The Research on the Portrait Sculpture from Ancient Rome and Han Dynasty

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Abstract. Han Dynasty and the Roman Republic are two prosperous reigns that established huge differences between the content, material, form, and aesthetic preference in sculptural art. Even though many scholars have researched both Han Dynasty and Roman sculptures, not much comparison research has been done yet. In this paper, the study closely examines and compares the artistic style of portrait sculptures from both the Roman Republic and the Han Dynasty to explore the possible cultural and historical reasons for the differences. This paper takes the Head of a Roman Patrician and the Ceramic Figure of a Story-teller as research objects, which come from a similar time period and represent a particular population in relative societies, and according to the results of the study, most portrait sculptures from the Roman Republic represented a specific person, especially higher-class senior citizens or political leaders. Han dynasty portrait sculptures include a variety of objective groups, from ordinary people to the royal class. The difference between economical-geographic conditions leads to the discrepancy between social production mode and philosophical concept, which further cause the various expression of portrait sculpture art. Roman portrait sculpture continues the realistic style of Greek sculpture due to the need for nominatives, whereas Han sculptures emphasize charm and verve instead of specific, realistic features.

Keywords: Sculpture art; Roman Sculpture; Han Dynasty Sculpture; Portrait Sculpture; Comparative Study.

1. Introduction

Sculpture, a three-dimensional visual plastic art, accompanied the development of human civilization from prehistoric times. While using stones as tools to make practical objects, humans carved decorative patterns on the tool to express their aesthetic preferences. By subtracting or adding original materials, such as stone, metal, wood, earth, and bone, humans recorded everyday life or imaginations to give these natural materials more spiritual or religious significance\cite{1}. Ancient cultures like the ancient Mediterranean, India, China, South America, and Africa have left large historical significant sculptures that leave meanings and mysteries to modern archeology. Because of the non-perishable characteristics, most sculptures preserved today are made of stone and ceramics.

The main categories of ancient Chinese sculpture art include mausoleums, religion, folk, and other contents. Sculpture in the pre-Qin period mainly used ceramic and bronze, among which the representative figure or portrait sculpture was the Sanxingdui bronze mask. However, instead of figure or portrait sculpture, Chinese artists focus more on the living environment and objects that relate to humans' daily activities, which made animals the mainstream object for sculpture art to express their simple, elegant, and natural inner feelings. Moving on to Qin and Han Dynasties, the number of figure sculptures increased rapidly due to funeral traditions. The Terracotta warriors and horses in the mausoleum of Qin Shihuang (the First Emperor of Qin) represented not only a peak in Chinese art history but also a treasure of world art. In the Han Dynasty, large mausoleum stone carvings appeared, and many ceramic figures served as funerary goods. Before burial figure sculptures came into use, burial with the living was an essential part of traditional burial practices. Therefore, the use of ceramic figurines instead of living people protected human life while satisfying...
the requirements of funerary, which reflected the progress of social morals in human civilization and illustrated the artistic attainments of artisans at that time[2].

As the origin of European civilizations, ancient Greece created one of the most outstanding sculpture art in the world under the influence of ancient Egyptian sculpture and brought profound influence to the development of the whole Western art. The ancient Greek sculptor focused on the vitality of the portrait sculpture to best express the spirit of human beings. To achieve this goal, the artists learned and mastered the anatomical structure of the human body, which gradually replaced the early geometrical sculpting style and formed an essential rule of the human sculptures: the man's center of gravity on one leg, the other leg staying relaxed. This posture, called contrapposto, created a dynamic visual illusion to demonstrate the tightness and internal motion of the human body on the firm, solid, nonliving stone[3]. Ancient Rome was deeply influenced by ancient Greece in art while holding its characteristics. For example, in portrait sculpture, Roman sculptors paid more attention to the objective appearance of the object to pursue individuation rather than the idealization of ancient Greece sculptures.

