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Compiled by Frank Joseph Shulman  
**Language, Linguistics**

Andvik, Erik Emerson

**Tshangla grammar**

*University of Oregon Ph.D. 1999 734pp. Order Number DA9940386*

Tshangla is a Tibeto-Burman language with 150,000 or more speakers in eastern Bhutan, as well as small pockets of speakers in Arunachal Pradesh (India), and in south-eastern Tibet. This study is a comprehensive grammar of the language, written from a functional/typological orientation.

An account is given of the phonology, as well as the complex system of morphophonemic alternations. Major word-classes are described, with particular attention to the verbal morphology. At the phrase level, the order and function of constituents within the noun phrase is described.

The discussion of clause-level syntax includes attention to transitivity and syntactic roles, as well as case postpositions, and the complex variety of syntactic, semantic, and pragmatic factors which determine their use. Extensive coverage is given to various multi-clause structures, as well as certain pragmatically marked constructions, including word-order variations, sentence-final particles, and a class of "versatile particles", which occur on constituents at various levels of the syntax, and which function to modify the pragmatic force of the utterance in various ways.

Clauses may be divided into two types: finite and non-finite. Finite clauses may stand alone, and are specified either for tense, aspect, and mirativity, or for a non-declarative sentence-mood such as interrogative, hortative or subjunctive. Non-finite clauses occur only in multi-clausal constructions together with a finite clause, and are either concatenated (non-final) or participial (nominalized) in form.

Concatenated clauses represent events which are pragmatically or semantically merged with the final clause event, while still retaining their verbal or adverbial properties. Different types of concatenations are distributed along a continuum representing varying degrees of merging between non-final and final clause events. At one end of the continuum are clause-chains, where multiple clauses represent distinct events. At the other end are serial verb constructions, where multiple verbs represent a single event.

The participial clauses show fewer verbal/adverbial features and more argument-like properties than do non-final clauses. They are used in complements, relative clauses, and other contexts where a clause functions analogously to a nominal object.

The finite tense/aspect/mirativity inflections are encoded periphrastically by a combination of grammaticalized serial verb and participial complement clause constructions.

Lenz, Timothy

**A new version of the Gandhari Dharmapada: British Library Kharosthi fragments**

*The University of Texas at Austin Ph.D. 1999 419pp. Order Number DA9959511*

In September 1994, the British Library's Oriental and India Office Collections acquired a collection of birch bark scrolls written in the Gandhari language with the Kharosthi script. The collection consists of fragments of at least twenty-one original scrolls containing remnants of some twenty-three separate texts, which have proved to be generally similar in language to the so-called Gandhari Dharmapada, definitively published by John Brough in 1962, which was previously the only Gandharan Buddhist text available for scholarly study.

The purpose of this dissertation is to prepare an edition and study of one text from the British Library collection. The text chosen for this project is a fragment of a Dharmapada that appears to represent a second version of the previously mentioned Khotan Dharmapada. This text is particularly important, as it is a rare example of a duplicate version of a

Gandhari text, which offers us the opportunity to study textual variants. In addition, it offers a chance to study the varieties of language that were used in the writing and disseminating of one particular Gandhari text.

Chapter 1 provides evidence in support of the contention that the London Dharmapada and the Khotan Dharmapada actually are two versions of essentially the same text, along with introductory comments concerning the London Dharmapada scroll and text. Chapter 2 and 3 respectively present the phonetic and morphological data compiled from the London Dharmapada text. Paleography is discussed in Chapter 4 and an exhaustive accounting of individual letter forms is laid out. Chapter 5 represents the bulk of the study, as it provides the justification for the analyses given in the preceding chapters. Here a transcription of the London Dharmapada is provided, along with parallel verses from related texts, namely the Khotan Dharmapada, *Jataka*, *Dhammapada*-Pali, *Sutta-nipata*, *Patna Dharmapada*, and Sanskrit *Udana-varga*, plus a commentary on the London Dharmapada verses.

Upadhyay, Shiv Raj

**Linguistic politeness strategies in Nepali**

*Georgetown University Ph.D. 1999 281pp. Order Number DA9945517*

This study investigates the phenomenon of Nepali linguistic politeness through the analysis of naturally occurring data from service encounter, business, and family settings. The study examines various linguistic and discursive features, including address terms, honorifics, speech acts, closings and openings of interactions, topic control and conflict talk, in order to uncover the social factors that influence the use of various politeness strategies in these settings. Based on the results of this study, relationship was found to be the most important aspect of social interaction among Nepali individuals and their politeness behavior. In this study, an individual's occupational rank in the business setting was the most important social factor on which their social identity was constructed and their relationships with one another were formed. Similarly, one's position or role in the family was the basis of relationship in the family setting. Other secondary social factors that influenced a relationship and the use of politeness strategies in the business setting were age and social distance or intimacy. The asymmetrical relationship among the interactants in the business and social/family settings resulted in the non-reciprocal use of politeness strategies with various levels of honorifics. On the other hand, the lack of a definite and mutually acceptable relationship between the clerk and customer in the service encounter setting was evident in their behavior of social indifference to each other and in their use of politeness strategies marked as either minimally honorific or honorifically neutral. The study also indicates that the main concern of Nepali individuals in an interactional situation is to observe the social expectations associated with their relationship.

## Art History

Bangdel, Kina

**Manifesting the Mandala: A study of the core iconographic program of Newar Buddhist monasteries in Nepal**

*The Ohio State University Ph.D. 1999 987pp. Order Number DA9941281*

This study examines the core iconographic elements of the Buddhist monasteries in Nepal and their relationship to the religion and ritual practices of the Newar Buddhists. Based on original field research conducted in the Kathmandu Valley, I have identified three major iconographic themes were widespread and prevalent. These are the Svayambhu Mahacaitya, the Dharmadhatu Mandala, and the Cakrasamvara Mandala, which are manifest in the monasteries as three mandatory architectural elements: the principal vivifying *stupa*; the exoteric shrine of the principal deity of the monastery; and, the secret esoteric shrine to the Tantric deity. The study analyzes their symbolic meaning and explores how these iconographic components serve as visual metaphors to express the fundamental constructs of the religion.

