The Meaning of "Hinayana" in Northern Ch'an

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THE DIVISION of Chinese Ch'an (Zen) Buddhism into the two lines of North and South is one of the best known events in the history of Ch'an. Although Ch'an was by no means a single monolithic tradition prior to this division, it is the division which occurred under the Fifth Patriarch Hung-jen (601-674) which has been the focal point for most studies on the history of early Ch'an. With Hung-jen's two most important disciples, his line split into two streams, a Northern branch founded by the scholar Shen-hsiu (605?-706), and a Southern branch established by the more intuitive Hui-neng (638-706). In general, the traditional Ch'an texts such as the Ching-te ch'uan-teng lu # ##### ("Transmission of the Lamp") have emphasized the doctrines and practices of the Southern branch, and have tended to minimize the ideas of Northern Ch'an. The most important source for understanding Northern Ch'an has been the famous Liu-tsu t'an-ching 六祖連題, or Platform Sutra of the Sixth Patriarch. However, the remarks contained therein concerning Northern Ch'an tend to be quite derogatory, and certainly do not furnish an unbiased picture of their doctrines or practices. Although much has been written about the Southern lines of Ch'an, unfortunately we find few discussions of Northern Ch'an in any Western language.1 However, with the discovery of numerous texts belonging to the Northern line among the great number of documents found in the caves of Tun-huang around the turn of this century, Northern Ch'an texts have become available for the first time in many centuries, and we are now in a position to evaluate the actual ideas of Northern Ch'an according to their own writings,

However, in Japanese there are many articles concerning Northern Ch'an which draw upon the Tun-huang discoveries. For a partial list, see the hibliography in Philip Yampolsky, The Platform Sutra of the Sixth Patriorch, New York: Columbia, 1967, and Robert Zeuschner, "A Selected Bibliography on Ch'an Buddhism," Journal of Chinese Philosophy, vol. 3, no. 3 (June, 1976); pp. 299-311.

The following study has a twofold purpose: it is meant to be a partial contribution to the study of Northern Ch'an thought, and therefore we draw heavily upon numerous quotations from the Northern writings to develop our analysis. Secondly, this is meant to discuss the view of the traditional division of Buddhism into "Mahāyāna" ("greater vehicle" or "greater method") and "Hīnayāna" ("lesser vehicle" or "inferior method"), as seen through the eyes of this early Ch'an tradition.

This study is based upon the four texts generally known as the "Five Updya" (玉方便 wu fang-pien) texts, which contain most of the philosophical writings of the Northern line established by Shen-hsiu. These texts are:

- (1) Ts'an ch'an-men shih ("Verses in Praise of Ch'an"). This is probably not the actual title of the piece, but rather is the title of a poem which happened to be attached at the end of the text. However, it is the title under which the treatise is catalogued in the Taisho collection of Chinese Buddhist texts where it can be found in T.85 (no. 2839), pp. 1291-3, in Ui Hakuju, Zenshishi kenkyu, vol. 1, Tokyo, 1939, pp. 511-515, and in Suzuki Daisetz, Suzuki Daisetzu zenshu, vol. 11, Tokyo, 1968, pp. 161-167.
- (2) Ta-ch'eng wu-sheng fang-pien men **** ### ## ("Gateway of Unborn Upāya in the Mahayana"). T.85 (no. 2834), pp. 1279b-78a; Ui, ibid., pp. 449-467; Suzuki, ibid., pp. 167-190.
- (9) Ta-ch'eng wu fang-pien pei-tsung *** ** ** ** ** ** ** ** ("Five Upāya of the Mahāyāna: Northern tradition"). This is the longest and most fully developed of the "five upāya" texts, and is actually two texts combined to make the one complete version. It is not included in the Taishō collection, but can be found in Ui, ibid., pp. 468-511 and Suzuki, ibid., pp. 190-212.