As two major civilizations at the eastern and western ends of the Eurasian continent, Ancient Rome and Han Dynasty had rich material cultures. They developed constantly improving artistic systems, representing the ancient world's highest civilization at that time. The sculpture art in both civilizations reflected the magnificent artistic achievement and the progress of human society. From the perspective of Chinese art history, the Han Dynasty symbolized a peak in the development of sculpture art, corresponding to the golden age of Ancient Rome. Although the two civilizations were in a similar period, they created apparent differences in the subject and content of sculpture, the use of materials, the focus and style of modeling expression, and the purpose of sculpture, which reflected profound cultural and historical roots in these two divergent civilizations. Therefore, an in-depth comparative analysis of the characteristics and causes of sculpture art between ancient Rome and the Han Dynasty mirrors the differences between their historical and cultural systems and has theoretical value and contemporary significance under the current form of globalization. The cooperation and connection between China and the West have risen increasingly in recent days, and this trend fortifies the significance of carrying out cultural exchanges, which is also one of the research purports of this paper.

The author decided to conduct this comparative study out of the appreciation and curiosity for the two civilizations and the scarcity of relevant research materials. Even though much research about the two civilizations has been done, their comparative study is limited. Global research platforms like Jstor contain minimal information on comparing these two civilizations' sculpture art. Only nine papers about comparative study of Ancient Rome and Han Dynasty art could be accessed on the most influential Chinese academic search engine (Zhi.com), among which only two papers focused on sculpture art. The two papers discussed the content and artistic style of sculptures or the functionality of sculptures, which leaves a blank on a potential discussion about disparate cultural causes and artistic volition from two cultures reflected by the visual differences of the sculptures. Therefore, this paper analyzes the fundamental reasons for the difference in sculpture art between the two from the aspects of geography, economy, and ideology to bring new ideas for the artistic comparison between Ancient Rome and the Han Dynasty. No equal communication could appear solitarily without breaking the cultural barriers. The primary purpose of this comparative study is to clarify the internal characteristics and mutual relations among various cultures and to find a common cultural law that helps reach the consciousness of globalization.

In this paper, the study closely examines and compares portrait sculptures' artistic styles from Ancient Rome and the Han Dynasty to explore the possible cultural and historical reasons for the differences, and takes the Head of a Roman Patrician and the Ceramic Figure of a Story-teller as research objects, which come from a similar time period and represent a particular population in relative societies. Chapters two and three of the paper introduce fundamental descriptions and backgrounds of the two sculptures, and chapter four focuses on the comparative study. The theoretical basis of artistic design includes design principles, aesthetics, and design culture, which serve as the
basic structure of chapter four. Centering on comparing portrait sculpture art of Ancient Rome and the Han Dynasty, this chapter is divided into three parts: the design forms, the aesthetic styles, and the cultural causes. The first part analyzes the artistic forms, including the material and structure of the sculptures. The second part discusses the aesthetic style based on the analysis of aesthetic mentality and the evolution and development of style in both cultures. The third part explores the cultural causes of the two sculpture arts, including the material level determined by the natural environment, geographical economy, and scientific technology, and the spiritual level determined by the social form, religious culture, and cultural-historical origin.

2. The Head of a Roman Patrician’s Features and Historical Background

The Head of a Roman Patrician (Otricoli head) that came from Italy, Otricoli, is stored in Palazzo Torlonia in Rome. This ancient head sculpture dates back to around 50 BC and belongs to the later period of the Roman Republic (Fig. 1). Even though the specific identity was lost, the sculpture's style and content suggest that this older adult was most likely a nobleman. Ancient Rome's cultural and artistic customs mostly inherited ancient Greece's tradition, and the sculpting process used wax to make molds or marble for carving. According to the Greek historian Polybius (after the Greek peninsula came under the leadership of the Roman Republic) and the Roman Imperial historian Pliny, one of the Roman burial traditions required the most lookalike of the family to put on his ancestor's wax mask and prayed [4]. Due to the high cost of wax masks, only the wealthy could afford to use this burial tradition. Polybius emphasized that the wax mask showed realistic shape and skin tone characteristics to represent the deceased ancestors’ facial features. From his description, fidelity had priority and desirability in social customs at that time, and people admired realistic sculptures and masks. Combining the need for burial tradition and realistic features, most portrait sculptures from this period showed gaunt and aged male figures since most sculptures use wax to unmold the details of the antemortem person's face.