The findings suggest that the core iconographic program is unique to the Newar Buddhist context, reflecting the essential ideological frameworks of the religion. Specifically, the three components are conceived of as a hierarchic progression, articulating the Newar Buddhist soteriological methodology often compassing the "Three Ways" of Buddhism. By examining the constructions of sacred space, the key iconological constructs of Newar Buddhist art and religious practices are contextualized and defined through these visual symbols.

The analysis also explores the *yoginis* in Newar Buddhism and situates the goddess tradition within the larger Tantric Buddhist soteriological framework. A key premise is to understand the *yoginis* tradition as a unifying theme to decipher the iconology of the core components. Further, the study proposes to establish the *yoginis* tradition as the ontological source of the Newar Buddhist religion.

## Religion

Biernacki, Loriliai

### **Taboo and orthodoxy: Making Tantra respectable in 11th century Kashmir**

*University of Pennsylvania Ph.D. 1999 443pp. Order Number DA9953507*

This dissertation consists of a translation of the Agamadhikara of the Isvara Pratyabhijna Vivrti Vimarsini, along with a discussion of the context of the heterodox praxis underlying what was from most standpoints a fairly orthodox text. When examining the notion of ritually induced possession (*samsavesa*) in the religious context of Kashmir, one finds among contemporary scholars no clear comprehension of the term and widely contradictory views of its meaning and place in the religious praxis in medieval Tantra. After beginning with a treatment of methodological issues, this dissertation specifically addresses the notion of *samavesa* from a textual point of view. Complementing this is an analysis of the idea of heterodox ritual praxis within this medieval tantric milieu.

The translation of the Agamadhikara of the Isvara Pratyabhijna Vivrti Vimarsini deals with the Saiva Siddhanta system of tattvas which nondualist Kashmir Saivism inherited and expanded. For Abhinava, the system of tattvas is, to a large degree, transformed from a cosmological map of the universe into a heuristically valuable map of the human psyche. It becomes a classificatory tool for psychological states of human consciousness. The second chapter of the Agamadhikara of the Isvara Pratyabhijna Vivrti Vimarsini focuses especially on the five states of consciousness: waking, dream, deep sleep, the Fourth state and the state beyond the Fourth, with an eye towards the soteriological implications of each of these states. In this context, Abhinavagupta discusses the notion of *samavesa*, assimilating it to the Fourth state and the state beyond the Fourth state.

Blumenthal, James Alan

### **Interpreting Mahayan syncretism: A comparative study of Santarakista's "The Ornament for the Middle Way: in Indian and Tibetan contexts**

*The University of Wisconsin - Madison Ph.D. 1999 362pp. Order Number DA9934900*

Santaraksita's text, *The Ornament For The Middle Way* (Skt. *Madhyamakalamkara*, Tib. *db U ma'i rgyan*) is commonly considered as the foundational or root text of the final major development in Indian Buddhist thought, a philosophical system known in Tibet as Yogacara-Svatantrika-Madhyamika. This system of thought offered a unique synthesis of major trends in Mahayana discourse by presenting the Yogacara framework as a viable presentation of conventional truth while maintaining a Madhyamika perspective for ultimate analysis, all the while stressing the necessity of incorporating recently formalized systems of Buddhist logic. This dissertation conducts a comparative analysis of the ideas presented in *The Ornament For The Middle Way* in the context in which they arose in eighth century India with the way in which they have been understood, interpreted and represented within the dGe-lugs school of Tibetan Buddhism. As such, this study offers a historical and contextual framework for understanding this text in both its Indian and Tibetan settings. In particular, a new three-fold model is presented for contextualizing dGe-lugs commentarial literature on the subject which is cognizant of these contexts in which the texts operate and the pedagogical and hermeneutical objectives of the dGe-lugs school. Included in this study are translations of Santarakista's text *The Ornament For The Middle Way*, and one of the primary dGe-lugs commentaries on that text, rGyal-tshab's *Remembering 'The Ornament For The Middle Way'* (Tib. *dbU mai rgyan gyi brjedbyang*).

Capper, Daniel Stuart, Jr.

**Why do Americans practice Tibetan Buddhism?**

*The University of Chicago Ph.D. 2000 272pp. Order Number DA9965064*

Tibetan Buddhism has grown rapidly since it arrived on American shores only a few decades ago. Yet to date there are few scholarly and no monograph length studies that specifically treat Tibetan Buddhism as it is practiced on the ground in the United States. No study explores the basic question of why Americans would pursue so difficult a religious path.

This project responds to this situation by probing American Buddhist practitioners' reasons for involvement in Tibetan religion. Following a postmodern, "reflexive" ethnographic strategy, fieldwork spanning more than two years was undertaken at a major center for Tibetan Buddhism in the United States. Buddhists' environmental and life historical data were collected through interviews and participant observation.

Self-reports indicated that the charismatic presence of Tibetan gurus, or lamas, dominated other reasons for Buddhist practice. Practitioners often described their relationships with lamas to be sufficient reasons for pursuing Buddhism. The attraction of lamas also often subsumed other important attractions such as meditation, Buddhism's moral system, personal cognitive congruence with Buddhist metaphysics, or mystical experiences. Practitioners consistently reported that their relationships with lamas led to long-term, improved holistic well-being. They claimed that these positive relationships with Buddhist spiritual teachers drew them deeper into Buddhism.

To understand these findings, the life historical self-reports of seven Buddhists were first contextualized within the theory and practice of the guru-disciple relationship as manifested at the center. These reports then were examined with Kobutian self psychological theories of healing through transference and countertransference. Contrary to the assumptions of other studies, in self psychological analysis most life histories suggest a pattern of increased personal autonomy, self coherence, and empowerment due to devotion to a lama. The psychological analysis lends suggestive support to the validity of most practitioners' self-reports in terms of self psychological transference healing. That is, as practitioners claimed, Americans' long-term relationships with Tibetan lamas can be psychologically enhancing and make Buddhism attractive. However, some practitioners seem not to have benefitted as much from their guru-disciple relationships, and their analyses are also discussed.

