissertation entitled “Private academies in Ming China (1368-1644): historical development, organization and social impact.” In that year he became Curator of the East Asian Library at Chicago, having worked his way up from cataloger to head of cataloging previously, and remained in that position until 1997.

Ma Tai-loi filled many positions nationally in the library field: member of CEAL’s Technical Services Committee, CEAL’s representative on the ALA/CCAAM committee from 1985 to 89, member-at-large of the general CEAL board (1989-92), and chair of the CEAL Committee on Chinese Materials (1993-96). When chair of the Chinese Materials Committee, in 1994 Ma Tai-loi successfully made CEAL stand tall when a cartel monopolizing book prices in China was forming, and in 1996 he negotiated with the National Library of China to organize a joint seminar of CEAL and the Chinese Library Association during the sessions of the IFLA conference in Beijing. In 1997 he became president of CEAL. As CEAL president, Ma Tai-loi liked to write editorials for its bulletin, attacking the improper use of the word “vernacular” for what are written, even classical languages; promoting the use of foreign records; and otherwise inviting the attention of CEAL membership to important issues. His many other contributions to CEAL include service on several task forces; notably he was the chair of the 1993-1994 ARL Foreign Acquisitions Project for Chinese Materials. He also lectured on collection development at the 2004 Luce Summer Institute of East Asian Librarianship: China Focus.

Besides his considerable contributions as a librarian, Ma Tai-loi is also a scholar. He is an acknowledged specialist on Lin Shu, discovered the chronologically very first essay that discussed the literary merit of the novel Jing Ping Mei (by Xie Zhaozhe), and discovered, a contemporary poem demonstrating that Song Jiang had indeed surrendered, proving Mao Zedong’s argument wrong (a discovery acknowledged positively by Deng Guangming, a prominent member of the presidium of the Chinese Historiography Association and President of the Chinese Song History Research Association.) All done before full-text databases could be searched!

In late 1997 Ma Tai-loi moved to Hong Kong to be the head of the Fung Ping Shan library in that city, and in 2001 he became the Director of the East Asian Library at Princeton. As a Ming scholar and a rare book specialist, Tai-loi was well familiar with Princeton. Already in 1991 he had been asked to be a member of the Advisory Board of The Gest Library Journal, later the East Asian Library Journal, which initiated in this country the current field of the
history of the Chinese book. It was stated then by Frederick Mote that, as far as the Gest
Library was concerned, Tai-loi was an insider, but that it was difficult to classify him in any
particular field, since, like the eminent sinologists of old, his meticulous critical judgment
touched upon almost every aspect of Chinese civilization.

At Princeton, Ma Tai-loi took a leadership role in various digitization projects (and facsimile
republications) of rare books, in cooperation with, among other entities, the Academia Sinica
and the National Library of China, and also publishers such as the Zhonghua shuju. He
remained part-librarian, part-scholar, within the last decade his attention mainly devoted to
reconstructing the collections and activities of a famous collector from the late Ming, Xu Bo.
His collated and annotated compilation of the bibliographical essays and library catalog of
the Xu family will be published in the coming months by Shanghai guji chubanshe.

Following his retirement Ma Tai-loi will relocate to Chicago.

(From an Eastlib posting by Martin Heijdra, Princeton University East Asian Library)

K. T. Yao, (Kuang-tien Yao 姚張光天), China Specialist Librarian at the Asia Collection of the
University of Hawaii at Manoa Library, retired on August 29, 2014, after many years of
service there and significant contributions to CEAL.

(From an Eastlib posting by Rohayati Paseng, University of Hawaii at Manoa Library)

Louis Chor retired June 30, 2014 from the University of Alberta Libraries. Educated in Hong
Kong and Canada, he worked first for libraries in Hong Kong before serving for over twenty-
five years as East Asian Librarian at the University of Alberta Libraries. In addition to giving
careful, forward-looking attention to collection development and cataloging in his capacity
as East Asian Librarian, Mr. Chor over the years contributed thought-provoking essays on
Chinese culture to JEAL.
NEW APPOINTMENTS

Yukako Tatsumi joined the University of Maryland Libraries as **Curator of the Gordon W. Prange Collection & East Asian Studies Librarian** on June 2, 2014. She holds a B.A. in Russian Language from Kobe City University of Foreign Studies, an M.A. in Education Policy Studies, and a Ph.D. in International Education Policy from the University of Maryland, College Park. Her dissertation explored women’s higher education reform initiatives in 20th century Japan. She was previously the Japan Resource Center Librarian in the Global Resources Center at George Washington University.