![Fig. 1 The head of a Roman Patrician (www.jstor.org)](image)

As a society emphasizing individuality and independence, realistic sculpture with clarity of subject that served to show the power and wealth of politicians or militarists became the mainstream need. In the development of sculpture art in the Roman Republic, the portrait sculpture not only reflected the facial features of the individual but also symbolized the life experience like a resume, so the sculptor would create certain artistic exaggeration to add subtle facial features that corresponded to the social status and occupation of the subject[5]. The Head of a Roman Patrician showed excessive wrinkles and the depth of facial folds, which did not precisely correspond to older people's natural aging signs. In particular, the wrinkles on both sides of the cheeks crossed and formed deep shadows. This artistic treatment illustrated the wisdom and status of the subject. The mature citizens with high social positions occupied the main categories of portrait sculptures, and groups under middle age did not appear in the current discovery of late Roman Republic sculptures[6]. Based on this preference, the wrinkles and solemn facial expressions fit into the stereotypical men with high statuses, like
political leaders and military figures of the Roman Republic, and sculptors tend to emphasize these characteristics to show the subjects' firm will and noble wisdom. By comparing the Head of a Roman Patrician with other sculptures from the late Roman Republic (Fig.2), this statue paralleled the aesthetic trend and social value, which helps to determine that the subject of this portrait sculpture had a relatively high social status without any specific name and description.

![Fig. 2 Other portrait sculptures from the late Roman Republic (www.jstor.org)](image)

3. The Ceramic Figure of a Story-teller’s Features and Historical Background

After China changed from a slavery society to a feudal society around 475 BCE, different aspects like politics, economy, culture, and art all experiences new reformation and development. Based on the legacy of the unification of territories from the Qin Dynasty, Han Dynasty's national power developed to a peak that had a flourishing economy and reached liberation of artistic ideology. After the turmoil caused by the usurper Wang Mang, the political power of the Eastern Han Dynasty gradually stabled benefited from the rapid increase of the small-scale peasant economy, which led to a more prosperous socioeconomic life for all classes of people. Under these circumstances, the art of terracotta figures progressed after the miraculous Terracotta Warriors and Horses from Qin Dynasty (Fig.3). The terracotta figures in Eastern Han Dynasty had diverse types, structures, and rich themes, and each figure embodied a unique charm. The terracotta art represented the social life, aesthetic ideas, politics, economy, and culture of the Eastern Han Dynasty, which revealed a peek at its history[7].

![Fig. 3 The Terracotta Warriors and Horses from Qin Dynasty (www.baidu.com)](image)

When people began to pursue a higher spiritual life, terracotta art was no longer a simple form of sculpture but instead served as a means of expressing feelings. The art of the Han Dynasty focused on two classes in society: the rulers' extravagance and the ordinary people's hardship. The brick relief, fresco, and stone carvings used to decorate the tomb wall recalled the ruler class, whereas the pottery
figures buried in the tomb represented the general public. While experiencing a luxurious life, the rulers dreamed of enjoying what they had after their death. Thus, the style of lavish burial was trendy, which included using a large number of pottery figurines as burial objects so the ruler could carry his servants, warriors, craftsmen, and other people that he appreciated to his future life. Making the terracotta figurines did not require repeated polishing like smelting iron; artisans mixed the clay with fire and water. Under the artisan's molding, the plain clay became exquisite terracotta works, demonstrating the flexibility of artistic creation techniques and characteristics of specific characters.