Mullen, Eve Louise

**Tibetan Buddhism, American interests: Influences upon the lay and monastic relationship in New York's Tibetan Buddhist immigrant community**

*Temple University Ph.D. 1999 201pp. Order Number DA9955847*

The dissertation has three theoretical issues: the Tibetan Buddhist immigrant lay-monastic relationship, identity formation and acculturation. It is grounded in the theoretical works of Anthony Giddens, Stephen Warner and proponents of the New Paradigm for religion in America. Diasporic Tibetans in the New York City area are engaged in a continuous project of identity. The project takes shape within the American environment of pluralism and religious competition, and many of its aspects are direct results of a changed lay-monastic relationship in which traditional norms of close interaction and interdependence are broken. Tibetan lay people are excluded from many Tibetan Buddhist areas in America, including publishers' markets, meditation centers and cultural preservationism. Because of the "American occupation" of Tibetan Buddhism, monastic community members do not interact regularly with lay community members. Two Tibetan Buddhisms in America are distinguished. In one, non-Tibetan Americans find self-help topics are emphasized in sometimes costly meditation centers. In another, the Tibetan immigrant laity finds self-reliance without a sangha and an emerging identity in which Buddhist, political and cultural elements are combined to facilitate activism for Tibet. Innovation is key for the Tibetan project of identity, exhibited in the dynamic symbols of the Dalai Lama and *rang-btsan*. Internal community differentiations, and thus communal vitality, are evident through varying definitions of these symbols. Outside global and societal influences bear on the Tibetan project of identity. Tibetans at once strive to affect and are deeply affected by global politics surrounding their homeland. American popular culture takes a special interest in Tibet's situation and culture but also constructs Tibet's situation and culture to fulfill its own commercial and preservationist ends. Acculturation is, in the Tibetan case, a matter of praxis, daily practical activity, which enables the immigrant population to better thrive in the new host culture's environment and on the global front, as well.

Negi, Satya Dev

**Emotions and their impact on health: An analysis of traditional Tibetan and contemporary Western approaches**

*Emory University Ph.D. 1999 304pp. Order Number DA9942605*

The emotions play a fundamental role in the quality of both individual and social health. How much do we really understand the emotions, and how well are we prepared to navigate their varied manifestations?

This dissertation examines the Indo-Tibetan Buddhist perspectives on the origins of the emotions and the processes by which they operate, and then compares these to the findings of modern scientific research to ascertain areas of compatibility. This ancient Buddhist tradition, which places the emotions at the core of happiness, health and growth, evolved as a study of mental and emotional states, as well as a practical science for transforming negative emotions and patterns into unbounded modes of being.

In presenting the Indo-Tibetan Buddhist ideas on the emotions, the dissertation looks into three classical approaches to transformation. The first, known in Sanskrit as the *Pratimokshayana*, is a model for accomplishing inner transformation on an immediate and personal level. It is based on the four noble truths, the noble eightfold path, and the three higher trainings, and results in personal liberation and realization of the true nature of the self. In the second model, known as the *Bodhisattvayana*, the emotions are transformed as a means of contributing to universal benefit. Specific techniques here illustrate the nature and scope of this altruistic approach. The third model, known as the *Vajrayana*, gives an account of the psychophysiology associated with the emotions and how the unwholesome emotions are themselves used as a method of personal transformation.

Having examined these three progressive Buddhist models, the inquiry turns to a brief survey of three Western disciplines: neuropsychology, psychoneuroimmunology and medical research. These three fields provide compelling evidence for a connection between the emotions and health, suggesting compatibility between Western and Buddhist approaches. Techniques such as meditation and visualization are advocated by a growing number of Western health professionals for stress reduction, blood pressure control, pain management, boosting the immune system, and so forth. The purpose of this dissertation is not to present a unifying theory of Indo-Tibetan Buddhism and modern science, but rather to demonstrate that much of the emerging scientific data seems to support the Buddhist assumption, namely, that the emotions play an eminent role in the experience of health, happiness and personal growth, and moreover that they can be transformed.

O'Connell, T.

**Some (once) hidden scriptures of Tibet: an investigation of the *gterma* tradition of the rNyingma school of Tibetan Buddhism**

*University of Sunderland Ph.D. 1997*

The aim of this thesis is to discuss the tradition of *gtermas* ('treasure' texts and artefacts) within the *rNing ma pa* school of Tibetan Buddhism. When the case for and against the claims for authenticity of the *gterma* material is discussed, it will be shown that opinions differ amongst Tibetan and Western scholars. It is hard to lay down suitable criteria for the authentication of such material because 'faith judgements' are involved. However, many Western and Tibetan scholars agree that some of the *gterma* material is very ancient from a linguistic point of view. Similar problems are encountered when the authentication of the activities of the treasure discoverers or *gTerstons* is examined. Those who, especially, have 'discovered' mind *gterma* present a problem as such material is of a non-tangible nature. It also must be noted that some *gTerstons* may have been charlatans who used their 'discoveries' to further their own purposes.

When geographical factors are considered, they seem to show that the majority of the *gterma* material has been found relatively near to Lhasa in the most heavily populated area of Tibet. This was also the area in which the anti-Buddhist persecution was most severe in the Ninth Century. However, there have also been 'pockets' of *gterma* material found in areas of Tibet that remained clear of such persecutions. A possible scenario for this geographical material will hopefully produce some interesting perspectives to help in the further examination of the fascinating field of the *gterma* literature.

## History

Dhungel, Ramesh Kumar

### **Political history of the Kingdom of Lo/Mustang**

*Columbia University Ph.D. 1999 249pp. Order Number DA9948967*

This dissertation presents a political history of a Tibetan cultural region and a kingdom located in the trans-Himalayan region of western Nepal. As one of the four major Buddhist cultural centers of the Ngari (mnga'-ris) region of western Tibet and also an important north-south trade nexus, Lo (today called Mustang) was an important regional entity. This study employs an abundance of local genealogical, chronological, and governmental sources to explain how geographical, cultural, and political factors have shaped Lo/Mustang's political and cultural identities.

Despite its importance to the understanding of Tibetan and Himalayan frontier cultures, only a few scholars have attempted to conduct a general survey of the region. Lo/Mustang's remoteness, difficult terrain, and the Nepali government's restrictions until the early 1990s on research and travel by foreigners are largely responsible for this.

The political history of the Lo/Mustang region cannot be considered independently from Bon and Buddhist cultural activities. Therefore, this study also recounts the cultural antiquity of the region. From the historical beginnings of Lo/Mustang in the seventh century and through the seventeenth and eighteenth centuries, Bon and Buddhist masters conducted many of their activities there. Lo/Mustang, as one of the western Tibetan frontier provinces, had been dominated by adjacent powers such as Zhang-zhung, central Tibet, Guge, Gung-thang, and the Khasa/Ya-tshe kingdom. It then emerged as an independent kingdom and dominated the territory between the Nubri valley in the east and the Mt. Kailasa region in the west until the mid-sixteenth century.

