CHAPTER FOUR (Dai yon shō 第四章)

Root Case【本則】

第一章的優婆蹉多尊者、執事和修尊者三載、遂為落髮、作比丘。尊者因問曰，汝身出家耶、心出家耶。師曰，實是身出家。尊者曰，諸佛妙法，豈拘身心。師乃大悟。

The Fourth Ancestor, Venerable Upagupta, managed affairs for Venerable Śānavāsin for three years before finally shaving his head and becoming a bhikṣu. The Venerable [Śānavāsin] asked him, “Does your body go forth from household life, or does your mind go forth from household life?” The Master [Upagupta] said, “Truly, it is the body that goes forth from household life.” The Venerable [Śānavāsin] said, “How could the sublime dharma of the buddhas be contingent on body or mind?” The Master thereupon greatly awakened.

Pivotal Circumstances【機縁】

The Master [Upagupta]2

師は吒利國の人なり。又優婆崛多と名く。姓は首陀。十五歳にして和修尊者に参ず。十七歳にして出家し、二十二歳にして證果す。行化して摩突羅國に到る。得度の者甚だ多し。之に依て魔宮震動し波旬愁怖す。

1 Root Case (C. benze 本則; J. honsoku). The exact source of this Chinese passage is unknown. A very similar exchange is found in the Jingde Era Record of the Transmission of the Flame, but Upagupta’s response to Śānavāsin’s question is different:

The Venerable [Śānavāsin] asked him, “Does your body go forth from household life, or does your mind go forth from household life?” He [Upagupta] answered, “My coming here to go forth from household life is not for the sake of body or mind.”

《景德傳燈錄》尊者問曰。汝身出家心出家。答曰。我來出家非為身心。(T 2076.51.207b29-c1).

2 The Master (Shi wa 師は). The block of text that follows these words is a Japanese transcription (yomikudashi 読み下し) of an identical Chinese passage that appears in the Jingde Era Record of the Transmission of the Flame under the heading “Fourth Ancestor, Venerable Upagupta”:

《景德傳燈錄》吒利國人也。亦名優波崛多。又名邬波毱多。姓首陀。父名意。十七出家。二千證果。隨方行化至摩突羅國。得度者甚多。由是魔宮震動。波旬愁怖。(T 2076.51.207b1-4).
was a man of the Country of Pātāliputra. He was also called Upagutta. His clan was śūdra. In his fifteenth year, he sought instruction from Venerable Śānāvāsin. In his seventeenth year, he went forth from household life, and in his twenty-second year, he realized the fruit. Carrying out conversions, he arrived in the Country of Mathurā, and a great many people there gained deliverance. The palace of Māra shook on that account, and Pāpiyān was frightened.1

Each time he [Upagupta] got a person2 to realize the fruit, he tossed a tally3 the length of four fingers into a rock grotto. The grotto measured eighteen forearms deep by twelve forearms wide, and that entire space was filled.

Pāpiyān was frightened (Hajun shūfu su波旬愁怖す). For a detailed account of Māra’s battle with Upagupta, see Strong (1992, pp. 93–117).

Each time he got a person (hito wo uru goto ni人を得る毎に). The two sentences that follow are a paraphrase, in Japanese transcription (yomikudashi読み下し), of a passage in Chinese that appears later (not contiguous with the preceding quotation) in the biography of the “Fourth Ancestor, Venerable Upagupta” in the Jingde Era Record of the Transmission of the Flame:《景德傳燈錄》證果最多。每度一人以一籌置於石室。其室縱十八肘。廣十二肘。其間於滿。

One forearm is two feet. The tallies from all the people who gained deliverance during his lifetime were used for his [Upagupta’s] cremation. The people who gained deliverance were so numerous that it was just like when the Tathāgata was in the world. For all of these reasons, he was admired in the world and called a “buddha without marks.” Pāpiyān became resentful and spied on [Upagupta], picking a time when the latter had entered into concentration.

遂に其魔力を盡して以て正法を害せんとす。尊者乃ち三昧に入てその所由を観ず。波旬また観て密に縞珞を持って之を頸に懸く。時乃至者より彼れを伏せんと思ふ。定より起て、乃ち人狗蛇の三類を取て、化して華鬘となす。軌言を以て波旬を慰謨して曰く、汝れに縞珞を與ふ、甚だ是れ珍妙なり。我れ華鬘あり、以

1 證果最多。每度一人以一籌置於石室。其室縱十八肘。廣十二肘。其間於滿。(T 2076.51.207b26-28).