The more than 100 unearthed pottery figurines included people from diverse occupations such as chef, servant, storyteller, and dancer, among which the storyteller figurines represented the highest quality (Fig. 4). The delicate terracotta figurines vividly portrayed different groups of people's gestures and expressions. Most of the storyteller figurines were founded in Chengdu, Jiaoxian, Xindu, and Mianyang areas in Sichuan Province. These statues, around 50 centimeters tall, usually featured a naked upper body, a bracelet on the left arm, wearing pants, exposing bare feet, a coffin in one hand, a flat drum in the other, sitting or standing, and a humorous expression. These figurines represented the typical appearance of artists in pantomime during the Han Dynasty, generally male musicians performing witty and funny shows[8]. The storytellers' performances had the following characteristics:

1) Mainly performed all kinds of small funny programs, so-called the festival show (Jixi.)
2) The performance content included a specific story plot to increase the appeal.

The written script guided the performance instead of improvisation; Even though the script did not have the same number of characters in each line as traditional Chinese poetry, it still followed a certain rhythm that originated from Chinese poetry and later developed into Haiku[9].

![Fig. 4 Story-teller figurine (www.jstor.org)](image)

4. Comparing the Head of a Roman Patrician and the Ceramic Figure of a Story-teller

4.1 Comparison of Sculpture Forms and Structure

The Head of a Roman Patrician was about 35.5 centimeters tall, looking forward with a gloomy expression. The sculptor carefully portrayed every wrinkle and fold of the man, creating a face that was as fluctuating as a topographical map. The man's forehead and nose appeared with deep wavy folds to exaggerate the wrinkles which overlapped with the upper eyelids. The drooping pouch and expanding creases around the cheek and neck further etched his face. Even though from the front view, the man seemed bold, the subtle scratched lines around his ears suggested thin hair around his head.
The Ceramic Figure of a storyteller from the brick tomb of the Song Jialing Village, Pixian county that underneath, in 1963, represented the highest quality of existing Eastern Han Dynasty ceramic figurines (Fig.5). The sculpture was about 66.5 centimeters tall and was made of grey pottery. The figure had a twisted soft hat and a rugose forehead. His hand pressed down against the stomach to hold the drum and drumstick, whereas the two feet stood one in front of the other with bending knees. The eyes squinted with the broad grin, and the tongue stuck out from the mouth, which corresponded with the antics of overall body movement to emphasize the humoristic feeling.

Fig. 5 Story-teller figurine from Song Jialing Village, Pixian (www.baidu.com)

4.2 Comparison of Sculpture Materials

The head of a Roman Patrician was made of marble. Greek and Roman sculptures broadly used white marble for its excellent translucency, high plasticity for fine carving, and perfect homogeneity. Unlike the sculptures of the Renaissance, the Roman Republic continued the ancient Greek tradition of painting sculptures, so most of the monochrome marble works surviving to the present day were originally colored[10]. Ancient Roman artists used a variety of pigments, mediums, and surface applications to decorate their sculptures. However, due to the burial process, modern repair practices, and cleaning techniques from different historical stages, the color on the sculptures was heavily destroyed, so now people can only see the tiny remains of pigments under a microscope or UV photography.

During Eastern Han Dynasty, artisans produced exquisite terracotta figures with grey pottery because of the artistical appearance and color and the long-lasting characteristics since grey pottery did not damage or change quickly with the change of time and environment. Grey pottery became the best choice for making burial figures compared with other materials like bronze or iron, considering the accessibility, cost, and controllability. Besides the practical reasons, pottery symbolized the simple and unadorned features of nature, which reduced the distance between art and people.