Around this time, however, Lo/Mustang formally came under the rule of the Kingdom of Jumla and became known as "Mustang rajya." After Lo/Mustang's incorporation into Gorkha/Nepal in 1789 as a dependent tributary, it nevertheless continued to maintain its cultural identity as a Tibetan frontier region.

Today, Lo/Mustang's northern area remains largely beyond Nepali law and regulation, and according to tradition, the raja (king of Lo/Mustang) is still the key figure in local administration.

The present political study considers only one of several important aspects of the history of this region. Future scholarly studies in surface archaeology, anthropology, art and architecture, and biographical literature would all contribute to a more complete understanding of Lo/Mustang and its people.

## Economics

Edmonds, Eric V.

### **An empirical analysis of government programs in low- and middle-income countries: Community forestry in Nepal and child allowances in Slovenia**

*Princeton University Ph.D. 1999 176pp. Order Number DA9944601*

In this dissertation, I analyze the implementation and operation of two different types of government programs in two countries. First, I study the implementation of a massive institutional reform in Nepal. Countries and donors around the world are promoting participatory development and community management programs that transfer responsibilities and rights to local communities. Large-scale implementation of these schemes requires significant funding, often from multiple sources. In the first chapter, I show how different sources of official development assistance lead to an uneven and imperfect implementation of an institutional reform with the case of community forestry in Nepal. As a consequence of the aid structure, some areas of the aid recipient country are vulnerable to missing any benefits of institutional improvements.

In the second chapter, I explore the impact of government initiated community forestry on deforestation, focusing on household use of forests as sources of fuel. Analysis of cross-sectional data from the Arun Valley of Nepal suggests that community forestry projects reduce household fuel-wood collection and force households to adopt alternatives to collecting firewood. For wealthier households, this means purchasing firewood; poorer households increase their use of garbage and dung as a fuel. The results of this chapter are consistent with government initiated community forestry reducing the

average household's fuel-wood collection by more than 10%.

In the third chapter, I examine the implementation of child allowances in Slovenia. Transition economies are turning to their child allowance programs to provide economic security for families with children. However, budgetary pressures are forcing many countries to trim their social spending. Targeting child allowance programs to the poorest households may be a compromise solution, and the unique structure of Slovenia's child allowance program (Otroški Dodatek) allows me to examine participation in a means-tested program and to consider the program's behavioral effects. I find that the problem of eligible households not participating in the program is driven by the value of the benefit the household expects to receive. Once a household receives a child allowance, it treats the allowance like any other source of income.

## Anthropology

Haines, Charles Samuel

**Re-routing/rooting the nation-state: The Karakoram Highway and the making of the Northern Areas, Pakistan**

*The University of Wisconsin - Madison Ph.D. 2000 258pp. Order Number DA9972816*

The western Karakoram mountains have evolved through four different spatial configurations—"frontier", colonial agency, post-colonial liminality, and national territory. However, each of these phases is not a fixed object with identifiable definitions of what constitutes a "frontier", a "liminal territory". Rather, each represents a series of processes—processes that reflect upon the encroaching (integrative) nature of the state and how encroachment (integration) transforms not only "localities" but also the state itself.

The region first entered the realm of colonial frontier policy with the creation of modern Jammu and Kashmir in 1848. In 1889, the British created the Gilgit Agency, transforming the region from an amorphous "frontier" into a territorial unit. Until 1947, a variety of policies were implemented territorializing the Gilgit Agency. However, that movement towards fixing the region as a territory was never finalized. At the time of independence of Pakistan in 1947, the Gilgit Agency was frozen in a territorially liminal state—recognized as neither part of Pakistan nor India, administered by Pakistan yet claimed by India.

Pakistan administration of the region was a continuation of colonial practices, but within the rubric of a nation-state rather than a colonial state. In 1972, the nomenclature of the region was changed from the colonial "Gilgit Agency", to the "Northern Areas"—territorially fixing the region as part of Pakistan. Since 1972, series of policies have been implemented to make that claim real.

Most important of these is the construction of the Karakoram Highway in the 1970s. The highway links local, national, transnational, and global processes and is the avenue along which space, mobility, and the nation-state are produced in tandem.

Through my research I have found that the changing patterns of geographical mobility of people, goods, and ideas are key components in spatial transformation. There is a "dialectic" relationship between geographical mobility, the constitution and reformation of physical spaces, and the nature of the state that (attempts to) administers human activities and controls social spaces.

Jacobson, Calla

**Sociable poetics: Representing and interpreting culture and difference in Nepal's middle hills**

*The University of Texas at Austin Ph.D. 1999 419pp. Order Number DA9959511*

This dissertation is an ethnographic study of the poetic and interpretive practices of Sherpa and Tamang villagers who are ethnic, religious, and linguistic minorities within a nationalizing state. It traces a cultural poetics, aesthetics, or style of open-endedness and indeterminacy through everyday sociable and expressive practices in a middle-hills village in north-eastern Nepal. It opens with discussions that ground the reader in the everyday sociability, hardships, talk, and mobility of village lives, locating them in terms of their relationships to a local landscape and to a nationalizing state, within which they travel frequently. The dissertation continues with an analysis of caste, ethnicity, and national identity, placing villagers'



discourses about social difference in contrast to national discourses. It argues that the former emphasize flexibility, contingency, and reciprocal sociability, whereas the latter are primarily concerned with problems of definition, categorization and, often, ranking.

The dissertation's second half involves more detailed and technical analyses of verbal and musical materials in village life. It analyzes narratives and songs, their contexts, their contents, their formal characteristics, and their meaningfulness. It addresses questions of interpretation, of how words are understood by villagers to produce meanings, and of how the agency or authority for discourse meanings is distributed. Taken together, these chapters argue for an iconicity of form that connects villagers' aesthetic preference for unfinalized, interpretable openness and indeterminacy in the form, context, and content of expressive genres to (1) their interactional emphasis on reciprocity, participation, and collaborative social practice and (2) the way they understand different peoples, cultures, styles, and practices to be metaculturally (dis)ordered within a social universe.