The Northern line's writings often speak of the "followers of the Two Vehicles," the *srāvakas*, and the "followers of Hinayāna," apparently using the terms somewhat interchangeably. From the general Mahāyāna point of view, the followers of the Two Vehicles are those who heard the Buddha's preaching and who selfishly sought Nirvāna for themselves but not for everyone (these are the *srāvaka* or "hearers"), or those who achieved awakening on their own and who do not teach others (the

² Taishā shirahā daizākyō, Tokyo, 85 volumes, 1914-22. Following footnote references will be abbreviated by T followed by page number, and when appropriate, column and line number.

pratyekabuddhas or "private Buddhas"). In contrast with these somewhat derogatory terms, the Mahayana describes the highest and best path as the path of the Bodhisattva, the method of those who not only aspire for full and complete awakening (samyak-sambadhi) but who also postpone their entry into Nirvana in order to assist all sentient beings to liberation.

In some texts on Buddhism, "Hinayana Buddhism" is used as a synonym for "Theravada Buddhism," which is incorrectly treated as a synonym for all the numerous sectarian Buddhist schools which flour-ished throughout India, Southeast Asia, Sri Lanka, etc. These schools might be more accurately called "pre-Mahāyāna sectarian Buddhism" (which would include the Abhidharma schools), and generally these are the schools which rely upon the earlier Buddhist sūtras and commentaries and reject the later texts which are called the "Mahāyāna sūtras." These schools also reject the Mahāyāna goal of Bodhisattvahood and the Mahāyāna claim that there is a more complete awakening than the one experienced by the arhats. As we shall see, the term "Hīnayāna" does not seem to be used with any of these meanings by the masters in the Northern Ch'an tradition.

The earliest mention of the followers of Hinayana appears in the Ts'an ch'an men shih, which states:

If you do not achieve the upon (method or expedient means) [of being] truly undisturbed (無動 wu tung; acala in Skt.), you are truly disturbed, fall into a false samādhi (定 ting), become greedily attached to the flavor of meditation (# ch'an), and fall into the Nirvāṇa of the [followers of the] Two Vehicles. Being undisturbed is that by means of which you can attain the upaya of true (correct) samādhi, which is perfect tranquillity [means of the] and this is the Great Nirvāṇa [of the Mahāyāna].3

Here we have a distinction between those who are genuinely undisturbed (無動 wu tung, "unmoving"), and those who become addicted to the experience of meditation (dhyāna). Becoming attached to the flavor of meditation, one falls into the inferior Nirvāna of the followers of the Two Vehicles, which means that one will leave the cycle of rehirth and consequently will be unable to help others put an end to their own misery and suffering (duhkha). However, the details of what it means to be "undisturbed" are not yet clear.

³ Ts'an ch'an-men shih, T. 85.1292c; Ui, ibid.; Suzuki, ibid., p. 166.

In a corresponding paragraph found in the longer version of this "five upaya" text, we find essentially the same passage but with more elaboration. In the Ta-ch'eng wu-sheng fan-pien men, the following discussion occurs:

The master struck a piece of wood and asked [the assembled monks]: Do you hear a sound or not? [The sense of] hearing is undisturbed (unmoving). This being undisturbed is the updya (method) of awakening pure awareness (# hui) from samādhi (concentration), which is the opening of the gateway of pure awareness.

[When] hearing is pure awareness, this upōya is not merely being able to awaken pure awareness [but] is also being able to [awaken] true samādhi (correct concentration). This is the opening of the gateway of intuitive insight (智 chih), which is the achievement of this insight. [When both are attained] it is called "opening the gateway of awareness-and-insight" (chih-hui, prajnā).

The passage then continues almost exactly as in the Ts'an ch'an-men shih:

If you do not attain this upāya, true [samādhi] degenerates into a false (or incorrect) samādhi, you become attached to the flavor of dhyāna, and fall into the Nirvāna of the [followers of the] Two Vehicles. [However], having accomplished this upāya, it is true samādhi which is [a state of] perfect tranquillity, which is Great Nirvāna.

As is clear from both of these quotations, a central element is the state which is described as being "undisturbed" (無助 wu tung). As the text goes on to explain, to be undisturbed means that one's mind is

⁴ The Northern texts separate the two Chinese characters chih and hai (which normally are a compound to translate the Sanskrit term profile), and use the two characters to indicate two different yet complementary constituents of profile according to their own understanding. In a forthcoming article, I will present the analysis which leads me to believe that these two elements can be understood as a "pure sensory awareness" (hai) and an "inner intuitive insight" (chih).