Yukako Tatsumi may be reached by email at yukako@umd.edu.

*(From an Eastlib posting by the University of Maryland Gordon W. Prange Collection)*

**Hana Kim** has been appointed **Head of the Asian Library at the University of British Columbia**. Prior to this appointment Ms. Kim was Librarian for Korea Studies at the Cheng Yu Tung East Asia Library at the University of Toronto since 2003; during the past three years she also served two periods as Acting Director of the Cheng Yu Tung East Asian Library. In 2009 she was a fellow at the Asian Collections section of the National Library of Australia, and in 2013 she participated in the Leadership and Career Development Program of the Association of Research Libraries. Hana has a Bachelor of Education with a double major in German and English from the Korea National University of Education in Cheongju, Korea. She received her master’s degree in Library and Information Studies from McGill University in Canada and holds a diploma in Korean/English, English/Korean translation from the National Accreditation Authority for Translators and Interpreters in Australia.

While at the University of Toronto Ms. Kim was responsible for all aspects of Korean collection development and also contributed to fundraising, community outreach, exhibitions and lecture series, and numerous digitization projects. Her research interests include collaborative collection development, Korean Canadian heritage, and diversity issues. She has contributed translations and original poems to the anthology journal *Variety Crossing* and to *Critical Art and Writing by Korean Canadian Women* (Toronto: Inanna Publications and Education, 2007) and is the translator of $2H_2 + O_2 = 2H_2O$ (Larkspur, CA: Tamal Vista Publications, 2011).

Hana Kim can be reached by telephone at 604-822-5905 and by email at hn.kim@ubc.ca.

*(From an Eastlib posting by Shirin Eshghi, Asian Library, University of British Columbia)*

**Dongyun Ni** began work on September 1, 2014, as the **China Specialist Librarian at the University of Hawaii-Manoa Library**. Prior to this appointment, she was cataloger for Chinese language materials at UH-Manoa.

Dongyun Ni can be reached by email at dni@hawaii.edu.

*(From an Eastlib posting by the Asia Collection, University of Hawaii at Manoa Library)*
Tomoko Bialock began her duties as Japanese Studies Librarian at the Richard C. Rudolph East Asian Library at the University of California, Los Angeles (UCLA) on September 2nd, 2014. Ms. Bialock received both her MA in Library and Information Sciences (2003) and her BA in Linguistics and East Asian Languages and Cultures (2000) from UCLA. After receiving her BA she worked for six years in the UCLA East Asian Library as a Japanese cataloging assistant and then for eight years as Japanese Studies Librarian at USC.

During her tenure at USC, she oversaw Japanese collection development and obtained grants for collection building from by the Multi-Volume Sets Project of the North American Coordinating Council on Japanese Library Resources (NCC), the Toshiba International Foundation, and the Cressant Foundation. In addition, Mrs. Bialock’s outreach to local communities resulted in a donation of 30,000 volumes on Japanese history and culture from the Hinomoto Library of the Tenrikyo Mission Headquarters in Boyle Heights, Los Angeles, in 2013. Through her efforts, the Japanese collection at USC doubled in size from 20,000 to 40,000 volumes. She also helped develop a Japanese reading corner in the East Asian Library at USC that includes graded readers, picture books, comic books (manga), and light novels.

Mrs. Bialock currently serves as Librarian Chair for the Multi-Volume Sets Project Grants (2013-2014) and as a Member-at-Large for the Council on East Asian Libraries (2014-2017). She can be reached via email at tbialock@library.ucla.edu and by phone at 310-825-2765.

(From an Eastlib posting by Su Chen, Richard C. Rudolph East Asian Library, UCLA)

Miki Masuda, the CLIR Grant supported Archivist for the Makino Mamoru Collection on the History of East Asian Film in the Columbia University C.V. Starr East Asian Library, began her 18-month appointment on September 15, 2014. Her responsibilities include the processing of the remaining ephemera of the Makino Collection, consisting of post-war film programs and fliers (26 boxes; 6500 items), and completing an online finding aid for the entire Makino Collection.