This dissertation contributes to current debates within anthropology about the relationships that discourse, poetics, and expressive culture have to sociality, work, and the constitution of identity. It demonstrates the fruitfulness of understanding both referential and non-referential ways of producing meaning and of placing these in conjunction with questions of power, spatiality, and social difference.

Leve, Lauren

**Contested nation / Buddhist innovation: Politics, piety, and personhood in Theravada Buddhism in Nepal**

*Princeton University Ph.D. 1999 530pp. Order Number DA9948650*

Beginning in the early decades of the twentieth century, a transnational Buddhist reform movement has been remaking ethnic, religious, and national identity among urban Newar Buddhists in the Kathmandu Valley, Nepal. This dissertation analyzes the relationships between religion and the state at various periods of modern Nepali history, and explores how changing notions of self and society intrinsically embedded in modernist Theravada Buddhism challenge the moral and political authority of the Hindu state with important cultural and political consequences.

The study revolves around two intersecting themes: (1) nationalism and the production of cultural identity, and (2) religion and the transformation of moral subjectivity. The first two chapters draw on historical materials to examine the construction of Nepal as a Hindu nation-state and the rise of Theravada Buddhism as a semi-articulated strategy of Newar ethnic resistance to this project. Following this, it examines the social, personal and political negotiations that are taking place as individuals move away from the performative, ritual, and collective orientations associated with traditional forms of popular Newar Buddhism and assume the rationalizing, ethical, and individualizing focuses of "pure" Theravada devotees. Rituals, meditation, and the often taken-for-granted routines of caste, class, and gendered daily life are important sites at which subjects are produced and identities performed in Nepal. Theravada Buddhism repositions its practitioners vis-à-vis Newar society and the Hindu kingdom by transforming their very experiences of body and self.

As a whole, this dissertation explores the changing national landscapes and shifting subjectivities—personal, political, cultural and religious—associated with Hindu nationalism and Buddhist reform in order to understand the ways that religion, culture, and power transfigure each other in the formation of new identities and epistemologies. By demonstrating how Theravada Buddhism and the Hindu state have competed to control subjectivities and truths, it reveals the role of religion as a powerful subjectifying—and hence political—force in Nepal.

Moffat, Christina Sally

**Growing up among the looms: The growth and nutrition of children living in a peri-urban environment in Khatmandu, Nepal**

*McMaster University (Canada) Ph.D. 1998 294pp. Order Number DANQ42866*

This study examines the nutritional and health status of children under five years of age whose mothers are working as weavers and spinners in the carpet-making industry in Kathmandu, Nepal. The research design samples both carpet-making factories and households where the predominant mode of income generation for women is spinning wool at home for carpet manufacturers. A biocultural approach that combines quantitative and qualitative research methods—anthropometry, questionnaires and semi-structured interviews—is used to investigate the social and biological contexts of children's health and nutritional status.

Although low weight-for-height, or acute wasting, is not evident among the 283 children in this study, they are found to be moderately to severely growth stunted with poor upper arm musculature, relative to international growth standards. Similar to other children in Nepal, there is some weight loss evident in the hot and monsoon seasons compared to the cold season. Despite the fact that mothers are engaged in wage labour, both factory and home workers in this sample breast feed for the first two to three years postpartum almost universally, and therefore maternal lactation practices are not implicated in growth retardation. A synergistic interaction between low quality and quantity of weaning foods and an extremely high load of infectious disease—particularly diarrheal illnesses and gastrointestinal parasites—are implicated in growth retardation.

Some of the more traditional foci of child health studies, such as maternal care and socio-economic status of the household, are found to have little explanatory power in this research. An investigation of the peri-urban environment—the newly settled and marginal district that borders the city—points to the operation of macro environmental factors in debilitating the health of the children in this study. It is argued that an environmental health perspective constitutes the most appropriate framework for interpreting growth faltering among these children and that the lack of infrastructure in this peri-urban environment leads to poor sanitary conditions and high rates of chronic childhood infections. The research calls for increased anthropological attention to the environmental conditions that facilitate high pathogen loads among children, an area of inquiry that is often under-investigated relative to nutritional issues per se.

Upton, Janet L.

**Schooling Shar-khog: Time, space and the place of pedagogy in the making of the Tibetan modern**

*University of Washington Ph.D. 1999*

This dissertation examines the role of schooling in the construction of Amdo Shar-Khog/Songpan County as a place that embodies multiple meanings and serves multiple agendas, a place where local, national and global forces intersect in the flows of agents, objects and ideas through space and time. Based on extensive ethnographic fieldwork in Tibetan schools and communities, I explore the relationship between time, space and the place of schooling in Tibetan areas in the PRC in both the historical and the contemporary context. I consider not only the educational innovations proposed by the Chinese state and its agents, but also the creative and resourceful ways that Tibetans have responded to new social and pedagogical forms. I focus on how the introduction and expansion of particular forms of modern schooling, especially school-based Tibetan-language education under the PRC's rubric of "ethno-national education" (Chin. *minzu jiaoyu*), has created an arena for the mediation of diverse political and cultural ideologies and divergent systems of meaning over space and time. I also explore the historical transformation of schooling ideologies and the ways those transformations have impacted local, regional and national senses of place. Tracing developments in curricular policy, content and form across both space and time, I explore the relationship between textbooks and the construction of the Tibetan modern. I go on to discuss how the spatial organization of schooling reflects the ties that schools have to both local and national senses of place. I then examine the multiple ways in which Beijing time, the official temporal realm of the PRC nation-state, and local time intersect in the schooling context. Finally, I consider how public and private performances of Tibetanness can be considered in light of the conjunctions of space, time, pedagogy and the construction of place in Amdo Shar-Khog/Songpan County, and what they reveal about the performative nature of Tibetan identity in the PRC.

Vasan, Sudha

**Contested categories, blurred boundaries: Rural society, forest bureaucracy and timber rights in Himachal Pradesh, India**

*Yale University, School of Forestry and Environmental Studies Ph.D. 2000 246pp. Order Number DA9957645*

Everyday interactions between the state and rural society determine the actual management of forests in Himachal Pradesh. In this dissertation, I explore the implementation of a unique, century-old timber policy in the Western Himalayas. Through an analysis of the micro-politics surrounding this timber distribution policy, I elucidate the ambiguous nature of the boundaries between "state" and "rural society."

