The Concept of Śamatha and Vipaśyanā in Yogācārabhūmi with special reference to Śamatha-vipaśyanā-yuganaddha-vahin

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I The problems of Śamatha and vipaśyanā in Mainstream Buddhism. Ⅱ Yogācāra idea of integrating the two meditations in the Śrībh. Ⅲ śamatha and vipaśyanā in the Viniścayasaṃgrahanī-Section of the Yogācārabhūmi. IV Conclusion.

요약문 [주요어: 샤마타, 비파샤나, 지관쌍운, 유분별영상, 무분별영상, 심일경성, 견도, 성문지, 유가론]

‘지관쌍운(止觀雙運)’ 개념은 특히 대승불교 전통에서 지관 양자의 동시작용을 설명하기 위해 널리 사용된 용어이다. 원래 <유가론>에 연원한다고 보이는 이 개념은 전통적인 지관에 대한 정의 내지 이해와는 상응하지 않는 측면을 보여준다. <유가론>은 네 군데에서 이 개념에 대해 설명하고 있는데, 본고는 그 중에서 이를 상세히 설명하고 있는 <성문지>와 <섭결택분>의 두 군데를 택해 그 본래적 의미가 무엇인지를 다룬 것이다.

먼저 <성문지>의 용례는 지관 개념을 결합시키려는 시도를 보여준다. 지관 양자는 초기불교 이래 심적 이미지(nimitta)에 대한 각기 다른 수행법을 전제하고 있지만, <성문지>는 양자를 각기 무분별영상과 유분별영상을 가진 것으로 규정하면서, 양자를 모두 상매, 즉 ‘심일경성(心一境性)’으로 정의한다. 그리고 견도의 단계에서 양자는 ‘지관쌍운’으로 함께 작동한다고 해석한다. 또 다른 개소인 <섭결택분>에서는 언설적 설명의 측면에서 어떻게 지관 양자가 견도에서 작용하며, 이를 통해 견도의 구경에 도달하는 지를 설명하면서 견도의 8종 치나와 성의 9종 치나로 설명하고 있다.

본고는 두 개소의 분석을 통해 지관쌍운 개념이 어떤 맥락에서 대승의 수행론으로 특정짓게 되었는기를 추적한 것이다.

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I. The problems of Śamatha and vipaśyanā in Mainstream Buddhism

It may be well acknowledged that Vijñaptimātra philosophy was gradually developed from the experiences of the forest-dwelling Buddhist monks called Yogācāra. As the term Yogācāra implicates, their meditation practices consist mainly in combining the mind with the meditation object, thereby conforming to the general characteristics of Buddhist practices. Because of the pre-eminent role that concentration (samādhi) plays particularly in Yogācāra Buddhism and generally in Mahāyāna Buddhism, there arose the one-sided pre-occupation that the Yogācāra Buddhist practices only centered on calmness meditation (śamatha). This evaluation, however, did not recognize the fact that in Yogācāra Buddhism the concept of śamatha and vipaśyanā differs greatly from the traditional understanding, i.e., abhidharmic usage of the term, and has another implication. For the Abhidharmists, calmness meditation (śamatha) cannot co-exist with insight meditation (vipaśyanā), simply because the function and object of the two concepts is obviously not in accord with each other, and the mind does exist only instantly. In order to clarify their idea of the simultaneous co-existence of śamatha and vipaśyanā, a new scheme of expressing the function of the two concepts is
needed, and this was eventually suggested by the Yogācāras.

This paper aims to investigate how and on what ground this new Yogācāra ideas on śamatha and vipaśyanā was developed. With the expression “new Yogācāra ideas on śamatha and vipaśyanā” I mean the well versed terminology of Śamatha-vipaśyanā-yuganaddha-vahin (止觀雙運), which according to CBETA search¹) is frequently used in Yogācāra texts, particularly in the Yogācārabhūmi. This shows at least that the concept in question was well anchored in the Yogācāra tradition. It is on this textual basis that the present paper examines the relevance of the passages in question and discusses the significances of the new terminology in the context of the Buddhist Path (mārga). To understand the meaning of this new terminology, it would be better, first of all, to start with an examination of the Early Buddhist/ abhidharmic theory of śamatha and vipaśyanā, however brief it may be.

In the past decades, there have been some observations among Buddhist scholars over how to interpret the role and function of the binary concept, śamatha and vipaśyanā, in Indian Buddhism. Louis de la Vallée POUSSIN, one of the leading scholars in Buddhist studies in the 20th century, observes in his article, Musīla et Nārada (SN II 115), that the functional difference between the two concepts was also conceived by Early Buddhists. According to him, Musīla represents the way of reaching Nirvana through rational analysis, whereas Nārada

¹) For the search of this binary concept, I take into account some similar expressions like 雙運道, 雙運轉, 雙轉.
represents the mystic way of experiencing Nirvana with his own body. After then, scholars in the field of Indian studies accepted their basic difference. Basing himself on this basic difference, L. SCHMITHAUSEN (1981) finds serious incompatibilities among the statements found in the canonical texts and investigates the relevant passages, which he then divides into three groups according to the different functions of śamatha and vipaśyanā. T. VETTER (1988), in his part, shows convincingly that the distinction between śamatha and vipaśyanā can go back to Buddha’s earliest discourses. In the Dharmapraṣārtanasya, traditionally attributed to the first sermon of the Buddha, there prevails the śamatha-centered practice, which peaks at the eighth member of the Eightfold Way, namely “right samādhi”. Notwithstanding the strenuous efforts of the Buddha, his five disciples could not achieve the goal. So, the Buddha thought it necessary to change the training method, and he then introduced (according to the tradition: in the Ananattalakkhānasutta) the analytical method which consists in the reduction of the person into five aggregates (skandha). By realizing the five aggregates to be impermanent, unsatisfactory and without self, the disciples could achieve that state free from desires and craving. It goes without saying that this method is strongly based on and characterized by the Insight meditation (vipaśyanā). As the case of the five disciples shows, the vipaśyanā-method proves itself among the Buddhist circles to be more effective in reaching the goal than the śamatha-method. For the purpose of brevity, this paper will not investigate on this problem further. It is
worth noting, however, that the two methods, śamatha and vipaśyanā, were clearly differentiated from the beginning of Buddhism.