4.3 The Aesthetic Difference Contained in Craft Representation

Unlike the traditional Hellenistic sculptures, the Head of a Roman Patrician lacked Hellenistic distortion and movement while emphasizing facial details (Fig.6). The subject's facial expression was extremely calm and realistic, illustrating the Roman republican's interest in recording reality by accurately depicting a person's facial features. This sculpture represented the style of the late Roman Republic portrait sculptures called Verism, emphasizing the standard realistic feature while rejecting idealization tendencies[11]. Warts, moles, creases, and wrinkles became the focus of the sculpture, which linked to the social structure of the Roman Republic mentioned in chapter two: mature men were the main subjects of sculpture, so facial features such as wrinkles from this group of people were considered to reflect the social history and wisdom.
The Hellenistic artist strived to achieve the effect of reproducing reality from an integral view that involved the artist's subjectivity, which was partially covered by the objective features[12]. However, Roman sculptures reproduced reality through attention to detailed features by objectively recording every external aspect or characteristic of the portrait subject and translating them piecemeal into the language of art[13]. Under the influence of Verism, the sculpture objects of the Roman Republic were no longer young and beautiful men and women in the mythological stories but tended to be middle-aged and elderly privileged classes with high status in society. Exaggerated traces of life that occur in the real world, like wrinkles, substituted the classical symbols of strength and ability like rounded muscles.

In the Eastern Han Dynasty, artisans paid attention to the control and use of lines since the appearance of ceramic figurines. The line represented the beauty of flow like an endless water stream and showed the beauty of dynamic subjects, so applying this concept to pottery figurines added vitality to the solid sculpture. Therefore, many designs in this period emphasized the sense of stretchy lines to show vitality, expressing the pursuit of beauty and appreciation of art. In the actual production process, the artisans first carved out the overall shape of the terracotta figures and then fixed the outline through lines to improve the overall sense of presence, which further highlighted the structural beauty of the terracotta figures.

In addition, when making the terracotta figures, artisans also incorporated techniques such as seizing, pinching, and carving to describe their facial expressions, appearance, and gestures in detail to fortify the personality of different figures. Through the technique of "expressing spirit in shapes (Yi Xing Xie Shen)," the "spirit (Shen)" and "emotion (Qing)" of different characters were skillfully portrayed[14]. Artisans during this time placed considerable value on the dynamic display of objective targets by highlighting the overall beauty of the work and careful consideration of details. This artistical preference was not only influenced by the traditional shaping techniques but also by the Taoist aesthetic concept of "carving and polishing, returning to simplicity[15]." The inner spirit of freehand brushwork in traditional Chinese painting melted in the pottery figurines to represent the rhythm of natural beauty. The pottery figurines demonstrated an example of using simple modeling to reflect complex emotional feelings and ideological beliefs in both the subject and the creator, which followed a general tendency of Chinese art aesthetics.

4.4 The Social Background Causes of Difference in Sculptures

Differences in economic, geographic conditions, meteorological properties, and water-land transportation were the initial driving forces for the way of life, production, and social concepts of clans living in the same environment. Since the Xia Dynasty, China had been a country with a unified land, writing system, and political power. The agricultural economy determined the subjective consciousness of pursuing peace and stability for Chinese society. When facing natural disasters, China adopted a positive attitude towards the floods, absorbing experience and lessons, first blocking
the floods and then dredging the rivers so that the floods eventually flowed into the East China Sea. After the floods were cleared, tribal leaders from various regions held a meeting in Kuaiji, Zhejiang. They decided to divide the world into Nine Zhou (regions) and straighten out the diversion and convergence of rivers and streams to facilitate the management and control of water conservancy and disaster prevention. Driven by a common interest for all people, the rulers established the concept of a unified territory, a unified country, and a unified regime[16]. Small cottage industry workshops supply food, clothing, housing, and transportation products, which formed the base form of the commodity trading market.