³ To-ch'eng un-sheng fang-pien men, T. 85.1274b20. Professor Robert Gimello made several helpful suggestions on the best way to translate this passage, for which I would like to express my graditude.

⁴ Ibid.

undisturbed, and this is identified with samadhi (ting) and with "intuitive insight" (# chih).

We find a similar discussion in the longer Ta-ch'eng wu fang-pien peitsung, but additional elements are drawn into the discussion. The text states:

Question: What is "being free from thinking" (* li nien)? Reply: To be free from thinking is to be undisturbed. This being undisturbed is the upāya of awakening pure awareness from samādhi, which is the opening of the gateway of pure awareness. Hearing is pure sensory awareness. This skillful method is not merely awakening pure awareness, but it is also true samādhi, and this is opening the gateway of "inner insight" (* chih), and you will certainly achieve insight. [However], if you are unable to achieve this method, then true samādhi degenerates (* lo) into an incorrect (false) samādhi. One becomes attached to the flavor of dhyāna (ch'an), and falls into the Nirvāna of the [followers of the] Two Vehicles. [However], having attained this method, it is true samādhi which is perfect tranquillity, and which is Great Nirvāna.

As the texts have said, one who is a follower of the Two Vehicles is a person who becomes attached to the flavor of dhydna and who therefore is unable to attain the complete awakening typical of the Bodhisattva pathway (yāna). However, it is still not clear exactly what the Northern Ch'an texts mean when they speak of a "false samādhi" (注 ting). This is made clear in a subsequent paragraph in the Ta-ch'eng wu-sheng fang-pien men:

Question: How many types of people are there who open and achieve the gateway of prajkā (chih-hui)?10

⁷ *Ibid.*, p. 1274b21.

^a Being "free from thinking" (li min) is a central notion and important for understanding Northern Ch'an. The question of its meaning and the best translation for this phrase is a most complex one, and has been discussed by the author in an article which will appear in a forthcoming volume devoted to the history of early Ch'an in China and Tibet.

^{*} Ta-ch'ong wu fang-pion poi-tonng, in Ui, ibid., p. 471; Suzuki, ibid., p. 199.

Note that in the To-ch'mg we fong-pim pri-tung, the corresponding passage speaks only of the "gateway of his" and not of the "gateway of chih-his (or prajits)." Ui, ibid., pp. 471-2.

Reply: There are three kinds of people. Who are they? They are the ordinary person, the [followers of the] Two Vehicles, and the Bodhisattva.

For the ordinary person, when there exists a sound, there is hearing, and when there is no sound, or when the sound has diminished into inaudibility, there is no hearing.

For the [followers of the] Two Vehicles, whether there is sound, or no sound, or sound diminishing into inaudibility, there is no hearing.

For the Bodhisattva, whether there is sound, or no sound, or a sound which has diminished into inaudibility, he constantly hears.¹¹

This is a most interesting metaphor, and in the Ta-ch'eng we fang-pien pei-tsung, there is a paragraph which makes the central purpose of the analogy clear. The author of the text is asked why it is that the Bodhisattva continues to hear even though there is nothing to listen to, and the reply is most revealing:

Reply: It is because hearing in its essence is constant (MMARIE) wen t'i ch'ang ku).

Question: What is "hearing in its essence"?

Reply: Being undisturbed is "hearing in its essence." Hearing is just like the surface of a mirror. When there is a form, it reflects (M. chao). There is no form, and still it reflects. This is why there is a sound and there is hearing, and [even when] there is no sound, still there is hearing.¹²

Once again the reference is to the state of being undisturbed (Skt. acala), which characterizes the mind which is "free from thinking" (the li nien), and is the state of our sensory awareness (hui). In contrast with this, the type of person whom the Northern texts describe as a follower of the Two Vehicles falls into a trap which the Bodhisattva avoids. In a subsequent paragraph, the questioner is still perplexed about the distinction between the Hinayanist and the Bodhisattva, and asks for further clarification from the master:

¹¹ Ui, ibid., p. 454; T. 85.1274c11.

¹² Ui, ibid., p. 472; Suzuki, ibid., pp. 194-5.