2 人を得る毎に。《景德傳燈錄》證果最多。每度一人以一籌置於石室。其室縱十八肘。廣十二肘。其間於滿。（T 2076.51.207b26-28）

3 筹 (chū 筹). For a detailed account of the role of tally sticks in the legends of Upagupta, see Strong (1992, pp. 139–143).
Thereupon, 1 he [Pāpiyān] mustered all of his demonic powers to harm the true dharma. The Venerable [Upagupta] thereupon entered into samādhi and observed the situation. Pāpiyān, noting this, secretly took a necklace and hung it around [Upagupta’s] neck. At that time the Venerable [Upagupta] decided to subdue him. Arising from his meditative trance, he took three corpses — those of a human, a dog, and a snake — and transformed them into a garland of flowers. With gentle words he placated Pāpiyān, saying, “You have given me a necklace which is extremely rare and marvelous; I have a flower garland that I wish to present to you in return.” Pāpiyān, greatly pleased, extended his neck and accepted it. Thereupon it changed back into the three stinking corpses, in-

1 Thereupon (tsui ni 退に). The block of text that begins with these words is a Japanese transcription (yomikudashi 読み下し) of an identical Chinese passage that appears in the Jingde Era Record of the Transmission of Illumination by the Great Ancestor, Zen Master Keizan. Copyright 2017 by Sōtōshū Shūmuchō.
fested with venomous maggots and rotting. Pāpiyān, disgusted, was greatly alarmed. Although he exhausted all his supernormal strength, he was unable to get rid of it, free himself from it, or move it. Thereupon, Pāpiyān ascended to the six heavens of the desire realm and addressed all the chiefs of the devas. He also visited the Brahmā Heaven, and sought liberation from it. Each told him, “That [necklace] is a supernormal transformation produced by a disciple with ten powers. We are just ordinary inferiors. How could we possibly remove it?” Pāpiyān said, “If that is the case, then what can I do?” The Brahmā King said, “You should entrust your heart to the Venerable [Upagupta]. Then you will be able to completely eliminate [the necklace].” Thereupon, he preached a verse for him, and with that turned him toward reform. The verse said:

If you fall over because of the ground,
reverse that by using the ground to get back up.
If you try to get up apart from the ground,
in the end there is no way that will work.

[The Brahmā King also said,] “You should reverse [your plight] by seeking liberation with the help of the disciple with ten powers.” Pāpiyān, having accepted these teachings, descended from the heavenly palace, prostrated himself at the feet of the Venerable [Upagupta], confessed, and repented. The Venerable [Upagupta] said, “From now on, will you try to damage the Tathāgata’s true dharma or not?” Pāpiyān replied, “I vow to turn to the way of the buddhas and to forever cut off that which is not good.” The Venerable [Upagupta] said, “If that is the case, then you must recite of your own volition, and with your own mouth say, ‘I take refuge in the three treasures.’” The Māra King made a gasshō and recited [the verse of taking refuge] three times. The flower garland was removed instantly.

**INVESTIGATION**

Thus were awesome miracles of the buddha-dharma performed, just like when the Tathāgata was in the world. At the moment in his [Upagupta’s] seventeenth year when his head was shaved, Śāṇavāsin asked him, “Does
your body go forth from household life, or does your mind go forth from household life?” Now, the house of the Buddha has from the beginning had two types of going forth from household life: that of the body and that of the mind.

The “bodily going forth from household life” spoken of here [in the Root Case] means abandoning the bonds of affection, leaving one’s hometown, shaving one’s head, dyeing one’s robes,1 not keeping slaves, and becoming a bhikṣu or bhikṣunī, so as to pursue the way throughout the twelve periods of the day. Consequently, one wastes no time and has nothing else that is wished for. Consequently, one neither delights in life nor fears death. One’s mind resembles the pure whiteness of the autumn moon, and one’s eyes are like a bright mirror free from any haziness. With no seeking of [buddha-] mind, no wishing [to see] the [buddha-] nature, and not even practicing the noble truths,2 how could one have any worldly attachments? Coming along in this way, one neither dwells at the stage of ordinary people, nor concerns oneself with the rank of the worthy sages, but evolves into a person of the way who has no-mind. That, in short, is the person who “bodily goes forth from household life.”