Miki has an MLIS and a Certificate in Archiving and Preserving Materials from Queens College, CUNY. She also has a BA in Applied Sociology and a Certificate in Library and Curatorial Science from Bukkyo University, Kyoto, Japan. Most recently she worked at the Mizuho Bank in New York as researcher and executive assistant. She has also worked as assistant project archivist at the LaGuardia and Wagner Archives. During her studies she did archival internships at the Watson Library of the Metropolitan Museum, at the Noguchi Museum in Long Island City, Queens, at the American Museum of Natural History, and at the Museum of the City of New York.

Miki’s email is mm4628@columbia.edu, her office is in 319 Kent Hall, and her phone extension is 4-8728.

(From an Eastlib posting by Ria Koopmans-de Bruijn, C.V. Starr East Asian Library, Columbia University)
Chisato Jimura, the CLIR Grant supported Cataloger for the Makino Mamoru Collection on the History of East Asian Film, started her 33-month appointment at the Columbia University C.V. Starr East Asian Library on September 25, 2014. Chisato graduated from the Kyoto Sangyo University and Bukkyo University in Kyoto, Japan, and obtained her MLIS degree from the Dominican University in Illinois. Prior to coming to Columbia, she worked in various libraries in Japan and the United States. Her last position was Cataloging Librarian at the Geophysical Institute & International Arctic Research Center Library at the University of Alaska Fairbanks campus for over fourteen years, where she performed cataloging in various formats and languages and provided reference for faculty, students, and members of the local community.

Chisato can be reached by email at cj2442@columbia.edu and by phone at (212) 854-1504.

(From an Eastlib posting by Sarah Elman, C.V. Starr East Asian Library, Columbia University)
IN MEMORIAM

Tung King Ng 伍冬瓊

(December 2, 1921 - June 11, 2014)

Tung King Ng, the first Head of the Asian Library at the University of British Columbia, passed away in her sleep at St Paul's Hospital in Vancouver on June 11, 2014 at the age of 92.

Ms. Ng graduated from the Chinese Department, University of Hong Kong on a scholarship with a stellar academic record and pursued library science studies in England. Upon graduating, she returned to Hong Kong where she worked as the Librarian of the Fung Ping Shan Library 馮平山圖書館, the Chinese library of the University of Hong Kong Libraries. In 1958, she received a Rockefeller Scholarship to the Library of Congress, Washington D.C. and UC Berkeley. That same year she also visited major East Asian libraries in North America, including Columbia, Harvard, Princeton, Stanford, and Yale.

Ms. Ng joined the UBC Library as the Head of the new Asian Studies division in December 1960, a year after the acquisition of 45,000 volumes of Puban Collections 蒲坂藏書. For the next 27 years, she provided outstanding leadership and mentorship to the Asian Library staff, in particular the first Chinese and Japanese reference librarians, Mr. Yim Tse 謝琰 and Mr. Tsuneharu Gonnami 権並恒治. Working together, they developed the largest Eastern Asian collection at an academic library in Canada.

“She was a smart, diligent and strong leader and a pleasant person,” Mr. Gonnami fondly recalled. “Everyone was happy to work with her.” Mr. Tse added, “Ms. Ng was not only my boss, but a mentor throughout my library profession. She guided my way from a student assistant to a library assistant to a librarian.”

During her career at UBC, Ms. Ng was also a great friend of students, opening her home to provide reasonable accommodation to students from Hong Kong. Many of those students became life-long friends. Ms. Ng was a devout Christian participating in many activities in her Anglican church including singing in the choir and assisting with administrative work.

A funeral service for Ms. Ng was held in Vancouver at the Anglican Network Church of the Good Shepherd on Friday, June 20, 2014 followed by internment at Ocean View Burial Park.

In memory of Ms. Tung King Ng, the Asian Library of the University of British Columbia held a display of her pictures and publications July 2 - 21, 2014, in the Asian Centre foyer.
An Anecdote about Ms. Tung-King Ng

I recall the following interesting experience related by Ms. Ng, Asian Head Librarian from 1960 to 1987, as if I heard it yesterday from her.

