

## CHAPTER FOUR (*Dai yon shō* 第四章)

### ROOT CASE<sup>1</sup> 【本則】

第四祖、優婆鞠多尊者、執事和修尊者三載、遂爲落髮、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 Śāṇavāsin for three years before finally shaving his head and becoming a *bhikṣu*. The Venerable [Śāṇavāsin] 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 [Śāṇavāsin] said, “How could the sublime *dharma* of the buddhas be contingent on body or mind?” The Master thereupon greatly awakened.

### PIVOTAL CIRCUMSTANCES 【機縁】

師は

The Master [Upagupta]<sup>2</sup>

吒利國の人なり。又優婆鞠多と名く。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。

<sup>1</sup> 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 Śāṇavāsin's question is different:

The Venerable [Śāṇavāsin] 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。我來出家非爲身心。(T 2076.51.207b29-c1).

<sup>2</sup> 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。亦名優波鞠多。又名鄒波鞠多。姓首陀。父善意。十七出家。二十證果。隨方行化至摩突羅國。得度の者甚眾。由是魔宮震動。波旬愁怖。(T 2076.51.207b1-4).

was a man of the Country of Pāṭaliputra. He was also called Upagutta. His clan was śūdra. In his fifteenth year, he sought instruction from Venerable Śāṇavāsin. 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.<sup>1</sup>

證果の人を得る毎に、四指の籌を石室に投ず。其室、縦十八肘廣十二肘、其間に充滿す。

Each time he [Upagutta] got a person<sup>2</sup> to realize the fruit, he tossed a tally<sup>3</sup> 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.

一肘は二尺なり。彼の一生の間の得度し得たる籌を以て茶毘す。得度の人多きこと、恰かも如來在世の如し。故に世舉りて號して無相好佛と曰ふ。波旬、憤りを作して入定の時節を窺ひ、

One forearm is two feet. The tallies from all the people who gained deliverance during his lifetime were used for his [Upagutta'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 [Upagutta], 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觀ず。波旬また窺ふて密に璎珞を持して之を頸に懸く。時に尊者また彼れを伏せんと思ふ。定より起て、乃ち人狗蛇の三屍を取て、化して華鬘となす。輒言を以て波旬を慰諭して曰汝われに璎珞を與ふ、甚だ是れ珍妙なり。我れ華鬘あり、以

<sup>1</sup> Pāpiyān was frightened (*Hajun shūfu su* 波旬愁怖す). For a detailed account of Māra's battle with Upagutta, see Strong (1992, pp. 93–117).

<sup>2</sup> 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 Upagutta" 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。其室縦十八肘。廣十二肘。充滿其間。(T 2076.51.207b26-28).

<sup>3</sup> tally (*chū* 籌). For a detailed account of the role of tally sticks in the legends of Upagutta, see Strong (1992, pp. 139–143).

て相報くい酬奉せん。波旬、大に喜で頸を延べて之を受く。乃ち變じて三種の臭屍となる。蟲蛆壞爛せり。波旬、厭惡して大に憂惱を生ず。己が神力を盡して捨ることを得ず、解くことを得ず、移動すること能はず。乃ち六欲天に昇りて、諸の天主に告ぐ。又梵天に詣して、其の解脱を求む。彼れ、各告て曰く、十力の弟子の所作神變なり、我輩凡陋なり、何ぞ能く之を去らん。波旬曰く、然らば則ち奈何せん。梵王曰く、汝、心を尊者に歸すべし、即ち能く除斷せん。乃ち爲に偈を説き、其をして廻向せしむ。曰く、若し地に因て倒れば、還て地に因て起く。地を離れて起つことを求めば、終に其理なけん。還て十力弟子に依て、解脱を求むべし。波旬、教を受け已て、即ち天宮を下り、尊者の足を禮して哀露懺悔す。尊者曰く、汝今より後、如來の正法に於て更に燒害を作さんや否や。波旬曰く、我れ誓て佛道に廻向して、永く不善を斷ぜん。尊者曰く、若し然らば汝自ら唱えて、口づから歸依三寶と言ふべし。魔王合掌して三び唱ふ。華鬘悉く除く。

Thereupon,<sup>1</sup> 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-

<sup>1</sup> Thereupon (tsui ni 遂に). 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 *Jinade Era Record of the Transmission of the Flame* under the heading “Fourth Ancestor, Venerable Upagupta”:

《景德傳燈錄》遂竭其魔力以害正法。尊者即入三昧觀其所由。波旬復伺便。密持瓔珞縶之于頸。及尊者出定。乃取人狗蛇三屍化為華鬘。軟言慰諭波旬曰。汝與我瓔珞甚是珍妙。吾有華鬘以相酬奉波旬大喜引頸受之。即變為三種臭屍蟲蛆壞爛。波旬厭惡大生憂惱。盡己神力不能移動。乃升六欲天告諸天王。又詣梵王求其解免。彼各告言。十力弟子所作神變。我輩凡陋何能去之。波旬曰。然則奈何。梵王曰。汝可歸心尊者即能除斷。乃為說偈令其迴向曰。若因地倒、還因地起、離地求起、終無其理。波旬受教已。即下天宮禮尊者足哀露懺悔。麤多告曰。汝自今去。於如來正法更不作燒害否。波旬曰。我誓迴向佛道永斷不善。麤多曰。若然者汝可口自唱言歸依三寶。魔王合掌三唱。華鬘悉除。(T 2076.51.207b4-b22).

fested with venomous maggots and rotting. Pāpīyān, 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, Pāpīyān 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?” Pāpīyān 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*.” Pāpīyān, 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?” Pāpīyān 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 【拈提】

此の如く佛法の威験を施し、恰かも如來在世の如し。十七歳落髮のきざみ、和修問て曰く、汝身出家するや、心出家するや。夫れ佛家もとより身心の二出家あり。

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.