Question: [Why is it that only] one type of person opens and attains the gateway of pure sensory awareness (hm), and the man of the Two Vehicles becomes enmeshed in affairs (* shih), becomes attached to the flavor of meditation, and falls into the Nirvana of the Two Vehicles?

Reply: The follower of the Two Vehicles does succeed in opening and achieving the gateway of pure sensory awareness (hui). [His] hearing is pure sensory awareness. From within the confines of his hearing-sense, he awakens and attains the hearing [which can be characterized as] pure sensory awareness. That which in the past he did not hear, now he is able to hear, and [within his] mind is produced great joy. [But this] great joy is a disturbance (the tung), and he is fearful of disturbance. Being attached to non-disturbance, he destroys the six consciousnesses and realizes the Nirvana of emptiness and extinction. This is the reason that whether there is a sound, or no sound, or a sound diminishing into inaudibility, he does not hear. Not hearing, he is greedily attached to the flavor of dhyana and falls into the Nirvana of the [followers of the] Two Vehicles . . . [On the other hand, the Bodhisattva] recognizes that the six senses are fundamentally and originally undisturbed. Being constantly in accord with this non-disturbance [in his] practice and cultivation, he attains this updya (method), and [his] true samadhi is identical with the achievement of perfect tranquillity, and this is Great Nirvana.13

This quotation has made clear the distinction, for according to Northern Ch'an, the Hinayanist is the person who achieves a part of the goal¹⁴ but this attainment produces within the meditator very positive and enjoyable feelings. However, the Hinayanist is afraid of emotions, fearing that they will upset his precarious state of balance, or state of being "undisturbed." Consequently, to maintain this state of non-disturbance, the Hinayanist is the one who closes off all sensory awareness through meditative techniques and thus attains a state called "emptiness and

¹⁸ Ui, ibid.

¹⁴ The Hinayanist does attain the gateway of his, according to the text, but not the gateway of chil-his, or full profits.

extinction." One in this state does not respond to external stimuli while in his meditation, and this is what is called a "false samādhi" and the inferior Nirvāṇa of the followers of the Two Vehicles. On the other hand, the Bodhisattva is the person who realizes that his six senses are undisturbed in their most fundamental nature, and consequently there never was a precarious balance to be maintained for such a person is undisturbed in all of his doings. This is "true samādhi" and ultimately leads to the Mahāyāna goal of "Great Nirvāṇa."

This conclusion is further borne out by the master's reply to a question concerning the exact difference between "false samadhi" and "true samadhi."

[That which the followers of the] Two Vehicles [do, namely] extinguishing the six senses and experiencing the Nirvāņa of emptiness and extinction, is false samādhi.

The Bodhisattva knows that the six senses are from the very beginning fundamentally undisturbed, and [whether] there are sounds or no sounds, or sounds diminishing away, he constantly hears. This is true samādhi.

Later on in the same text, the point is made in another way which is equally clear:

The samadhi of the [followers of the] Two Vehicles which lacks pure sensory awareness (hui) [of external phenomenon] is called "false." The Bodhisattva's samadhi which possesses pure sensory awareness is called "true."

The Ta-ch'eng we fang-pien pei-tsung, the most fully developed of the "five upaya" texts, distinguishes between "being disturbed" and "being undisturbed" by making virtually the same point that we have seen above:

Question: What is 'being disturbed' and 'being undisturbed'? Reply: If you are aware of a disturbance, then this is being disturbed. Even if you are aware of no disturbance, this too is being disturbed. Not being aware that there is any disturbance, not being aware of no disturbance—this is genuinely being undisturbed. . . . The followers of the Two Vehicles conceive of (M. chien) being undisturbed as something external to [their own] minds, and so thought arises and [also] attachment to being

¹⁸ T. 85.1275a14; Ui, ibid., p. 455; Suzuki, ibid., p. 176.

undisturbed. They control (# she) their five senses, and the six vijnana are not [allowed to be] active—this is the corrupt 'being undisturbed' of the Hinayana. 16

In contrast with this, the Bodhisattva is the person who "realizes that the six senses are fundamentally undisturbed from the very beginning, and so within illumination clearly shines, and outside he functions in absolute freedom. This is the true and constant 'being undisturbed' of the Mahāyāna."¹¹⁷ The consequences implicit in the "false samādhi" of the followers of the Two Vehicles are one of the reasons that the Northern Ch'an texts are so strongly against this kind of meditative practice. In a subsequent passage from the same text quoted above, the master says:

The followers of the Two Vehicles leave [the state of] samādhi (定 ting) and [it is only then that they] hear; entering into samādhi, they do not hear. Entering into samādhi, they are without pure sensory awareness (靈 hui), are not able to explain the Dharma, and so are unable to save sentient beings.18

However, these are not the only difficulties typical of the person called a follower of Hinayana. According to the Northern Ch'an texts, a Hinayanist is also one of those who is unable to grasp the more profound truth contained within the Mahayana doctrines. This idea is originally expressed in innumerable Mahayana sutras, and the Ta-ch'eng wu fangpien pei-tsung quotes such a phrase from the Saddharmapundarika, or Lotus sutra, which states that the prajāā-wisdom of the Buddha is difficult to understand, and that the sravakas and pratyekabuddhas cannot comprehend its nature or contents. 19 To explain precisely where the problem lies for the Hinayanist, the master says:

The ocean of wisdom (chih) is without bottom, and therefore it is said to be "profound and deep." Seeing, hearing, experiencing, and knowing all go beyond the six senses, and thus are said to be "infinite." The body of the ordinary man has birth-and-

¹⁶ Ui, ibid., p. 473; Suzuki, ibid., p. 196.

¹⁷ Ibid.

¹⁸ Ui, ibid., p. 474; Suzuki, ibid., p. 197.

¹⁸ S. Murano, The Sutra of the Lotus Flower of the Wonderful Law (Tokyo, 1974), p. 21; B. Kato, Y. Tamura and K. Miyasaka, The Threefold Lotus Sutra (Tokyo, 1974), p. 51.

death, and therefore it is difficult for him to understand. The srāvakas has intellection and grasping (思執), is disturbed and agitated, and therefore it is difficult [for him] to enter.20

Making the same point, the master adds that "the srāvakas of the Five Stages have discrimination and grasping (有思求). If they were free from (無 wu) discrimination and seeking, this is 'being able to [fathom] the Buddha's wisdom'."²¹ Thus the Hīnayānist is the person who is outwardly placid and unresponsive, yet inwardly his mind is grasping and discriminating. This is underscored when the text states:

Inside disturbed, outside disturbed—this is the ordinary person. Inside disturbed, outside undisturbed—this is the [follower of the] Two Vehicles.

Outside active, inside undisturbed—this is the Bodhisattva.22

The notion that one whose mind is filled with discriminations is a Hinayanist is repeated in the context of a quotation from the Vimalakirtinirdesa sittra, which asserts that one who is a Bodhisattva abides in an Inconceivable Liberation and can take the gigantic Mt. Sumeru and put it into a mustard seed without adding anything to the size of the seed or losing any portion of the mountain. The master is asked why it is that the sravaka is unable to see Mt. Sumeru enter the mustard seed, and the response is that only those who can transcend discrimination, or conceptualization (EM sm-i) can see this marvelous feat. The text states:

Because there is no discrimination, they pass beyond and transcend conceptualization, and this is what is called "only those who have gone beyond (產 如) are able to see Mt. Sumeru enter into the mustard seed." The purpose of this [statement] was to startle the śrāvakas so they would eliminate their mental limitations (產其之事) [caused by discrimination]. The śrāvakas have not yet realized (晉 wu) and [do not] see Sumeru enter into the mustard seed [since] they [still] have [belief in the absolute nature of] characteristics of "large" and "small." If a śrāvaka has perfectly comprehended [the true nature of things], the funda-

²⁰ Ui, ibid., p. 477; Suzuki, ibid., p. 201.

²¹ ibid.

²² ibid.

mental nature of both Sumeru and the mustard seed is emptiness (sunyatā). There is neither "entering into" nor "no entering." And thus they can see Sumeru enter into the mustard seed.²³

So far we have found that the Northern Ch'an texts label someone a "Hinayanist" if he practices meditation in such a way that he closes off the senses so that he can maintain an inner serenity by eliminating contact with the external world. The "Hinayanist" is also anyone who has a mind dominated by discrimination and conceptualization.