One winter evening in the 1970s, when Ms. Ng got home from the Asian Library at UBC, she felt very tired after a long hard working day. She wanted to take a short nap for just half an hour or so before starting to cook her dinner. Still in her work clothes, she took her nap, but when she awoke, the clock on her bedside table indicated a little after 8 o’clock. She thought it was already the next morning. Quickly, she jumped from her bed and hurried to her garage, because in those days the UBC Asian Library opened at 8:30 am. It was a typical rainy day in the grey winter time in Vancouver, B.C., Canada and the morning and evening looked the same. When she parked her beloved 1960’s Beetle at the UBC parkade, she heard a parting salutation by someone, “Good night!” Then she realized that it was not next morning, but was still the same evening after her day’s work and nap. Scratching her head, she drove home again.

This little story illustrates how much she devoted herself to the UBC Asian Library. No wonder Mr. Yim Tse, Chinese librarian (1968-1998), used to call Ms. Ng affectionately a “workaholic.”

Ms. Tung-King Ng is already sorely missed by family, colleagues and friends. As one of the latter I appreciate this opportunity to be able to pay my last respects to her professionalism.

BOOK REVIEWS


Published on the eve of the 25th anniversary of the 1989 Tiananmen movement, *Tiananmen Exiles* addresses a difficult yet important subject in Chinese history. Through the personal narratives and group discussions of three student leaders of the Tiananmen movement, *Tiananmen Exiles* traces the life trajectories of these participants from their formative years during the Cultural Revolution, through the early years of the reform era, to their respective roles during the Tiananmen movement and their subsequent incarcerations in China and exile years in the United States.

As such, *Tiananmen Exiles* serves as an invaluable cache of primary sources on the Tiananmen movement. But *Tiananmen Exiles* encompasses far more than just oral history as it has also introduced several new avenues of historical inquiry in the study of this watershed movement in Chinese history, such as combining autobiographical approaches with psycho-cultural analysis. Noteworthy features of the book include:

An authentic voice to the Tiananmen movement. The participants of the movement have often been interpreted through black or white “hero or villain narratives.” Instead of this, the author allows these former student leaders to reclaim the discourse, presenting them as complete human beings with their share of struggles, self-doubt, despair, and cynicism during their days of incarceration and exile.

Detailed, factual accounts of the student leaders’ trying, traumatic experiences during their incarcerations in Chinese jails and their fight with apparent post-traumatic stress disorder after being released. There is a notable absence of cherry-picking of any facts to support a particular argument.

Candid, personal reflections and soul-searching of the three participants in the Tiananmen movement and their difficult exile years in the United States as well as a depiction of their daily struggles with language, work, education, and livelihood while in exile in the U.S.

The evolution of these student leaders’ political philosophies from being critics of the Chinese government to critics of U.S. domestic and foreign policy (one of them even participated in the Occupy Wall Street Movement.)

The insuppressible yearning of the student exiles to return to China as reflected in their refusal to be naturalized as U.S. citizens. Denied Chinese passports and refusing to get U.S. passports, some of the students became stateless. The author recounts and analyzes their search for identity in the post-Tiananmen era.

A special introduction to the Tiananmen Mothers—the “Gold Star Mothers” of the Tiananmen Movement, whom the author has studied for well over a decade.

Meticulously researched and richly documented, *Tiananmen Exiles* is the latest addition to Palgrave’s prominent *Studies in Oral History* series. The book comes with a compelling
foreword by Professor Perry Link that cogently highlights the significance of the Tiananmen movement and puts it in broad historical context.

*New York Review of Books* describes *Tiananmen Exiles* as “a convincing and powerful account of a central experience in contemporary Chinese life.” Professor Yu Ying-shih, Emeritus Professor of East Asian Studies and History, Princeton University, says of the book, “Rowena Xiaoqing He has ingeniously reconstructed the entire movement in historical perspective not only to unlock the past and explain the present but also to peer into the future . . .”

*Tiananmen Exiles* is appropriate for both academic and public libraries. It will be a good addition to collections in several academic areas and disciplines, including history, political science, sociology, psychology, oral history, student movements, social movements, political refugees, exiles, and the Tiananmen movement.