In the following period of Abhidharma Buddhism, this tendency was reinforced further in the way that ultimate realization of Nirvāṇa could only be attained through vipaśyanā, but not through śamatha.\(^2\) The latter served only as a preparatory way for realizing ultimate Truth through vipaśyanā, or it leads only to a higher mundane existence. Even though this viewpoint was supported by the followers of main stream Buddhism, we can find, more or less, diverse attempts in the various Buddhist schools to harmonize the two ways and/or to integrate the two into an organic practice system. Examples of this synthetic tendency can be observed in some passages of Visuddhimagga. KIM (1995) suggests that in VisM the two methods of śamatha and vipaśyanā play complementary roles in the context of momentary concentration (\textit{kkhanika-samādhi}) and access concentration (\textit{upacāra-samādhi}). However, it is difficult to ascertain to what degree of synthesis the complementary character of the two methods can be measured, because the complementary relation is valid in the sense of Paul HACKER’s “Inklusivismus” that the function of śamatha was reduced to the minor role to serve the vipaśyanā, as VisM shows in another passages. So, in this sense, we cannot speak properly of the functional interdependence of the two, but of functional subordination. As

far as I know, the completion of the complementary relation is arrived for the first time in the YBh, as I mentioned above. It would be interesting to note from what theoretical and practical background this kind of a bold leaf was resulted.

II. Yogaśāra idea of integrating the two meditations in the ŠrBh

The peculiarity of the Yogaśāra concept of śamatha and vipaśyanā consists in the fact that the two are very closely integrated into the two parts of the concentration (samādhī). This was clearly expressed in one passage of ŠrBh of the Yogaśārajārabhūmi, in which śamatha and vipaśyanā were each considered as equally belonging to the concentration (samādhī). It runs as follows:

“What is the one pointedness of mind (cittaikāgratā)? The stream of mind, which accompanies the enduring, correct and delightful state, and has as its object the similar thing [happened through] the repeated mindfulness, is also called concentration (samādhī). ... And there are in the one pointedness of mind the parts that belong to the śamatha, and that belong to vipaśyanā. The [one pointedness of mind] with regard to the mind stabilization (cittaśthitī) in 9 ways is that belonging to śamatha, and the [one pointedness of mind] with regard to the fourfold analysis through penetrating insight is that belonging to vipaśyanā.”
It is worth noting here that the definition of *cittaikāgratā*, which is also used to define *samādhi*, includes the two aspects of *śamatha* and *vipaśyanā*. That is, not only *śamatha* is characterized by the samādhi, but also *vipaśyanā* is regarded as belonging to samādhi. It becomes evident that the meaning and characteristics of this definition are very peculiar for the Yogācāra, especially when we compare its definition to those found in Early Buddhist texts. It would be very difficult for Early Buddhist practitioners to accept this definition, because *śamatha* was defined usually as the *cittaikāgratā*. This understanding would be at least acceptable when we recognize that the function of *vipaśyanā* consists in the correct observation of the arising and perishing of all phenomenal things. In this regard, it would be questionable to think that the mind in the *vipaśyanā* practice remains concentrated in one-point.

The passage in question proceeds simply to explain further on the nine kinds of the stabilization of mind and the four kinds of analysis. Though it is not clear as to what context this new understanding of *śamatha* and *vipaśyanā* was in-

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3) ŚrBh(T) XXII 2008: 40-42 (cp. ŚrBh 362, 11ff.): tatra *(citt)aikāgratā katamā / āha / punāhpunaranusmrṭi-sabhāgālambana-pravāhānavaḍyaratī-yuktā (ed.: -sabhāgālambanā pravāhānavaḍyaratīyuktā) this correction was suggested by SchCHMITHAUSEN in a personal communication. The sentence should be regarded as compound, which has the form of smṛti-ālambana-pravāha-rati-yuktā / cītatasantatār yā sā samādhir ity ucyate / … sā khālveśa ekāgratā śamathapakṣyā vipaśyanāpakṣyā ca / tatra yā navākārāyān cītasthitau sā śamathapakṣyā / yā punaś caturvidhe prajñācāre sā vipaśyanāpakṣyā / (My supplement of <citt> is based on the Tibetan and Chinese rendering. For Tibetan translation, see Śrībh (D) 132a3): de la *sems rtse gcig pa nyid gang zhe na*; and for Chinese (T30: 450b27) 心一境性).
roduced, one thing is clear: this enlarged version of the cit-
taikāgratā seems to be impossible, if the clear-cut distinction
of the two concepts is still held. In this regard, it is interesting
to note that ŚrBh (404,4-405,9) connects the above-mentioned
process with the well-known idea of śamatha-vipaśyanā-yuga-
naddha-vahin (止觀雙運), which implicates, more or less, the
concomitance or parallel of śamatha and vipaśyanā. Let me
briefly cite the passage.