I demonstrate that policy as stated is considerably different from policy as practiced. While timber distribution policy provides almost every villager in Himachal Pradesh a right to timber, the actual process of distribution introduces considerable inequities. Villagers use a variety of strategies to meet their timber needs that fall in the entire continuum between the legal and legitimate to the illegal and clandestine. Legality and perceived legitimacy of these actions often do not overlap,

and practices that are illegal but considered legitimate by society lie within the moral economy of the village. Such practices are often made possible by social networks that are an essential characteristic of rural society.

Many of the clandestine processes I describe implicate lower-level foresters as active or passive allies. They are often dependent on these networks for their own social and professional needs. In this context, I discuss the multiple roles played by forest guards who are simultaneously representatives of the state and members of rural society.

I describe the processes by which this contradiction is negotiated and resolved by both foresters at various levels and villagers. I critique simplistic notions of corruption used to explain policy deviations, and argue instead that many of these "deviations" are in fact integral aspects of this rural society rather than aberrations. Social networks and obligations need to be understood as a form of social capital and incorporated in our strategies for natural resource management. I emphasize the need to envision state-community relations as a dynamic, contested and negotiated terrain with the boundaries between them shifting constantly.

## Education

MacPherson, Sonia

### **A path of learning : Indo-Tibetan Buddhism as education**

*The University of British Columbia (Canada) Ph.D. 2000 331pp. Order Number DANQ48656*

This study chronicles a non-modern pedagogical tradition, Indo-Tibetan (Gelugpa) Buddhist education, as it negotiates a modern, global context in exile in India. As an enlightenment tradition, Buddhism emphasizes investigative inquiry over scriptural orthodoxy and belief, making it compatible with some aspects of modern, secular culture. This is a study of the relationship between these two educational cultures within one educational institution—Dolma Ling Nunnery and Institute of Dialectics in the Indian Himalayas. The text itself is arranged in the form of a *mandala*, which is divided into five sections or stages of learning: intention, path, inference, experience, and realization.

The *intention* section highlights the value of cultural and educational diversity, and includes a brief synopsis of Indo-Tibetan Buddhist educational history. The *path* section describes specific Buddhist approaches to ethnography and social research. The *inference* chapter is the empirical (ethnographic) component of the study and considers the practice of dialectical debate as a case of what Wittgenstein called a "language game." This chapter includes photographic documentation and the text of a public (Western-style) debate held at Dolma Ling on the subject of the merits of their traditional debate system. The *experience* chapter considers the unique role of direct perception (experience) in Buddhism and how it can be educated through combined meditational and testimonial practices.

The author explores the tendency to segregate experiential from rational paths, especially when liminal experiences of suffering, bliss, and death are involved. She concludes that such experiences strain our powers of reason and, in some cases, representation, resulting in a tendency to marginalize such experiences within formal, rational education systems and their knowledge bases. Narrative, poetic, and direct experiential methods of meditation are better suited to deal with these subjects. The "realization" chapter discusses conceptions of realization, praxis and embodiment, that is, rational inferences translated into direct experience and action, as of particular relevance to educators. In the Buddhist view, such realizations are the desired end of all inquiry. This end is accomplished through creative and direct "conversations" (testimonies, dialogues) between reason and direct experience on the path of learning.

Manandhar, N.

### **Improving public enterprise performance: an empirical study of public enterprises in Nepal**

*University of Birmingham Ph.D. 1998*

Governments all over the world have increasingly resorted to privatization because of their disenchantment with the poor performance of public enterprises. Public enterprise is likely to continue to play an important role in developing countries. Therefore, public enterprise reform programmes should examine different alternatives. One alternative would be to look at the behaviour of public enterprises. They are often expected to have dual responsibility for business and public objectives. This confusion of roles may well lead to poor performance.

The present study examines the behavioural orientation and performance of 19 manufacturing sector public enterprises in Nepal in 1980-1990. It uses structure questionnaires, interviews and individual public enterprise profile studies. Four

indicators of performance (rate of return on investment, growth of sales, output and employment) were used to assess these public enterprises.

The study found two patterns of behaviour among the public enterprises in Nepal. One was business-oriented and the other mixed-oriented behaviour by managers. Enterprises that have exhibited a business-oriented behaviour were found to have better performance in all four indicators. The results for three performance indicators (rate of return on investment, growth of sales and outputs) were found to be statistically significant

Enterprises were also found to have significant variations in internal management practices, such as enterprise goals performance appraisal, control systems and functional management practices.

Enterprise goals, government controls and incentive systems were found to be significantly related to management orientation and to enterprise performance. Any policy to improve public performance should be directed at these factors.

## Geography

Neupane, Bhanu Raja

**Assessment of capacity for water resource management: A case study of a small watershed in Nepal**

*Wilfrid Laurier University (Canada) Ph.D. 1999 309pp. Order Number DANQ40324*

Use of local knowledge, increased public participation, and capacity building—singly or in combination—are identified as major strategies to enhance sustainable and integrated management of water. Recently, *capacity assessment* has been recognized as one of the most effective means to operationalize these strategies in the context of water resource management. However, the contemporary literature shows local-level capacity assessment as one of the least explored areas. The literature shows that *capacity assessment* still lacks conceptual clarity and an implementable framework. Efforts are being made in this direction, but very few focus below the national level. Many such efforts are theoretical, and those that do focus at the local level are confined to assessment of local needs.

Understandings developed through a systematic review of the literature were taken to a small sub-watershed, Gerkhu Khola, in Nepal and an *iterative approach* imbedded in a *case study* was used to explore the issue of capacity assessment. The approach was based on situated facts, integration and application of both qualitative and quantitative methods, and development of a method of assessment at the local-level with active participation of local-level stakeholders. The iterative approach also included local-level analysis of sustainable water resource management principles as given by the International Conference on Water and Environment in 1992 (The Dublin Principles: 1992), which helped to define an ideal condition for water resource management. Therefore, the thrust of this thesis is also to examine to what extent the recent ideas developed at the international and national levels are applicable at the local levels. All findings and syntheses of the case study were discussed with the grassroots level stakeholders to better justify and relate the findings to their knowledge and consensus.