Additionally, as the 50th anniversary of the Cultural Revolution in 2016 fast approaches, *Tiananmen Exiles* is an appropriate title for any collection on China’s Cultural Revolution. It describes a generation of youth, born with the birthmarks of the Cultural Revolution, that departed from the Red Guards’ blind devotion to the Mao cult and searched instead for a better roadmap of China at the expense of their education, freedom, and even young lives. *Tiananmen Exiles* has organically tied the Cultural Revolution and Tiananmen movement together through the lives and agonies of three former student leaders, and through them, the lives and struggles of their generation.

Zehao Zhou, M.L.S., M.Ed., Ph.D.
York College of Pennsylvania


Buried deep beneath the current capital of China, Beijing, is the grandiose Dadu (大都), Great Capital, the social and political center of the Yuan Dynasty. *The Capital of the Yuan Dynasty* draws on a wide range of resources, including archeological findings, to give an overview of Yuan Dadu. The book is composed of seven chapters. The first chapter is a brief history before the times of Yuan Dadu. The next two chapters discuss the construction and physical layout of Yuan Dadu as accurately as it can be reconstructed. Chapters 4, 5 and 6 bring to life the political, economic and cultural events that occurred within the Dadu area. The last chapter deals with farmers’ riots that brought about the downfall of Yuan Dynasty and the demise of Yuan Dadu.

The history of Beijing can be traced back to more than three thousand years ago when residential communities started to develop in that region. During the Zhou Dynasty (1046 B.C.-256 B.C.) the vassal state of Yan (燕国) made Beijing its first capital called the City of Ji (蓟城). It was so named because the plant Ji (蓟) with its beautiful violet flowers bloomed everywhere in the city. This city of handicrafts, commerce and culture was
widely known as “magnificent city under the heaven”. When the Khitans (契丹族) established the Liao Dynasty (907A.D.-1125A.D.) a dual administrative system was adopted. The Northern Government was in charge of the Khitans and ethnic minorities, while the Southern Administration was for governing the Han Chinese. The Upper Capital (上京) was set up in Inner Mongolia for the Northern Government. The Southern Capital (南京) in present-day Beijing area was for the Southern Administration. During the reign of Emperor Shengzong (圣宗), the Southern Capital was renamed Yanjing (燕京). During the Liao Dynasty the Upper Capital was the primary government center, though Yanjing was larger and more prosperous. Emperor Wanyan Liang (完颜亮) of the Jin Dynasty in 1151 ordered the expansion and reconstruction of Yanjing, and turned it into Zhongdu (中都), the central capital of Jin Dynasty. The imperial palace was situated almost in the center of Zhongdu. In 1211 Zhongdu suffered a ferocious fire which lasted five days and destroyed tens of thousands of homes. When the city was captured by the Mongols it was already in ruins. With the unification of the country by the Mongols Kublai (忽必烈) became the ruler and decided to construct a brand new city close to the site of Zhongdu, and named it Dadu in 1272. The old Zhongdu became an integral part of Dadu. To the Mongols it was known as Khanbaliq, the city of the Khan.