“In what measure, the two, śamatha and vipaśyanā, are mixed
together and occur parallel, by way of which one can speaks of
the path, occurring parallel? When one attains the ninth
[establishment of mind, i.e.] samāhita [state] among the nine es-
establishments of mind, he, relying on the perfectly established con-
centration, strives for the higher insight with regard to the analy-
sis of the phenomenal things (dharma). At that time, for him who
analyzes the dharmas, the path occurs spontaneously and free
from voluntary activities. Because of being free from voluntary
activities as in the case of the Path of śamatha, the vipaśyanā,
which being pure and clean, arises after śamatha and is subsumed
by flexibility, and comes into existence. Therefore, it is called that
śamatha and vipaśyanā become mixed for him, occurred in paral-
lel, and it becomes the path of parallel occurrence of śamatha and
vipaśyanā.”

4) This expression seems to appear, in some similar formulations, six times
in the YBh: once in ŠrBh (see below), once in Bodhisattvabhūmi (T30:
527b27), three times in VinSg (T30: 605c25 + 625a18 + 725a24) and once in
Vastusamgrahaṇī (T30: 810b6). The first two occurrences in VinSg (the
last one is from Saṃdhinirmocanasūtra) and Vastusamgrahaṇī-passage
speak clearly that the pairing of śamatha and vipaśyanā happens at
the stage of the darśanamārga. Of these, I select the VinSg-passage (T30:
625a18) and deal with it in the section 3.2.
The above ŚrBh-passage states clearly that the concept of śamatha-vipaśyanā-yuganaddha-vahin is closely related with the mixture and parallel occurrence of śamatha and vi-paśyanā, and that only when the vipaśyanā-phase follows the śamatha-phase, can its function be successfully achieved. The latter point may coincide with the general tendency to evaluate the two concepts in question. And as far as the former point is concerned, the description itself sounds plausible. However, we may raise the question: “What is the meaning of the phrase śamatha-vipaśyanā-yuganaddha-vahin? What is meant by the word ‘yuganaddha’? Can the process of śamatha-vipaśyanā be regarded as simultaneous or successive?” These questions seem not only to be very important and interesting for the Buddhist Yogins, but it relates closely with the important debates in East Asian Buddhism, whether Enlightenment is gradual or sudden. But, it is beyond the scope of this present paper. At any rate, the question leads to relating this concept with two other passages in ŚrBh and VinSg of the YBh, which propose concrete information about the process of śamatha

5) ŚrBh(T) XXIV 2010: 26 (cp. ŚrBh 404,4-405,9; D 148b4-7; T30: 458b4-13):

tatra kiyatā śamathaś ca vipaśyanā cobhe miśribhūte samayugam varttte / yena yuganaddhavāhī mārga ity ucyate/ āha yo lābhi bhavati navākārāyāṁ cittaśthitau navamsayeśkārasya yaduta samāhitatāyāḥ / sa ca tam pariniśpannam/ / samādhiṃ niśritya adhiprajaṇaṁ dharmavipaśyanāyāṁ praruyate, tasyaitasmin (ed. tasya tasmin) samaye dharmān vipaśyataḥ / / svarasavāhana eva mārgo bhavaty anābhogavāhanaḥ / anabhismaskāreṇa vipaśyanā pariśuddhā paryavadātā śamathanugatā kalyeśāparīghitā (see SCHMIHAUSEN 2014: 381) pravarttate/ yathaiva śamathāṃrge / tenocyate śamathaś cāśya vipaśyanā cobhe miśribhūte samayugam varttte, śamathavipaśyanāyuganaddhavāhī ca mārgo bhavatiti /.
and *vipaśyanā*. The Śrībh-passage explains it in the context of the ‘meditation objet (*ālambana*)’, and the VinSg-passage in the context of the Path of Vision (*darśanamārga*) consisting in 9 *citta*-moments.

The chapter on the “meditation object (*ālambana*)” in Śrībh describes the function of śamatha and *vipaśyanā* in Yogācāra practice very vividly and can be regarded as an important meditational manual for the traditional Buddhists. The chapter can be grouped as follow:

(A) *vyāpy ālambanam* (遍滿所緣)

1. *savikalpaṃ pratibimbam* (有分別影像): the object of *vipaśyanā*.
4. *kārya-parinispattī* (所作成辦): āśraya-parivṛtti etc.

(B) *caritaviśodhanālambana* (淨行所緣): five kinds of objects of five cultivations.

(C) *kauśalyālambana* (善巧所緣): five kinds of expertise.

(D) *kleśaviśodhanālambana* (淨惑所緣)

1. in *laukikamārga*.
2. in *lokottaramārga*.

As HUI-MIN (1994: 29ff.) suggests, the last three items (B~D)

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6) See, HUI-MIN (惠敏) (1994). In SNS VIII, we find the four kinds of meditation object corresponding to the *vyāpy ālambanam* of Śrībh.
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are deeply rooted in the Sarvāstivādins texts, whereas the first one (A) shows the close relationship with a method not commonly traceable to the Sarvāstivādin texts. They may have in common with Central Asian elements. Therefore, one can safely assume that the two reflect different cultural and religious backgrounds. Among them, the first one, vyāpy ālambanam, is relevant for the aim and scope of the present paper, because this item focuses on the different function of śamatha and vipaśyanā, and shows its peculiarity.