The two river basins and surrounding areas of the Mediterranean Sea were used for commerce and trade with convenient maritime transportation, thus becoming an essential social and economic pillar. Commercial colonization is an inevitable form of city-state political expansion. With the expansion of the economic market, the overall colonization of foreign countries, that was, exporting the political structure of social management and occupying economic dominance, had become the primary consciousness of the western countries[17]. Maritime trade connected the exchange of goods between Egypt, Crete, Sicily, Turkey, and Syria. The two river basin cultures and Egyptian cultures converged on Crete, a trade point in the Mediterranean, which promoted the rise of ancient Greek economy and culture and intensified the conflicts between Persia and ancient Greece for maritime trade lines and commercial colonization points. Thus, commercial colonization became essential for European city-states to expand politically.

Under China's stable and unified regime, the unification and simplification of writing facilitated political unification and economic exchange. The Han Dynasty laid the foundation for a stable social and cultural framework, which resulted in economic prosperity and a rising need for artworks like portrait stones and bricks, typically in Nanyang, Henan, Shandong, Xuzhou, Jiangsu, and Sichuan. The spiritual concepts of seeking immortality and auspiciousness, as well as the scenes of real life and production, became its subject matter and content. The elites popularized Zhouyi's image thinking method to the public, and the basic framework of dialectical thinking of the unity of binary opposites was formed. The interest in data collection, analysis, and induction of logical thinking has diminished[18]. Under the influence of prosperous life and Zhouyi thought, the artistic tendency to emphasize human life while despising ghosts and gods had been formed since the pre-Qin period.

The culture of Mesopotamia extended to ancient Greece, so the commercial economy supported the major cities of the society, whereas the countryside became grazing and planting production areas. A coalition of several cities coexisted, and the regime was divided into various powers, showing significant differences from Chinese political power. Under the circumstance of philosophical beliefs in logic and the dependence on slavery, artistic focus on realism tended to become mainstream. With the nature of "national defense sports," the Olympic Games needed to commemorate the project's champion with statues. Sculpture art required real-name authentication, and the method of accurately representing the champion's appearance was a standard requirement of the statute contract[19]. Ancient Rome continued the Realism art style based on historical records like Pliny or Polybious's writings mentioned in chapter two.

5. Conclusion

Comparing the Han Dynasty with the ancient Roman sculpture, the cultural ideology and social need for sculpture largely shaped the differences. Although most of the sculptures in the Han Dynasty were used as sacrificial objects that had the meaning of accompanying the deceased, the public did not get the chance to appreciate the meaning and beauty of the sculpture. Han people believed in the coexistence of man and god, which caused the wish of "seeing death as life" to continue in the burial traditions: People put nostalgia for life or the wish for eternal and lasting happiness on those tomb figurines. Unlike the Han sculptures, the ancient Roman sculpture first emphasized serving the imperial politics by eulogizing the emperor's greatness, then extended to show different characters of the aristocratic class. Most statues were placed in public buildings such as the Senate assembly hall,
theater, bath, and library since people prefer to display their statues in public places to enhance their social reputation and political status compared to simply displaying them at home.

One of the most distinctive points is that the owners of ancient Roman statues all hoped to make themselves eternal through marble statues, whereas Chinese rulers wanted to take everything that they owned in their lifetimes into the ground, hoping to have these properties forever. In addition, the artistic practice of the Chinese Han Dynasty and ancient Roman sculptors originated from different circumstances in terms of the sculpting process. When ancient Roman sculptors created and observed portraits, they were created from living human beings or molds that were made from certain existed entities. However, sculptors in the Han Dynasty shaped pottery figurines based on their life experiences, so they followed a broader imagination space when creating the artworks. These historical and cultural backgrounds emerged from the expression and styles of ancient Eastern and Western statues, which left profound meanings to the superficial differences. Ancient Rome and the Han Dynasty contained prosperous information for historians to study, and this paper only covers limited information about the two cultures. The religious development, ongoing wars, and ethnic fusion during this period all played complementary roles in the formation of artistic style, which is left for future studies to consider.

References