The design and layout of Yuan Dadu was one of the fundamental topics of Yuan studies. Without a good knowledge of the structure of Dadu it is hard to comprehend and appreciate the progressive development of Beijing as it stands today. The author combed through relevant resources in history and literature to put together this narrative of the city of Dadu. The physical description of the city, from the dimensions of the city framework to the materials that were used to build city walls, was drawn from writings by ancient Chinese scholars as well as Western travelers such as Marco Polo. The author ingeniously walks readers through a wealth of technical details, from the defense walls of the city to the imperial palace, gardens, lakes, and temples. Water drainage and road systems are also described. One long standing question in Yuan studies is why the city of Dadu was built with 11 gates. Presumably there ought to be 12 gates since symmetry is a characteristic feature of traditional Chinese building structures. For Dadu, there were three gates on each side in all directions except the north side which had only two gates. The most common explanation for this is that the structure of the 11 city gates was modeled on the image of the god of protection Nezha (哪吒), a deity in Chinese Buddhist mythology with three heads, six arms and two feet. In July 2009 an international conference on Yuan Dadu Studies was held in Beijing, jointly hosted by the China Yuan Studies Association, Beijing Historical Research Society and Beijing Social Science Academy. One topic that gained close attention was the attribution of the 11 gates of Dadu to the image of Mahakala (瑪哈噶拉), the god of protection in Tibetan Buddhism. Unsolved mysteries such as this in Yuan Dadu studies will continue to fascinate scholars.
Dadu became the political, economic and cultural center of the Yuan Dynasty. People of many different ethnic backgrounds lived there. Besides the majority of the people of Han nationality who had lived there for many years, Mongols and Muslims, as well as minority groups from different parts of Xinjiang all moved to the capital. Many of the new dwellers in the city were nobles, scholars, craftsmen and clergy. Dadu also attracted a good number of foreign travelers, such as Marco Polo, Odoric of Pordenone and Moroccan adventurer Ibn Battuta. They wrote extensively of their experiences in the capital city, and their writings became indispensable resources for modern day Yuan Studies scholars. In and around the Dadu area, farming techniques were greatly improved. The Yuan government officially issued the first guidebook on farming and sericulture. Business was booming with silk industry and arms production. Commercial cargos were shipped into and out of Dadu region on land and by sea. Expansions of canals and improved road systems quickly turned Dadu into a hub of international trade. When constructing Dadu, Kublai Khan ordered an imperial academy to be built by the Confucius Temple. Education of Chinese classics was promoted as one of the means to solidify the dynasty’s ideological power. Dadu witnessed a revival and new birth of art, culture and literature. Religious compounds exemplified spectacular architecture. Dadu was the Mecca for men of letters for inspiration and creativity. A unique style of literary writing, Yuan drama (元杂剧) emerged. Three of the four most prominent dramatists were natives of Dadu. Some of the plays of the Dadu era continue to be performed and are still popular today.

The prosperity of Dadu was at the expense of a life of toil for peasants. Corrupt bureaucrats amassed enormous wealth while the people at the bottom of the social ladder lived in extreme poverty. Confrontations between the rich and the poor led to numerous riots. Added to the devastation caused by wars was a severe famine between the year 1358 and 1359 in the Dadu region. Millions died of hunger, and starving people fed on dead bodies. Zhu Yuanzhang (朱元璋), the fearless rebel from the south, eventually conquered the Yuan regime and occupied Dadu. The old ruined city acquired a new name Beiping (北平), but lost its status as a capital city.

It should be pointed out that the English translation of The Capital of the Yuan Dynasty did not include the entirety of the original Chinese publication. On the colophon page of the English publication was printed “English edition ©2015 by English Professional Publishing, Inc. Chinese original edition©2010 China Renmin University Press.” On the cover page of the 2010 Chinese publication the book title was Studies of the Great Capital and the Upper Capital of Yuan Dynasty (《元代大都上都研究》). The book actually has two parts: Part One is Yuan Great Capital and Part Two is Yuan Upper Capital. At the very end of the Chinese book there is a postscript telling us Part One was written by CHEN Gaohua (陈高华) and published in 1982, while Part Two was jointly written by CHEN Gaohua and SHI Weimin (史卫民) and published in 1988. In the authors’ words, “When republished now the two books were combined as one book with two parts in order to give readers a complete picture of the multiple capital system in Yuan Dynasty.”
authors also remarked that except for one slight change from “Lamaism” (喇嘛教) to “Tibetan Buddhism” (藏传佛教) the two parts of the book remained the same as when they were first published in the 1980s. It appears that only Part One of the 2010 Chinese publication by China Remin University Press was translated into English by Phoebe Poon. This was edited by Glenn Griffith and Phoebe Poon and published in 2015 with the title of The Capital of the Yuan Dynasty. Unfortunately this title gives rise to some confusion. The title of the English book The Capital of the Yuan Dynasty creates a misconception that Dadu was the only capital in Yuan Dynasty. As described in Chapter Four, when Dadu was completed, the original capital city for the Mongols, The Upper Capital (上都) in Kaiping, took second place, and was turned into a sub-capital (陪都). That was the dual-capital system for Yuan government which was not uncommon in Chinese history. It was the tradition for Yuan emperors and their families to go and stay in the Upper Capital in April, and move back to Dadu, the Great Capital, in August or September every year. In fact the Upper Capital, though politically not as prominent as Dadu, retained its capital status and served the Mongol emperors well for their nomadic lifestyle. To translate the Chinese 元大都 as “The Capital of the Yuan Dynasty” is misleading since Dadu was one of the two major capitals. It might better be rendered as “The Great Capital of the Yuan Dynasty” or simply “Dadu of the Yuan Dynasty”. On a minor side, a quick scan through the notes for Chapter One at the back of the English publication unpleasantly revealed a few errors: no.4 “Changhe ge 长恨歌” (Changhen ge); no.44 “Zhang Li 张棣” (Zhang Di); no.45 “Li Xichuan 李心传” (Li Xinchuan) and no.56 “Yan Wanwu 阎文儒” (Yan Wenru). If these are printing errors or slips of pen, the following errors may be of a different nature: no.1 “Chen Kuo 沈括” (Shen Kuo); no.10 “Mou Quansun 續荃孙” (Miao Quansun) and no.55 “Yao Guanghao 姚广孝” (Yao Guangxiao). More caution in editing would have enhanced the enjoyment of reading the book.