The “mentally going forth from household life” spoken of here [in the Root Case] refers to those who neither shave their head nor dye their

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1 *dyeing one’s robes* (koromo wo some 衣を染め). In other words, wearing the kāṣāya or “dyed robes” (C. ranī 染衣; J. zen’e) of a Buddhist monk or nun.

2 *not even practicing the noble truths* (shōtai nao nasazu 聖諦なほ作さず). The meaning here is probably “not consciously following the eight-fold path,” which is the fourth of the four noble truths.
robes, but who, although they live at home and have worldly toil, are like lotus flowers unsullied by mud,\(^1\) or like jewels that repel dust. Even if one has karmic involvements such as wives or children, one realizes that they are like rubbish or motes of dust. Without a single desirous thought, without the attachment of craving for anything, like the moon hanging in the sky, or like a jade ball rolling over a plate, one is in a busy marketplace but sees the one who is at ease.\(^2\) While in the three realms, one clarifies what is outside kalpas, knows that “even cutting off mental afflictions is a disease,”\(^3\) and clarifies that “even heading toward thusness is wrong.”\(^4\) “Nirvāṇa and samsāra are sky flowers,”\(^5\) and one is concerned with neither body nor mental afflictions. This is the person who “mentally goes forth from household life.”

Thus [Śānavāsin] asked, “Does your body go forth from household life, or does your mind go forth from household life?” However, going forth from household life that is not like this is not going forth from household life. Nevertheless, he came to ask this question. Accordingly, Upagupta answered, “Truly, it is the body that goes forth from household life.” In this he did not maintain any state of mind, did not speak of [buddha-] nature,

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1 lotus flowers unsullied by mud (basu no doro ni somazu 蓮の泥に染まず). The lotus plant is rooted in muck at the bottom of a pond, but its flower rises above the murky water and is unsullied. It is thus a metaphor for the bodhisattva who lives in the world but, through insight into emptiness, remains unattached to it.

2 the one who is at ease (kanja 閑者). That is, the self, or buddha-mind.

3 “even cutting off mental afflictions is a disease” (bonnō wo danjo suru mo yamai nari 煩惱を斷除するも病なり). This is a Japanese gloss of the fifth line of a Chinese verse attributed to a lay practitioner of Chan, a government official named Zhang Zhuo. → Presented Scholar Zhang Zhuo.

4 “even heading toward thusness is wrong” (shinnyo ni shukō suru mo ja nari 真如に趣向するも邪なり). This is a Japanese gloss of the sixth line of a Chinese verse attributed to a lay practitioner of Chan, a government official named Zhang Zhuo. → Presented Scholar Zhang Zhuo.

5 “Nirvāṇa and samsāra are sky flowers” (nehan shōji kore kūge nari 涅槃生死是れ空華なり). This is a Japanese gloss of the eighth and final line of a Chinese verse attributed to a lay practitioner of Chan, a government official named Zhang Zhuo. → Presented Scholar Zhang Zhuo.
and did not discuss profundities. He merely knew that the body made of the four primary elements and five aggregates was properly going forth from household life. He clarified [the saying] that, “Because one is able to arrive without moving, it is the supernormal ability to be wherever one wishes.”¹ He obtained it without seeking. Therefore, he clarified that it is unobtainable. Because the matter is like this, he said, “Truly, it is the body that goes forth from household life.”

Nevertheless, you should not form this kind of view about the sublime dharma of the buddhas. Thus, Śānaṇavāsin indicated the matter, saying, “For the buddhas, truly, it is not a matter of bodily going forth from household life, nor is it a matter of mentally going forth from household life.” It is not possible to see [buddha] by means of the four primary elements or five aggregates.² It is not possible to realize [buddhahood] by means of abstract

¹ “Because one is able to arrive without moving, it is the supernormal ability to be wherever one wishes” (fuun ni shite itari uru, yue ni nyoisoku naru 不運にして至り得る、故に如意足なる). This is a Japanese gloss of a line that Dōgen cites in Chinese in the chapter of his Treasury of the True Dharma Eye entitled “Thirty-seven Factors of Bodhi” (Sanjūshichi hon bodai bunpō 三十七品菩提 分法):

Śākyamuni Buddha said, “Arriving without moving is called the supernormal ability to be wherever one wishes.”

《正法眼藏、三十七品菩提分法》釋迦牟尼佛言、未運而到、名如意足。

(DZZ 2.136).