There, their objects, which encompass all the points to be known, are divided mainly within the category of the “all pervasive object (vyāpy ālambanam)” into two kinds: the one which has the mental images connected with the mental activities (savikalpaṃ pratibimbam), and the mental images free from mental activities (nirvikalpaṃ pratibimbam). The former is the object of vipaśyanā, in the sense that the mental activities are still operative in the analysis of the phenomenal things, and the latter is the object of śamatha, in the sense that all the mental activities in calming the mind disappear. These two mental images are often compared with the drawing of the picture.7) The images free from mental activities, are compared with the painting only using a white color in order to eliminate other forms and colors. And, the images accompanied by mental activities, are compared with the painting, which is full of forms and lines. In this regard, we can rightly

7) The comparison of meditational objects with the painting is given several times in ŚrBh. For it, see ŚrBh 395,2-7; 397,2-19 (revised in: SAKUMA 1990: II. 18 + 21f.): 421,8.
assume that the way of meditation in (A) uses the visualization technique as its main method for attaining reality, and seems so far to reflect the influence of some texts from the Pure-Land movement of Mahāyāna Buddhism. However, we should note the difference between the two traditions. For ŚrīBh it is not the aim of practice to produce the most beneficial images, like Buddha- or Bodhisattva-images. In other words, the images, produced through the visualization, are not accepted anymore to be real. The aim lies in the refinement of mental images through alternation, by way of which it is expected to obtain the reality itself. In order to investigate the ontological status of the mental images, it is a pivotal point to understand the role of some key concepts, such as ‘production (adhimukti)’ and ‘elimination (vibhāvanā)’ etc. Let me explain these concepts briefly.

That the pair concept of adhimukti and vibhāvanā plays a central role in the process of meditation in ŚrīBh is clearly shown by SCHMITHAUSEN. The first one, adhimukti, is usually used to designate the sense of “to be fastened on”, but in the meditative context it has a rather different meaning of “producing mental images intentionally” or “concentrating on the object”. It goes without saying that the production of mental images has to do with the function of vipaśyanā. On the

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8) For the use of the term “visualization”, see BRET Feld 2003: 169f.
contrary, the elimination of the mental images is effected through the power of śamatha. This alteration of the production and elimination of the mental images is regarded as a kind of meditation technique,\(^\text{10)}\) through which the mental replica can become more and more clear and vivid, and the Yogin reaches eventually the status, comparable to direct perception. Though the mental images are not yet, in some sense, free from the influence of vikalpa, they can gradually be purified from mental distractions and obscurities by engaging in the process of alteration constantly, and in so doing, one can get a more clear and perfect mental replica than the real object seen ever before. This process of perfection may be easily understood through the simile of a painting, which can be shown as follows:

\begin{align*}
\text{śamatha} \\
\text{śamatha} \\
\text{śamatha} \\
\text{śamatha} \\
\text{vipaśyanā} \\
\text{vipaśyanā} \\
\text{vipaśyanā} \\
\text{vipaśyanā}
\end{align*}

(Diagonal lines show that through vipaśyanā the mental activities of visualizing the object increase; horizontal line signifies the function of śamatha which makes the mental images to come to a still stand.)

\(^{10)}\) For this and other meditative techniques in Šr Bh, see SCHMITHAUSEN 1982: 67ff.
In this way the mental images gain their clearest form. In the next stage of vyāpy ālambanam, namely vastu-parīnyatatā, this method of the alteration of śamatha and vipaśyanā is applied to all kinds of objects to be known (jñeya-vastu), and in the next step, the reality itself is eventually realized. In the final stage of vyāpy ālambanam, namely kārya-parinipatti, all types of mental and corporeal uneasiness (dausthulya) disappear for the Yogin, and he finally achieves the new formation of the basis (āśrayaparivṛtti), which means the purification of the basis. Based on this purification of the basis, it is now possible for the Yogin, free from mental construction, to have the direct vision of the objects. As far as the śamatha and vipaśyanā is concerned, the brief description above shows clearly that they lead to the supra-mundane realization of reality: in other words, they lead to seeing the thing as it really is. This kind of seeing reality may be correspondent to the so-called yogic perception (yogi-pratyakṣa), which is one of the four kinds of direct perception (pratyakṣa) maintained by Dignāga and Dharmakirti.11)

Some may raise objection that the same role is also attributed to śamatha and vipaśyanā in the traditional understanding. However, what I want to emphasize is the methodological extension of the two concepts via visualization to the production-elimination-process of the mental images.

11) For the yogic perception, see Nyāyabindu I.11: bhūtārthaḥbhāvanāprakāraśaparyantajam yogijñānam ceti //; for the discussion, see Funayama (2005): 288ff.
This can be easily conceivable, if we compare it with the similar practice of the *aśubha-bhāvanā*, in which the intentional production of mental images through visualization was also used. It has been already noticed by both traditional and modern scholars that the *aśubha-bhāvanā* adopts a similar visualization method.\(^\text{12}\) The main difference worth noting here is that, while in the mainstream Buddhism the practice of *aśubha-bhāvanā* was not recognized to have a supra-mundane character, thus limiting its function to access this-worldly goal, the practice of *śamatha* and *vipaśyanā* in ŚrīBh has the function of introducing the supra-mundane insight into reality itself. From the functional viewpoint of *śamatha* and *vipaśyanā* it would be hard for the followers of mainstream Buddhism to accept how the intentionally reproduced mental images could lead to the direct seeing the thing as it is.

We may come to appreciate the significance of this interpretation of ŚrīBh, when we compare it with its evaluation in other texts. In this regard, it is very helpful to see the introduction of BRETFELD to the role of this visualization technique in other Abhidharma traditions.\(^\text{13}\) The AKBh, for example, makes a comparison between two kinds of mentation (*manaskāra*): the mentation for producing of mental images (*adhimukti-manaskāra*) and the mentation with regard to real-

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\(^{12}\) For ex., see MSg II.8 and SCHMITHAUSEN (1982): 70f. Cf. also *buddha-anusmṛti* in the *Pratyutpanna-Samādhi-sūtra* (ed. HARRISON, 1978) 3L.