The findings indicated that a *systematic exploration of actions, attitudes and preferences of local people* is essential for capacity assessment. It was observed that the local people are able to understand and analyze the relevance of sustainable conditions identified for water resource management viz., finiteness of water, participatory and users' involvement, women's role and the economic value of water. *The local reactions to these conditions were demonstrated through sustainable actions, strong attitudinal inclination and ability to prioritize.* Locally, capacity assessment is seen both as a solution and a problem. A framework developed, based on the findings, suggests that capacity assessment should be an iterative process with strong interdependence existing among the different modes of assessment. It is hoped that the framework developed in this thesis will streamline efforts to integrate and synthesize local-level capacity in water resource management. This study also found that the issue of local-level capacity assessment provides a challenging arena for further exploration.

## Literature

Neupane, Bhanu Raja

### **Assessment of capacity for water resource management: A case study of a small watershed in Nepal**

*Wilfrid Laurier University (Canada) Ph.D. 1999 309pp. Order Number DANQ40324*

*Tales of the Great Brahmin* is a study of the many types of Tibetan religious literature dedicated or attributed to the Indian Buddhist poet-saint, Saraha—known also as the Great Brahmin. The central argument of the thesis is that members of the Buddhist traditions who were heir to Saraha's legacy in India, Nepal, and primarily Tibet transformed and adapted works by and about him in the process of transmission, and thus were instrumental in the formation of both his enduring saintly image and the religious works associated with his name.

The thesis thus shows how images, tales, and teachings of the Great Brahmin were transmitted, transformed, and created by the members of diverse Buddhist traditions in Tibet from the 11th to the 19th centuries. The thesis consists of an introduction and ten chapters, and is divided into two parts. Part One discusses the hagiographic literature dedicated to Saraha. Chapters One and Two provide a comprehensive survey of the different hagiographic traditions dedicated to Saraha as they developed in Tibet from the 11th to the 19th centuries. Chapter Three looks at liturgical and iconographic guides, hymns of praise, and accounts of meeting Saraha in mystic visions. Chapter Four details the polemical uses to which the figure of Saraha was put in Tibet.

Part Two deals with the songs attributed to Saraha, and in particular his famous *Treasury of Doha Verses*. Chapter Five provides a historical survey of the seventeen occasions on which the *Treasury of Doha Verses* was transmitted from India or Nepal to Tibet. Chapter Six presents the Tibetan debates regarding the authenticity of Saraha's works. Chapter Seven introduces the genre in which the majority of Saraha's teachings are preserved, surveys Tibetan views on the creation of Saraha's works, and discusses an important corpus of Tibetan anthologies of Buddhist tantric songs in which Saraha's works figure. Chapter Eight shows how redactors of Saraha's *Treasury of Doha Verses* transformed the work. Chapters Nine and Ten present translations and editions of the *Treasury of Doha Verses* and a 13th century Tibetan commentary on the work.

## Sociology

Pearce, Lisa Deanne

### **The multidimensional impact of religion on childbearing preferences and behavior in Nepal**

*The Pennsylvania State University Ph.D. 2000 206pp. Order Number DA9966874*

This dissertation examines the influence of religion on childbearing preferences and behavior. I draw on theory about religion and childbearing to develop hypotheses about the influence of religion on childbearing preferences and contraceptive use in Nepal. I test these hypotheses with survey data from the Chitwan Valley Family Study, a large scale survey of 5,272 individuals from Nepal. I also use ethnographic data I collected in this study area to improve survey analyses.

For the ethnographic data collection, I used survey data to systematically select informants from those respondents who desired more children than a multivariate statistical model would predict. I interviewed informants about childbearing and religion. Using insights from these interviews, I better specify models of religion's impact on childbearing preferences.

In survey analyses, I find that religio-ethnic identity influences childbearing preferences through other socioeconomic characteristics. Religious theology also affects childbearing preferences. Hindus desire more children than Buddhists because of their stronger son preference and belief in the spiritual rewards of having children. Religio-ethnic identity also conditions the effects of other factors on childbearing preferences. In addition, individuals' and households' religiosity affect childbearing preferences.

I also find effects of religio-ethnic identity on contraceptive use. Using hazard models, I find High Caste Hindus use contraceptives at a higher rate than all other groups. This difference is largely explained by their greater access to non-family institutions and services. Controlling for these characteristics, and analyzing families with few sons, I find Buddhists are *more likely* to use contraception than Hindus. Finally, I also find evidence that religio-ethnic identity conditions the

effects of socioeconomic factors on contraceptive use.

Among the findings in this dissertation, there are three key themes. First, understanding the influence of religion on childbearing processes requires including controls for characteristics of religious groups that contribute to differences in childbearing preferences and contraceptive use. Second, religion may either facilitate or slow the influence of other socioeconomic factors on family size preferences or contraceptive use. Third, examining the multiple dimensions of religion when predicting childbearing processes provides a more comprehensive picture of the impact religion has.

## System Science

Joshi, L.

### **Incorporating farmer's knowledge in the planning of interdisciplinary research and extension**

*University of Wales, Bangor Ph.D. 1998*

This thesis presents research undertaken to develop knowledge-based systems (KBS) methods suitable for integrating farmers' knowledge in planning interdisciplinary research. The objective of the research was to develop methodological specifications for adopting a KBS approach at an institutional level. The KBS methodology involves a rigorous and iterative process of knowledge acquisition from farming communities and representation of this knowledge as computer readable unitary statements allowing stored knowledge to be accessed, synthesised and analysed.

The study was initiated with an evaluation of the generation, flow and use of knowledge at Pakhribas Agricultural Centre (PAC), a front-line research centre in eastern Nepal, typical of many research centres. This highlighted constraints at various stages of the research planning and information dissemination process where knowledge was not being fully and effectively used. The study reflected a need for a mechanism to better manage indigenous and professional knowledge including knowledge generated from new research. A comprehensive knowledge base with indigenous ecological knowledge about tree fodder resources was developed. A study on the distribution of ecological knowledge across heterogeneous farming communities indicated that general concepts, such as *tapkan* (leaf drip and its effect on soil erosion and crop yield), tree shading and fodder value, were widely known. However, detailed knowledge about these concepts varied considerably between communities. Women farmers of the eastern hills of Nepal were demonstrated to possess more knowledge about tree fodder resource management than their men folk.