謂ゆる身出家すといふは、恩愛を棄て家郷を離れて、髪を剃り衣を染め、奴婢を蓄はへず、比丘となり、比丘尼となり、十二時中辦道し來る。故に時として虚しく過ることなふして、外か所願なし。故に生をも喜ばず、死をも懼れず。心は秋月の皎潔たるが如く、眼は明鏡の翳なきが如し。心を求めず、性を望まず、聖諦なほ作さず、況や世執をや。是の如くし來りて、凡夫地にも住まらず賢聖位にも拘らず、轉た無心道人たり。是れ則ち身出家人なり。

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,<sup>1</sup> not keeping slaves, and becoming a *bhikṣu* or *bhikṣuṇī*, 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,<sup>2</sup> 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.”

謂ゆる心出家といふは、髪を剃らず衣を染めず、設ひ在家に住み、塵勞に在りと雖も、蓮の泥に染まず、玉の塵を受けざるが如し。設ひ因縁ありて、妻子ありども、芥の如く塵の如く覺して、一念も愛心なく、一切貪著することなく、月の空裡に掛かるが如く、玉の盤上に走るに似て、鬧市中にして閑者を見、三界の中にして劫外を明らめ、煩惱を斷除するも病なりと知り、真如に趣向するも邪なりと明らむ。涅槃生死是れ空華なり、菩提煩惱ともに管せず、是れ則ち心出家人なり。

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

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

<sup>2</sup> **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,<sup>1</sup> 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.<sup>2</sup> While in the *three realms*, one clarifies what is outside *kalpas*, knows that “even cutting off mental afflictions is a disease,”<sup>3</sup> and clarifies that “even heading toward thusness is wrong.”<sup>4</sup> “Nirvāṇa and saṃsāra are sky flowers,”<sup>5</sup> and one is concerned with neither *bodhi* nor *mental afflictions*. This is the person who “mentally goes forth from household life.”

故に身出家か心出家かと問ふなり。然も是の如くなからん出家は、是れ出家に非ず。故に此問をなし來る。然るに龜多答て曰く、實に身身出家すと。此に心を存せず、性と説かず、玄を談ぜず。唯四大五蘊の身、方には是れ出家することを知る。不運にして至り得る、故に如意足なることを明らむ。不求にして得たり。故に不可得を明らむ。是の如くなる故に、實に身出家すと謂ふ。

Thus [Śāṇavāsin] 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,

1 *lotus flowers unsullied by mud* (*hasu 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* 煩惱を断除するも病なり). 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 saṃsāra 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.”<sup>1</sup> 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.”

然れども諸佛の妙法、這箇の見解を爲すべからず。故に和修指説するに曰く、諸佛實に是れ身出家するに非ず、心出家するに非ず。四大五蘊を以て見るべきに非ず、理性玄妙を以て證すべきに非ず。故に聖凡ともに解脱し、身心同く脱落し來る。虚空の内外なきが如く、海水の表裡なきに似たり。設ひ幾許の妙理、無量の法門、千差萬別なりと雖も、唯この事をのみ説き來る。

Nevertheless, you should not form this kind of view about the sublime dharma of the buddhas. Thus, Śāṇavāsin 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*.<sup>2</sup> It is not possible to realize [buddhahood] by means of abstract

<sup>1</sup> “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 2436).

<sup>2</sup> 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 Hongzhi* (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 Śākyamuni 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.

然れば唯我獨尊を佛と謂ふべからず、無來無去と謂ふべからず、誰か父母未生といひ、空劫以前といはん。此處に到りて、生不生を超越し、心不心を解脱す。器に隨ふ水の如く、物に倚る空の如し。執れども手に満ることなく、探れども跡を得ることなし。即ち是れ諸佛の妙法なり。此處に到りて多存することなく、和修も起ることなき故に、動靜を以てせず、去來を以てせず。設ひ是非あり彼我ありとも、水の底の聲の如く、空の中の端なきに似たり。然も一度覺觸せざれば、千萬の法門無量の妙理も、徒に業識流注となる。

Be that as it may, “Only I alone am honored”<sup>1</sup> does not refer to the [man] Buddha, and “No coming and no going”<sup>2</sup> 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.<sup>3</sup> 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.

《金剛般若波羅蜜經》若以色見我、以音聲求我、是人行邪道、不能見如來。(T 235.8.752a17-18).

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* 二心に墮しないこと). 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 Śāṇavāsin 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*.

是の如く指説する所、毘多尊者忽ち大悟す。恰かも青天に忽雷の霹靂せるが如く、大地に猛火の發生するに似たり。迅雷一度震ふて、毘多耳根を斷ずるのみに非ず。速かに命根を喪し、猛火忽ち燒けて、諸佛の法門、祖師の頂顛悉く灰燼と爲り畢りぬ。恁麼の灰燼顯はれて、毘多尊者と號す。堅きこと石の如く、黒きこと漆の如し。幾回か人の本色を失し、全身を打碎して、徒に籌を投げて空の數をとり、空を燒て空の跡を遺す。

Receiving [Śāṇavāsin'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 pāras 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?

今日大乘の兒孫、跡を雲外に尋ね、言を青天に着けんと思ふ。諸人聞かんと要すや。

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?