\(^{13}\) See BRETFELD (2003), ch. 4 for AKBh and ch. 3 for VisM. The following explanation bases on his paper.
ity (*tattva-manaskāra*). The former, which is effectuated through memory, is related with the production of mental replicas, resembling the outer objects, and belongs to the Cankers (*sāsrava*: AKBh 339,2f.). The latter is related with real existent things. The AKBh (340,3-5) criticizes the view of some people, who insist that, when observing the inhalation and exhalation of one’s breath, one should observe them through the visualization until his breath reaches the circle of the wind (*vayu-maṇḍala*). But, it goes without saying that in this way the exercise could be performed not on the basis of real objects, but only through visualization. We may assume that this method is relevant to the meditation technique of the so-called “Yogalehrbuch”.

BRETFELD mentions also the technique in the VisM (VIII. 214-6), where the evaluation of the mental images produced during the breathings is dealt with. The text describes meditation on the breathing with the help of image-association. “It appears to some like a star or a cluster of gems or a cluster of pearls, to others with a rough touch like that of silk-cotton seeds or a peg made of heartwood, to others like a long braid string or a wreath of flowers or a puff of smoke, …”

According to the text, the diverse images are produced because of the differences in perception. In this sense, it only serves to calm the mind. In other words, the VisM does not grant the right of the liberating power for the visualization technique. In contrast to these interpretations,

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14) For the expression “Yogalehrbuch”, see D. SCHLINGLOFF. *Ein Buddhistisches Yogalehrbuch*, 1964.

the Śrībh speaks clearly for the liberating function of the visualization process.

III. śamatha and vipaśyanā in the Viniścayasaṃgrahaṇī-Section of the Yogācārabhūmi

As indicated above, there are in the VinSg two passages which mention explicitly the phrase śamatha-vipaśyanā-yuganaddha-vahin, and deal with some problems related with it. Of these, I will choose one passage of VinSg (T30: 625a8ff.) which seems to be more informative, therefore, more suitable to be dealt with. Moreover, the Śrībh-passage regards the division of cittaikāgratā into two kinds, one belonging to śamatha and one belonging to vipaśyanā, as an outcome of two kinds of mental images in this ālambana-chapter. It concerns the problems of the Path of Vision.

The passage in question raises three questions about the Path of Vision. First is the question on the characteristics of the insight in the Path of Vision. The answer to the first question is that those who enter into the Path of Vision are totally

free from mental images and proliferation, because they have only Thusness (tathātā) as the object. The second one is related with the completeness of the Path of Vision. The third one is, whether the defilements to be eliminated by seeing the Truths (darśanaheyaḥ kleśaḥ) are removed in one stroke or gradually. Though the phrase, śamatha-vipaśyanā-yuganad-dha-vahin, appears in the third item, it would be better to begin with the second item for the proper understanding of the paragraph.

What is impressive in the passage of VinSg is that there are two ways of reaching the completeness of the Path of Vision: by way of conventional truth in so far as it is connected with the conceptual designation, and by way of ultimate truth in so far as it is free from proliferation. The former is called “ascertainment according to the Teaching (廣布聖教道理)”, the latter “ascertainment in the sense of highest truth, which should be realized for himself (內證勝義道理)”. This division accords with that of Truth into two kinds: Truth established [through concepts] (*vyavasthita-satya), and truth not established [with the concepts] (*avyavasthita-satya)\(^\text{17}\). The former, equal to theory of nine citta-moments, has as its object the Four Noble Truths in so long as they are conceptually taken up, and the latter the Thusness in so far as it is intangible through conceptual understanding. Though the two ways have somewhat different object of meditation, the functioning of śamatha and vipaśyanā is accepted to be the same. In follow-

\(^{17}\) For this pair concept, see Yc 653c25-654a6 and 697c15-17. Cp. also T30: 668c10ff, where the pair concept is related to the Mahayanistic usage.
ing some more considerations on this issue:

The nine cittas consist of eight cittas, which are characterized by vipaśyanā, plus one śamatha-citta, which is the sole counterpart of these eight vipaśyanā-cittas. The eight vipaśyanā-cittas are, in turn, divided into two sets: one constituting the dharma-jñāna-pakṣya, and the other constituting the anvaya-jñāna-pakṣya. One can easily acknowledge that these terminologies come from the description of the Path of Vision of the Sarvāstivādins. For them, the former knowledge consists in the acquaintance of the four Noble Truths in the Sphere of Desire, and the latter knowledge in the analogical understanding of these Truths in the Spheres of Form and Formless Spheres. In this sense, one can say that the Path of Vision is characterized by the successive and analogical knowledge for the Sarvāstivādins. But, it must be noted that, in the description of the VinSg, no mention is made for the other pair of jñāna and kṣānti, which play essential role in the Path of Vision of the Sarvāstivāda system. In the light of the nature of the Path of Vision, it is worth mentioning the reason why the pair of kṣānti and jñāna does not appear in the other passages like Y (T30: 654a16-19). AKBh 352,13-17 relates the division of kṣānti and jñāna to the ānantarya-mārga and vimukti-mārga respectively, and compares the former with driving away the thief, and the latter with closing the door. If the function of the latter consists only in the ascertainment of the former knowledge, then the omission of it in the VinSg may

18) For the theory of 16 moments of the Path of Vision of the Sarvāstivādins, see SAKURABE (1955) and FRAUWALLNER (1973).
have to do with the fact that one does not need to presuppose such a stage for the ascertainment of Yogin’s knowledge. This problem is closely related to the discussion on the nature of the Path of Vision. Whereas Sarvāstivādin’s Path of Vision is characterized by the analogical nature, as suggested by the term *anvaya-jñāna*, Śrī Bh states clearly that the knowledge of the Four Noble Truths has the nature of perceiving things directly even in the two higher spheres.\(^{19}\)

In this regard, one can properly raise the question, how these two higher spheres, though not the object of direct perception, can be directly perceived. For my knowledge, the Śrī Bh does not offer any proper answer. So, we may resort to another VinSg-passage to have some hints. In the passage the following is asked: “If the *anvaya-jñāna* is present, then can the Yogin perceive two higher spheres? The answer: if the Yogin has heard of, and thought of the dharma on higher spheres, and has taken seize of the images [from that], then he can perceive them.”\(^{20}\) This passage gives some hints for the different understanding of the role of the *anvaya-jñāna* from AKBh. In the VinSg-passage, this knowledge is no more reduced to simple analogical adaption of what he has got in

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19) Śrī Bh 500,16-17: ... satyeṣu anupūrvveṇaiva nirvikalpa<ṃ>
pratyakṣaparokṣeṇa niścayajñānaṃ pratyakṣajñānaṃ utpadyate; (Peking ‘i 322a5-6; Yc 843b10ff).