There is yet another reason that someone might be called a follower of the Two Vehicles. In the Ta-ch'eng wu fang-pien pei-tsung, there is a discussion concerning the Lotus sutra, and a monk asks the meaning of the expression "Wondrous Dharma Lotus," and the master replies:

The "Wondrous Dharma (Teaching)" is concentration (* ting) and insight (* has), and "lotus" is [used] as an analogy, for just as the lotus abides in the world and is not defiled by the world, so too is the Wondrous Dharma. Its meaning is deep and obscure, profound and far-reaching. The ones who cannot arrive there are the *travakas* [and other followers of] the Two Vehicles who cannot get that far, and so too the "Wondrous Dharma."

The [followers of the] Two Vehicles have concentration without insight, or they have insight without concentration, and [thus] they cannot get this far. The concentration and insight of the Bodhisattva and Mahāsattva is perfectly balanced (愛等) and this is why they can get this far. 24

Here is a third reason why someone might be called a Hinayāna follower by the Northern Ch'an texts. This is the person whose attainments are unbalanced. He has perfected either his insight and not his concentration (Æ ting), or else he has perfected his concentration skills while remaining deficient in his insight into the truths of Buddhism and the nature of reality. With too much concentration and insufficient insight, one runs the risk of being a quietist who does not understand the way to live in the world, or the way to help sentient beings. With developed insight yet lacking proficiency in concentration, the person

²³ Ui, ibid., p. 482; Suzuki, ibid., p. 208.

²⁴ Ui, ibid., p. 504. There is no corresponding passage in the Suzuki as.

can become cold and lack compassion for others since he is captivated by the intellectual truths of emptiness, marklessness, and non-abiding, and thereby misses the concrete plight of sentient beings who are enmeshed in duhkha, who suffer without recognizing the causes of their suffering or the path which can lead to the cessation of that suffering.

Let us briefly summarize what we have discovered. It is clear that the Northern Ch'an texts do not use the term "Hīnayāna" or "follower of the Two Vehicles" to refer to the Buddhists living in Sri Lanka, in Burma, in Thailand, in Cambodia, or anywhere else loosely associated with "Theravāda Buddhism." Rather they were referring to those Chinese Buddhists who had grave errors in their understanding or in their practices, and it is these people who are called the followers of the "inferior vehicle" (Hīnayāna), for they have misunderstood central features of (Northern Ch'an) Buddhist doctrines. Thus, the Northern Ch'an texts will call someone a "follower of the Two Vehicles" if he makes any one or more of the following three central mistakes:

- (1) If the person follows a quietistic and introverted kind of meditation practice which shuts off all incoming stimuli, abides in a kind of blankness, and imagines this undisturbed state to be the goal of Buddhism. This is a "false samādhi" and anyone who practices in this way is a "Hinayāna follower."
- (2) Any person who conceptualizes and discriminates the characteristics of things, mistakenly believing the perceived characteristics to be the ultimate nature of reality, 25 will be misperceiving the world, misunderstanding its true nature, and consequently unable to put an end to the unsatisfactoriness (duhkha) which he feels to pervade his life. Instead he must realize that all things in their very nature are empty (50nya), without differences (無異 wu 10), and ulti-

Put in more contemporary philosophical terminology, we might characterize such a person as one who naively believes that our language is absolute and correct because it follows natural discriminations and divisions in the world, or that the distinctions which we make somehow issue forth from the world in such a way that the observer simply "reads off" all of the distinctions, categories, or characteristics which are so typical of language.

This was a central point in the five updyo texts, the fifth updyo of which centered around precisely this point which was taken from the Avatamenta nitra. E.g., Ui, pp. 495 ff, Suzuki, ibid., pp. 234 ff.

- mately inexpressible and conceptually ungraspable. One whose mind is conditioned by discriminations mistaken for absolutes is also called a "follower of the Two Vehicles."
- (3) Lastly, one may be called a *travaka* or Hinayanist if he has cultivated only half of the two essential requisites for awakening: if he has cultivated insight to the detriment of concentration; if he has cultivated the methods and states of concentration without balancing them by the requisite sensitivity gained by the acquisition of insight.