² It is not possible to see by means of the four primary elements or five aggregates (shidai goun wo motte miru beki ni arazu 四大五蘊を以て見るべきに非ず). This is reminiscent of a line that appears in Chapter 3 of the Denkōroku: “It is not possible to see the Tathāgata by means of form” (shiki wo motte miru beki ni arazu 色を以て見るべきに非ず). That is a transcription into Japanese (yomikudashi 読み下し) of a Chinese phrase that is used as a kōan (i.e. topic for commentary) in the Extensive Record of Chan Master Hongzi (T 2001.48.6c8) and many other Chan texts: “Cannot be seen by means of form, cannot be sought by means of sound” (C. buke yi se jian, buke yi sheng qiu 不可以色見、不可以聲求). It derives from a passage in the Diamond Sūtra, where Sākyamuni Buddha says:

If someone sees me by means of form, or seeks me through the sound of my voice, that person is following a false path and cannot see the Tathāgata.
reason or subtlety. Thus, sages and ordinary people together gain liberation, and body and mind alike come to be sloughed off. It is just like empty space, which has no interior or exterior, and it resembles ocean water in that it has no inside or outside. However many sublime principles there might be, however innumerable the dharma gates, with their thousands of differences and tens of thousands of distinctions, they teach just this matter.

Be that as it may, “Only I alone am honored”¹ does not refer to the [man] Buddha, and “No coming and no going”² does not refer to him either. Who could be said to be “before your father and mother were born,” or “prior to the kalpa of emptiness”?

Reaching this place, one transcends arising and non-arising, and is liberated from minding and not minding.³ It is like water that follows [the shape of] its container, like space that conforms to [the shape of] objects. Even when grasped, it does not fill the hands; even when sought, no trace of it can be found. This very thing is the sublime dharma of the buddhas.

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¹ “Only I alone am honored” (C. wei wo duzun 唯我獨尊; J. yui ga dokuson). A reference to the statement that the Buddha Śākyamuni is supposed to have made at the time of his birth: “In the heavens above and [on this earth] below heaven, only I alone am honored” (C. tianshang tianxia wei wo duzun 天上天下唯我獨尊; J. tenjō tenge yui ga dokuson). → Śākyamuni.

² “No coming and no going” (murai muko 無來無去). A description of the Tathāgata (Buddha) given in the perfection of wisdom class of sūtras. → “No coming and no going.”

³ minding and not minding (shin fushin 心不心). The meaning of this expression, which is not a standard Buddhist technical term, is unclear. BGDJ (1165d) cites this occurrence of the phrase shin fushin 心不心 in the Denkōroku and explains it as “not lapsing into duplicity” (futagokoro ni da shinai koto 二心に堕しないこと). The word “duplicity” (futagokoro 二心), however, refers to the “double-dealing” or “treachery” of a “two-faced” person, a meaning that scarcely fits the context here. The verb to “mind” (shin 心) can mean to “think about,” “consider,” “pay attention to,” or “care about” something. Thus, the expression shin fushin 心不心 might also be translated as “thinking and not thinking,” etc.
Reaching this place, Upagupta has no existence, and Śānāvāsin has no arising, which is why they are not to be regarded as moving or still, and not to be regarded as going or coming. Even if there are affirmation and negation, other and self, those are like voices under water or the limitlessness of space. Nonetheless, if you do not wake and feel it at least once, then even millions of dharma gates and innumerable sublime principles become merely the continuous flow of karmically conditioned consciousness.

Receiving [Śānāvāsin's] indications in this way, the Venerable Upagupta suddenly had a great awakening. It resembled a sudden thunderclap in a blue sky, or the earth bursting out in raging fire. The sudden thunder shook a single time. Not only was Upagupta’s faculty of hearing cut off, but his life potential was soon destroyed. The raging fire burned rapidly, and the dharma gates of the buddhas and the gates of the ancestral teachers were reduced to ashes; that is all. Such ashes having appeared, they were titled “Venerable Upagupta.” They were as hard as stone and as black as lacquer. How many times did he lose sight of people’s original form and pulverize their entire bodies, uselessly throw [divination] tallies and take the measure of the sky, or burn the sky and leave behind traces of the sky?

Today this descendant of Daijō, having sought for traces beyond the clouds, wishes to attach some words to the blue sky. People, do you wish to hear them?

**Verse on the Old Case【頌古】**

家破人亡非内外。身心何處隱形來。

*Home destroyed, people lost, there is no inside or outside.
Body and mind: where has their form been concealed?*