20) VinSg(P) Zi 272a5ff; (D) Zhi 258a6f; Yc 683b16ff): gang la rjes su rtogs pa’i shes pa mgon du byed pa de thams cad shes pa des gzugs dang/ gzugs med pa’i khaps dag la rtog par byed dam zhe na/ smras pa/ des gal te/ sngon gzugs dang/ gzugs med pa dag thos pa dang/ bsams pa dang/ gzung bar gyur na ni rtog par byed do//
the Sphere of Desire. Through the repeated exercise, I assume, he can refine the mental images as if they are real. And, the final point of this process will lead to the yogi-pra tướng, which transforms just mental images into the knowledge of the thing as it really is.

Apart from this peculiarity, the VinSg-passage speaks of the culmination of the Path of Vision, when the process of śamatha and vipaśyanā occurs together. However, it remains unexplained how the interaction or the process of śamatha and vipaśyanā goes on. Some Chinese commentators try to give some lengthy and diverse explanations on the meaning, among which the interpretation of the master Shin-tai seems to be most relevant to our theme. He thinks that the parallel occurring of śamatha and vipaśyanā in one mind-moment is possible, when śamatha is active, then vipaśyanā lies hidden behind, and vice versa.21)

In the scope of this paper it deserves our attention that this passage may reflect the influence of the ālambana-chapter in Śrī Bh dealt above. Our assumption could be supported by the terminology, śamatha-vipaśyanā-yuganaddha-vahin, in the next topic. The next topic concerns the problem whether the defilements in the Path of Vision can be eliminated gradually (anupūrva) or in one stroke (yugapad). It takes for granted that the joining or coupling of śamatha and vipaśyanā in one citra-moment is possible, and based on that assumption the total elimination of the defilements, which are connected with

21) For example, see JI, 瑜伽師地論略纂: 216b8ff; Tao-lun, 瑜伽論記: 679a2–b13. For their interpretation, see AHN (2003): 295, fn. 489.
both ways of śamatha and vipaśyanā, is possible. The passage itself is not clear at first glance, so it may be useful to analyze the full text. I divide the text into five parts:

A: The latent disposition to be eliminated by the Path of Vision is of two kinds: one which accompanies the fine materials (*rūpaprasāda-anubaddha), and the other which accompanies the mind and mental factors (*cittacitasika-anubaddha).

B: Because the Path of Vision arises through the coupling of śamatha and vipaśyanā, the Noble Disciple eliminates the two kinds of latent dispositions, viz. those which are to be eliminated through śamatha and those which are to be eliminated through vipaśyanā, in one stroke.

C: The former must be eliminated through vipaśyanā and the latter through śamatha. Therefore, we should say that it means the completeness of the Path of Vision.

D: Provided that the knowledge, which is included in the part of vipaśyanā, comes to existence accompanied by the latent disposition to be eliminated by the Path of Vision, it cannot be prac-

22) VinSg(P) 124a1ff.; (D) 118b1ff.; T30: 625a16-23. For the analysis of this passage, see AHN 2003: 295ff.

23) de la mthong bas spang bar bya ba'i nyon mongs pa'i bag la nyal ni cha gnyis kyis mam par gzag pa yin te / dang ba'i gzugs dang rjes su 'brel pa dang sms els byung ba dang rjes su 'brel pa'o //.

24) de la mthong ba'i lam ni zhi gnas dang lhag mthong zung du 'brel pas 'jug pa yin pa'i phyir 'phags pa nyan thos ni zhi gnas kyis spang bar bya ba dang lhag mthong gis spang bar bya ba'i bag la nyal mam pa gnyi ga cig car spong bar byed do //.

25) de la dang po ni lhag mthong gis spang bar bya ba yin no // gnyis pa ni zhi gnas kyis spang bar bya ba yin te de'i phyir mthong ba'i lam yongs su rdzogs pa yin pa brjod par bya'o //.

又立二分 見道所斷 煩惱隨眠。一隨逐清淨色。二隨逐心心所。
ticed as the antidote itself.\textsuperscript{26) }

E: From that reason, the Bhagavān spoke that the two [persons, i.e., who practices based on faith (śraddhānusārin), and who practices based on the Teaching (dharmānusārin), are the sixth person, who stays without mental images (animitta-vihārin). [when they] enter into the Path of Vision. \textsuperscript{27) }

For the interpretation of the passages I will focus on the sentence itself instead of the Chinese commentaries.\textsuperscript{28) } In A, it is stated that the latent dispositions not only accompany fine materials but also the Mind and mental factors. This explanation can be linked with the theory found in other parts of VinSg that the fine materials comprise not only the material seeds (bīja) but the seeds of the Mind and mental factors. In Chinese, this theory termed “simultaneous inter-infusion of the material and Mind (色心互熏説)”, was generally regarded as the Sautrāntika theory before the introduction of the concept ālayavijñāna.\textsuperscript{29) } This theory originally explained the reason why consciousness re-arises for those who retreat from the

\textsuperscript{26) } gal te lhag mthong gis phyogs su gto gs pa de dag mthong ba'i lam gys spang bar bya ba'i bag la nyal dang 'brel par 'byung (P: 'gyur) zhing / gnyen po nyid kyi sbyor bar mi byed na ni ma yin no \slash.