CHEN Gaohua is one of the best-known Chinese scholars in Yuan Studies. His book Yuan Dadu 《元大都》 published in 1982 was translated into Japanese in 1984, and into Mongolian language in 1985. The English translation by Phoebe Poon is a creditable contribution to the research literature of Yuan history in the western world. The glossary of personal names, building names and official titles is a handy reference tool for general readers, and Yuan studies scholars may find it useful, too.

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INDEX

"An Anecdote about Ms. Tung-King Ng," 97

Anyu (bibliographical note), 23-39

Archival policy, 54-55

Archives collection of Hong Kong Museum of Medical Sciences, 62-63, 65

The Anyu 案语 of Siku quanshu zongmu 四库全书总目, 23-39

Bialock, Tomoko, appointed Japanese Studies Librarian of Richard C. Rudolph East Asian Library at the University of California, Los Angeles (UCLA), 94

The Capital of the Yuan Dynasty, by Gaohua Chen, reviewed by Xian Wu, 99-102

Chen, Gaohua, The Capital of the Yuan Dynasty, reviewed by Xian Wu, 99-102

Chiu, Dickson, co-author, "Graffiti Inside an Art and Design Library? The Hong Kong Design Institute Library Experience," 40-48

Chiu, Dickson, co-author, "The Hong Kong Museum of Medical Sciences," 60-72

Chiu, Dickson, co-author, "Why is the Archives Policy Absolutely Vital for the Archives Collection to Function? The Lingnan University Experience," 49-59

Chu, Wilson, interviewee, "Graffiti Inside an Art and Design Library? The Hong Kong Design Institute Library Experience," 40-48

Chor, Louis, East Asian Librarian at University of Alberta Libraries, retires, 92

CLIR Grant support for Makino Mamoru Collection on the History of East Asian Film at Columbia University C.V. Starr East Asian Library, 94-95

Cognitive search strategies, 8

Dadu, Great Capital of the Yuan, 100-102

Gabbard, Ralph, co-author, "Uncovering the Online Information Seeking Behaviors of Chinese University Students: A Pilot Study," 1-22

Gonnami, Tsuneharu, author of "An Anecdote about Ms. Tung-King Ng," 97

Graduate Library School at University of Chicago, 88

"Graffiti Inside an Art and Design Library? The Hong Kong Design Institute Library Experience," 40-48

Guy, Melissa, co-author, "Uncovering the Online Information Seeking Behaviors of Chinese University Students: A Pilot Study," 1-22

Hana Kim appointed Head of the Asian Library at the University of British Columbia, 93

He, Rowena Xiaoqing, Tiananmen Exiles: Voices of the Struggle for Democracy in China, review by Zehao Zhou, 98-99
Ho, Faith, interviewee, “The Hong Kong Museum of Medical Sciences,” 60-72

Hong Kong Design Institute Learning Resource Centre, 40-48

Hong Kong Museum of Medical Sciences Archives, 60-72
Copy of temperature chart from patient treated by Yersin’s antiserum, 72
Photograph of Alice Sibree, nurse at Alice Memorial Maternity Hospital, 70
Photograph of Temporary Plague Hospital in Kennedy Town, Hong Kong, 71

“The Hong Kong Museum of Medical Sciences,” 60-72

Information literacy workshops, 43

Information seeking behavior, 1-2

Information seeking behavior of university-level Chinese users, 3-4

Jimura, Chisato, hired as Cataloger for Makino Mamoru Collection on the History of East Asian Film, Columbia University C.V. Starr East Asian Library, 95