Automated reasoning, a feature widely used in artificial intelligence, was used to retrieve knowledge and information from the tree fodder knowledge base for assistance researchers in planning of problem-oriented research activities. Customisable 'tools' to assist scientists to refine knowledge bases during development, identify constraints in farmers' knowledge and practices, compare knowledge from different sources, test hypotheses and retrieve information on specific topics were developed and implemented with respect to the tree fodder knowledge base.

Findings of a study about the impact of the KBS approach on scientists' understanding of farmers' knowledge and problems in their process of planning problem-oriented interdisciplinary research projects are discussed.

## Recreation / Tourism

Rogers, P.

### **Tourism, development and change in the Sagarmatha National Park and its environs**

*University of Wales, Bangor Ph.D. 1998*

This study is concerned with trekking and mountaineering tourism to Nepal's Sagarmatha (Everest) National Park and its environs. The work focuses upon issues and debates that have emerged concerning pathways to sustainable development and the promotion of ecotourism in rural and protected areas. The increasing global importance of these matters (examined in Chapter One) has been highlighted in Agenda 21 and Caring for the Earth and its Peoples.

The study seeks to define and track changes in attitudes and patterns of behaviour with regard to tourism over time, and to collate data on tourism induced land-use trends, social developments and environmental issues. The intention is to reveal the direction of development forces, and to determine the extent to which tourism development in the Solu-Khumbu

District can be considered sustainable.

The work benefits from knowledge accrued during three visits to the region (totalling some 25 weeks) between 1989 and 1991. This initial interest in the area led to an examination of the literature pertaining to tourism, Nepal and the Solu-Khumbu District (subjects reviewed in Chapters Two, Three and Four). A thirteen month field period was then undertaken in 1993/94 to collect base-line data; approximately three months were spent in Kathmandu maintaining contact with relevant agencies and studying the basic rudiments of the Nepali language, while some ten months were spent living and working with local people in the Solu-Khumbu District. Two further three month field visits were made in 1995 and 1996. These three field-based periods were therefore used to capture the dynamics of tourism induced change. The precise methodology and data gathered during the research are described in Chapter Five.

The results of the study provide an overview of trends in tourist activity (Chapter Six) and profile the environmental, economic and social impacts of tourism in the area (Chapters Seven, Eight and Nine). Issues relating to the wide variety of stakeholders who contribute towards the management of the region's tourism are described in Chapter Ten. The study concludes that a complexity of issues is likely to contribute towards an increase in tourism activity in the Sagarmatha National Park, and that it is unlikely that this development will be sustainable unless a rigorous ecotourism strategy is developed and complied with.

## Agriculture

Pokharel, B.K.

**Foresters and villagers in contention and compact: the case of community forestry in Nepal**

*University of East Anglia Ph.D. 1997*

The core part of the thesis analyses the internal structure and functioning of two District Forest Offices and their relationships with Forest User Groups. The thesis illustrates that the contemporary forest policy of Nepal is influenced by a populist rhetoric that requires change in the fundamental thinking of bureaucratic culture in order to implement the community forestry programme. However, the Department of Forests, the main executing agency, still operates its mission within a *Haakim* culture (a quasi feudal culture), and faces many problems and contradictions. The official model of community forestry imposed a concept of Forest User Groups, but simultaneously presupposes that these organisations are egalitarian and representative 'common property institutions' and that these are sufficiently established to permit the forest bureaucracy to pass on official policy to the community in the latter's own terms. Although these community organisations do possess some of the characteristics of common property institutions, they do not necessarily function as common property institutions since they are framed by the forest bureaucracy and often captured by the local elites.

The thesis further explores both formal relationships between the District Forest Offices and Forest User Groups, and informal relationships between field staff and community members. Formal means of linkages are technical, financial, legal and through various institutional support systems devised by the District Forest Office to meet official targets. Informal linkages are also established between field staff and community members in which new forms of relationship often emerge, usually quite different from those envisaged by policy. The field staff and the user group members seem to become able to develop bridges between their life-worlds and through negotiation exchanging and opposing strategies, leading to a dynamic and diverse construction of official policy.

The thesis concludes that community forestry is a dynamic process, and therefore the implementing agency, such as the DOF, must be transformed to make it more flexible according to the situation and requirements of local communities. In addition, the DOF should share its responsibility with non-governmental institutions to implement the community forestry programme in terms of its original populist rhetoric.

## Ecology

Peet, N.B.

### **Biodiversity and the management of tall grassland in Nepal**

*University of East Anglia Ph.D. 1997*

Some of the few remaining examples of Asian tall grasslands are found in lowland Nepal. They support a rich, threatened fauna and are an important subsistence resource for local people. The grasslands are cut and burned annually by local people and protected area staff. Little is understood of the implications of these practices for grassland structure, succession and faunal utilisation of the grasslands. This thesis examines the biodiversity of the grasslands and their management for conservation and human utilisation.

Classification of the grasslands reveals nine species assemblages across four protected areas. Royal Chitwan National Park contains the greatest diversity of assemblages. Assemblages are dominated by a few structural grass species. Hog deer (*Axis procinus*), greater one-horned rhinoceros (*Rhinoceros unicornis*) and wild buffalo (*Bubalus bubalis*) are associated with early successional assemblages, whilst swamp deer (*Cervus duvauceli*), nilgai (*Boselaphus tragocamelus*) and chital (*Axis axis*) are associated with an *Imperata cylindrica* assemblage. Ungulates are attracted to graze on mineral rich sprouts as the grassland regenerates after fire and cutting. However, the resource is ephemeral as forage quality declines as the grassland regenerates. Hispid hares (*Caprolagus hispidus*) require patches of uncut and unburned grassland as cover throughout the year.

Experimental manipulation of an *Imperata cylindrica* grassland indicates that the effects of cutting and/or burning on the plant community are similar in the short-term. Leaving plots unmanaged does not lead to the establishment of woody species or taller grass species. Patches of grassland could, therefore, be left unmanaged on a rotational basis, providing refugia for cover-dependent species. However, these grasslands are also harvested for roof thatch. If patches are to be left unmanaged, a substitute for thatch would need to be supplied to local communities. Village surveys indicate a shortfall in the amount of thatch available from Royal Bardia National Park. Removing further thatch grassland from production without supplying a substitute, would escalate park-people conflicts.