\textsuperscript{27) } de'i phyir bcom ldan 'das kyi kyang dad pa'i (D: pas) rjes su 'brang ba dang chos kyi (D: kyi) rjes su 'brang ba mthong ba'i lam la zhugs pa gnyis (D pa added) dang / gang zag drug pa'ang mtshan ma med pa la gnas pa yin la \slash.

\textsuperscript{28) } There are Chinese commentaries on the passage. See Ji, 瑜伽師地論略纂: 216c12ff; Tao-lun, 瑜伽論記: 680b13ff.

state of Nirodha-samāpatti, and those who were born in the Sphere of Form and Desire after their previous existence in the Formless Sphere. However, in the present context, focus is laid on the point that if all latent dispositions must be eliminated in the Path of Vision, then the seeds are accordingly to be divided into two parts.

In B, the simultaneous elimination of these two dispositions is grounded on the fact that the Path of Vision is characterized by the pairing of śamatha and vipaśyana. It is interesting to note for the purpose of investigating the meaning of the sentence, śamatha-vipaśyana-yuganaddha-vahin, that this idea seems to be introduced in order to express the functional simultaneity of śamatha and vipaśyana. But, two remaining problems are implicated in this passage. Firstly, it is unclear whether this simultaneous pairing of śamatha and vipaśyana occurs at every stages of the Path of Vision. Secondly, the passage seems to apply the power of eliminating the defilements also to śamatha, what is very noteworthy from the viewpoint of Mainstream Buddhism. I assume, these problems are dealt in the following C and D respectively.

C suggests that, among the two kinds of dispositions grouped in A, the first one which accompanies fine materials is eliminated by vipaśyana, and the second one which accompanies the Mind and mental factors eliminated by śamatha. To be noteworthy is the last sentence that this processes form “the completeness of the Path of Vision”. At first sight, this

sentence may be puzzling, because the theme of the “completeness” is already dealt with in the previous discussion. However, it would be more probable to regard this “completeness” as an indication that the simultaneity of śamatha and vipaśyanā reaches its completeness in every 8 citta-moments of the Path of Vision.

D raises the question, which was implicated in A, B and C. Provided that there are in the Path of Vision two kinds of latent disposition which must be eliminated by śamatha or vipaśyanā respectively, and that the Path of Vision is characterized by the coupling of śamatha and vipaśyanā, it follows that the way of vipaśyanā alone does not function effectively for the complete elimination of the latent dispositions.

In order to reinforce this viewpoint, the text E resorts to the passage of some sūtras (see, AN IV 74-79), which also find some echoes in AS 67,2f., ASBh 77,14-16 and JP 926c7ff. etc. This citation obviously aims to show that those who practice vipaśyanā alone cannot stay in the state free from mental images and proliferations, because the function of vipaśyanā consists in the discrimination of the characteristics of arising and ceasing away from phenomenal things.

As the analysis of the passage shows, the internal logic of śamatha and vipaśyanā presupposes their functional simultaneity in the ālambana-chapter of ŚrBh. The VinSg-passage, based on ŚrBh ideas, seems to extend to the questions of the simultaneous elimination of the latent dispositions of two sorts in the Path of Vision. The schema of the pairing of śamatha
and *vipaśyanā* may fit well for explaining the latency or seeds of defilements. Because of the parallel functions of *śamatha* and *vipaśyanā* in latency or actuality, the elimination of defilements, which is divided into two forms accordingly, could be explained away more reasonably. In this sense, I think, the VinSg-passage should be read to reflect the influence of the ŚrīBh.

Now, let me mention one relevant theme before ending this paper, namely: the elimination of the *kleśas* together with their latent dispositions *in one stroke*. B speaks explicit for the simultaneous elimination of all latent dispositions, which should be eliminated by *śamatha* and *vipaśyanā*. That seems to be the reason why our text introduces the concept “parallel of *śamatha* and *vipaśyanā*” to the Path of Vision, because one can entrust that the paring of *śamatha* and *vipaśyanā* functions for total elimination of not only the actual form of the *kleśas* but also their latent form successfully. So far, this kind of ‘sudden’ elimination does not relate to the problem of Sudden-Gradual realization, which became so popular through the bSam yas Debate or the long history of “Sudden-gradual-Enlightenment” debate in East Asian Buddhism.31) At any rate, we find in some Yogācāra texts that this problem is related with other pair concepts, such as “Ultimate Truth vs. Conventional Truth, and *avyavasthāpīta-satya* vs. *vyavasthāpīta-satya*”. The best example for it may be shown from the *sūtra*-passage,32) which divides the object of the Path

31) For the general introduction, see Luis O. GOMEZ (1987), and Seyfort RUEGG (1989).
of Vision into two kinds of \textit{vyavasth\{ā\}p}ī\textit{ita-satya} and \textit{avya-vasth\{ā\}p}ī\textit{ita-satya}. The former is regarded as the object of gradual realization of Truth, and the latter as the object of sudden realization. We may assume that the realization through the conventional truth, which corresponds to “the ascertainment according to the Teaching”, is achieved gradually, whereas the realization through the ultimate truth, which is in line with “the ascertainment in the sense of highest truth, which should be realized for himself”, is achieved suddenly.