Kim, Hana, appointed Head of the Asian Library at the University of British Columbia, 93

Lam, Hei-lee, co-author, “The Hong Kong Museum of Medical Sciences,” 60-72

Lau, Chi-pang, interviewee, “Why is the Archives Policy Absolutely Vital for the Archives Collection to Function? The Lingnan University Experience,” 49-59


Lee, Condon, interviewee, “The Hong Kong Museum of Medical Sciences,” 60-72

Lingnan University Archives Project, 49-59

Liu, Qian, co-author, “Uncovering the Online Information Seeking Behaviors of Chinese University Students: A Pilot Study,” 1-22


Lo, Patrick, co-author, “Graffiti Inside an Art and Design Library? The Hong Kong Design Institute Library Experience,” 40-48

Lo, Patrick, co-author, “The Hong Kong Museum of Medical Sciences,” 60-72

Ma, Tai-loi
author of “Remembrance on the Eve of My Retirement,” 88-89
memoirs of, 88-89
retires from Princeton University East Asian Library, 91-92

Makino Mamoru Collection on the History of East Asian Film, Columbia University C.V. Starr East Asian Library
support by CLIR grant, 94-95
Miki Masuda hired as Archivist, 94
Chisato Jimura hired as Cataloger, 95
Mao, Ruifang, author of "The Anyu 案语 of Siku quanshu zongmu 四库全书总目," 23-39

Masuda, Miki, hired as Archivist for the Makino Mamoru Collection on the History of East Asian Film, Columbia University C.V. Starr East Asian Library, 94

Memoirs of Tai-loi Ma, 88-89

Ng, Tung-King, obituary of, 96

Okuizumi, Eizaburo, bibliography of works by, 73-87

Okuizumi, Keiko, compiler of "Bibliography of Eizaburo Okuizumi," 73-87

Princeton University East Asian Library Director Tai-loi Ma retires, 91-92

Puban Collections at University of British Columbia Asian Collection, 96

Sibree, Alice, charge nurse at Alice Memorial Maternity Hospital, photograph, 70

Sin, Simon, co-author, "Why is the Archives Policy Absolutely Vital for the Archives Collection to Function? The Lingnan University Experience," 49-59

Tatsumi, Yukako, appointed Gordon W. Prange Collection Curator and East Asian Studies Librarian at University of Maryland Libraries, 93

Temporary Plague Hospital in Kennedy Town, Hong Kong, photograph, 71

Tiananmen Exiles: Voices of the Struggle for Democracy in China by Rowena Xiaoqing He, reviewed by Zehao Zhou, 98-99

Tomoko Bialock appointed Japanese Studies Librarian, Richard C. Rudolph East Asian Library at UCLA, 94

Tung-King Ng, obituary, 96

"Uncovering the Online Information Seeking Behaviors of Chinese University Students: A Pilot Study," 1-22

University of Alberta Libraries East Asian Librarian Louis Chor retires, 92

University of British Columbia
appoints Hana Kim Head of the Asian Library, 93
first Head of UBC Asian Library Tung-King Ng passes away, 96

University of California, Los Angeles (UCLA) Richard C. Rudolph East Asian Library appoints Tomoko Bialock Japanese Studies Librarian, 94

University of Chicago Graduate Library School, 88

University of Hawaii at Manoa Library, Asia Collection
China Specialist Librarian K. T. Yao retires, 92
appoints Dongyun Ni China Specialist Librarian, 93

University of Maryland Libraries appoints Yukako Tatsumi as Gordon W. Prange Collection Curator and East Asian Studies Librarian, 93
Verbal protocol analysis method, 1-2, 6-7, 10-13

Wu, Xian, review of *The Capital of the Yuan Dynasty* by Gaohua Chen, 99-102

Yao, K. T. (Kuang-tien Yao), China Specialist Librarian at the Asia Collection of the University of Hawaii at Manoa Library, retirement of, 92

Yukako Tatsumi appointed Gordon W. Prange Collection Curator and East Asian Studies Librarian at University of Maryland Libraries, 93

Zhou, Zehao, review of *Tiananmen Exiles: Voices of the Struggle for Democracy in China*, by Rowena Xiaoqing He, 98-99
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