**IV. Conclusion**

It is well-known that the Yogācāra school was developed from the solitary meditators called \textit{yogācāra}, who practiced various kinds of the meditation in the wilderness. In the YBh, the main text-corpus of the Yogācāra school, we can find a striking definition of meditation, which clearly shows the synthetic character of this school. They characterize meditation by the technical term "parallel of calming the mind and analytical insight" (\textit{śamatha-vipaśyanā-yuganaddha-vahin}, 止觀雙

32) See 分別緣起初勝法門經 (T16: 843c18–24): 復言世尊 入見道時 於此四諦 爲頓現觀 爲漸現觀。世尊告曰 有別道理名頓現觀。有別道理名漸現觀。何別道理名頓現觀。謂自內證 善證聖智。於真智境 非安立義。總相緣故 名頓現觀。何別道理名漸現觀。謂初業智及後得智。觀察自相及因果相。由作行相 別相緣故 名漸現觀。
It is hard to figure out the meaning in the context of the traditional understanding of śamatha and vipaśyanā, because they have been regarded as being quite different in their function. The purpose of this paper is to find out whether the origin of this kind of definition for the two concepts can be traced back to the Yogācāra texts, and if so, to find out how the parallel of the two concepts was understood in the sources.

In the present paper, I dealt with two passages among four in the YBh, which explicitly use the concept "śama-tha-vipaśyanā-yuganaddha-vahrī". It can be summarized as follows:

The most interesting fact the passages in the YBh, more precisely the ŚrBh, point out is that the concept in question seems to be formulated in an endeavor to unite śamatha with vipaśyanā more closely. The new definition of śamatha and vipaśyanā that they all belong to the "One pointedness of the mind" (cittaikāgratā), which amounts to the definition of sāmadhi in the Early Buddhist texts, makes it possible to enlarge the concept śamatha upon the field of vipaśyanā.

The important methodological step toward the functional synthesis of the two concepts seems to be achieved at the ŚrBh stage. In the context of a meditation object (ālambana) the text mentions clearly that śamatha and vipaśyanā form a complementary process of achieving the pureness of the inner bases and pureness of outer objects in the way that śamatha has as its meditative object ‘mental image free from concept (nirvikalpaṃ pratibimbam)’ and vipaśyanā ‘mental image with
concept (savikalpaṃ pratibimbam)’. Whereas the former serves to eliminate (vibhāvanā) mental images thereby leading to the calmness of mind, the latter aims at producing (adhimucyate) vivid mental images which resemble the real one through discriminative analysis. At first sight, this practice shows clear internal relatedness with the visualization technique, practiced in the aṣubha meditation or buddha-anusmṛti meditation for the production of vivid images. But, we should also keep in mind that the ontological status of the mental images is not asked in the description of the ŠrBh.

The other passage, I select for dealing with the passage "śamatha-vipaśyanā-yuganaddha-vahin", appears in the VinSg-Section of the YBh, where this technical term was used to characterize the Path of Vision (darśanamārga). I cannot but escape from the impression that this passage was influenced by the theory of the Path of Vision of the Sarvāstivādins, consisting in 16 moments, but slightly transformed into 9 moments in order to suit a specific purpose. As such, it seems very artificial and conveys conceptual interpretation. Notwithstanding this artificiality, the passage in question also reflects the demand of the ŠrBh that śamatha and vipaśyanā should function synthetically in order to complete the liberating character of the Path of Vision.
Abbreviation

AN:  Aṅguttara-Nikāya
D:  sDe dGe Edition of Tibetan Tripitaka.
Ji:  瑜伽師地論略纂 T1829 (vol. 43).
JP:  阿毘達磨發智論 T1544 (vol. 26).
P:  Peking Edition of Tibetan Tripitaka
ŚrBh(T):  The results of joint study on the Śrāvakabhūmi. Tokyo: Taisho University
T:  大正新修大藏経
Tao-lun:  瑜伽論記 T1828 (vol. 42).
VinSg:  Viniścaya-samgrahaṇī Section of Yogācārabhūmi
VisM:  Visuddhimagga. See
YBh:  Yogācārabhūmi (with page number: Yogācārabhūmi of Ācārya Asaṅga, Ed. V. Bhattacharya, Calcutta 1957), T30.

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Abstract

The Concept of Śamatha and Vipaśyanā in Yogācārabhūmi with special reference to Śamatha-vipaśyanā-yuganaddha-vahin

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It is well-known that the Yogācāra school was developed from the solitary meditators called yogācāra, who practiced various kinds of the meditation in the wilderness. In the YBh, the main text-corpus of the Yogācāra school, we can find a striking definition of meditation, which clearly shows the synthetic character of this school. They characterize meditation by the technical term "parallel of calming the mind and analytical insight" (śamatha-vipaśyanā-yuganaddha-vahin). It is hard to figure out the meaning in the context of the traditional understanding of śamatha and vipaśyanā, because they have been regarded as being quite different in their function. The purpose of this paper is to find out whether the origin of this kind of definition for the two concepts can be traced back to the Yogācāra texts, and if so, to find out how the parallel of the two concepts was understood in the sources. For this purpose, I dealt with two passages among four in the YBh, which explicitly use the concept "śamatha-vipaśyanā-yuganaddha-vahin". It can be summarized as follows:

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influenced by the theory of the Path of Vision of the Sarvāstivādins, consisting in 16 moments, but slightly transformed into 9 moments in order to suit a specific purpose. As such, it seems very artificial and conveys conceptual interpretation. Notwithstanding this artificiality, the passage in question also reflects the demand of the Śrābh that śamatha and vipaśyanā should function synthetically in order to complete the liberating character of the Path of Vision.

**Keywords:** śamatha, vipaśyanā, Parellel of Calmness and discerning the real, Path of Vision, Concentration, Śravakabhūmi, Yogācābhū