

The Sixteen-mode Mindfulness of Breathing

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0. The unique position of the mindfulness of breathing in the Buddhist tradition

In both the Pali and northern traditions, the meditation known as the “mindfulness of breathing” (*ānāpānasati*, *ānāpānasmr̥ti*) occupies a unique position. The *Itivṛtaka* represents the Buddha as saying that it is on account of not practicing this meditation that beings are repeatedly reborn and suffer in *samsāra*; its practice leads decisively to the fruit of nonreturner-ship.¹ The MVŚ cites the *sūtra*² to underscore the Buddha’s stress on this meditation: The Buddha meditated on retreat for two months. At the end of it, He instructed the *bhikṣu*-s that when the heretics came to inquire as to what meditation He practised during the retreat, they were to answer that it was the mindfulness of breathing. This practice was said to be totally unknown to those outside the Buddhist system.³ It further explains why in this *sūtra* this meditation is known as the “noble abode”, etc.:

The *sūtra* states that the Buddha told the *bhikṣu*-s: “If someone asks as to what the noble abode (*ārya-vihāra*) is, what the divine abode (*divya-vihāra*) is, what the *brahma*-abode is, what the *buddha*-abode is, what the trainee abode (*śaikṣa-vihāra*) is, what the non-trainee abode (*aśaikṣa-vihāra*) is — you should answer properly that it is the mindfulness of breathing.” Why? This mindfulness of breathing enables a trainee to realize (*sākṣāt-√kr̥*) what has not been realized. It enables a non-trainee to acquire the dwelling of happiness in the present life (*dr̥ṣṭadharmasukhavihāra*). This mindfulness of breathing is not mixed with defilements, hence “noble abode”. It is radiant by nature, hence “divine abode”. It is quiescent by nature, hence “*brahma*-abode”. The *buddha*-s mostly dwell in this abode, hence “*buddha*-abode”. It is acquired by a trainee, hence “trainee abode”. It is acquired by a non-trainee, hence “non-trainee abode”. “Realize (*sākṣāt-√kr̥*) what has not been realized” — because, with this, the excellent Direct Realization (*abhisamaya*) is acquired and defilements are abandoned. It is “dwelling of happiness in the present life” — because, with this, a non-trainee acquires the unshakable liberation of the *citta*. ...⁴

In the northern tradition, the mindfulness of breathing is commonly stated to be one of the two “portals to immortality” (*amṛta-dvāra*), the

other being the meditation on the loathsome (*aśubhā*).⁵ Immortality here refers to the fruit of the Noble Path, in particular, of *arhat*-hood.⁶ In the AKB, these two meditations are referred to as the ‘two-portals of entry [into cultivation]’ (*avatāra-mukha*, 入修二門).⁷ (See below). According to some Sarvāstivāda masters, of the two meditations, there is a possibility of retrogression from the defilements to be abandoned by cultivation (*bhāvanā-heya*) if the practitioner has depended on the *aśubhā* as the preparatory practice (*prayoga*), but not so if he has depended on *ānāpānasmṛti*.⁸

This doctrine of the two *amṛta-dvāra*-s could have been at least partly resulted from the Buddhist approach of counteracting specific personality (*carita*) defects with specific meditation methods. At first, the preoccupation with the contemplation on the loathsome as the main method to overcome sensual attachment was understandable among the *Saṅgha* members. According to tradition, it was when this contemplation resulted in some monks committing suicide that the Buddha began to emphasize the mindfulness of breathing. In the *sūtra*, we find at least four types of meditation mentioned as a group aimed at counteracting the specific personality problems: The Buddha told Rāhula that he should practise the mindfulness of breathing to counteract thoughts of sorrow, contemplation on the loathsome to counteract sensual craving, loving-kindness (*maitrī*) to counteract hatred, compassion (*karuṇā*) to counteract harmfulness, sympathetic joy (*muditā*) to counteract jealousy, and equanimity (*upekṣā*) to counteract conceit⁹ — the last four forming a subset known as the “four immeasurables” (*apramāṇa*). The **Abhidharmahrdaya-vyākhyā* (雜阿毗曇心論) mentions only three “portals for crossing over” (度門) which most likely corresponds to the same Sanskrit term, *avatāra-mukha*-s: *aśubhā* for the greed-type, *ānāpāna-smṛti* for the *vitarka-vicāra*-type, *dhātu*-contemplation for the view-type.¹⁰ In the Śrāvaka-bhūmi of the *Yogācārabhūmi*, we see a group of five meditations enumerated as character-purification (*carita-viśodhana*).¹¹ Likewise, in the Bodhisattva-bhūmi of the same text, we see five types of *avatāra-mukha* in the following order:

- (1) loathsome contemplation — greed-type
- (2) loving-kindness — hatred-type
- (3) conditioned co-arising qua specific conditionality (*idaṃ-pratyayatā-pratītya-samutpāda*) — doubt-type
- (4) analysis of the Elements (*dhātu-bheda*) — conceit-type
- (5) mindfulness of breathing — intellectually distracted type¹²

This group of five meditations came to be known in the Chinese tradition as the “five-fold stilling of the mind” (五停心).¹³

In the following pages, I shall be discussing the doctrine of the 16-mode *ānāpāna-smṛti*. In view of the fact that nearly all discussions to date on this topic are based on the Pāli tradition, the material I have provided below shall be mainly from the northern tradition which I hope will contribute to at least a broader perspective of the ancient teachings concerning the meditation. The commentarial traditions, although not exhaustive, include those representative of the major Abhidharma traditions (in the broader sense of the term): the Theravāda (including the *Vimuktimārga*), the Sarvāstivāda and Mūla-sarvāstivāda, the *dhyāna-sūtra* tradition, the continental Sthaviravāda schools represented by the **Śāriputrābhidharma*, the Mahāsāṃghika, and the Sautrāntika-Dārṣṭāntika represented by the **Satyasiddhi-śāstra* (and possibly also the *Arthavinīścaya* and its *Nibandhana*). The early Indian Yogācāra tradition (ŚrBh) is also included by way of comparison and for showing its inheritance from the Sarvāstivāda.

1. The 16 modes of *ānāpāna-smṛti*

In the *sūtra*, *vinaya* and the post-canonical *abhidharma* texts of the southern and northern traditions, mindfulness of breathing is explained as comprising 16 modes or aspects (*ākāra*). It is said to be fully accomplished only when endowed with all these 16 modes. On the other hand, it is noteworthy that this doctrine is not discernible in any of the extant canonical *abhidharma* texts, southern or northern, except the **Śāriputrābhidharma* — if indeed, as it is commonly held, this text had enjoyed a canonical status among some of the Sthaviravāda schools. *The Visuddhimagga Atṭhakathā* states that the outsiders know only the first four modes.¹⁴

0. General remark.

Thera:¹⁵ Mindful, he breathes in. Mindful, he breathes out.

Śāri:¹⁶ With understanding (智慧), mindful, he breathes out, mindful, he breathes in.

SĀ:¹⁷ The *ārya-śrāvaka*, mindful breathing in trains thus as he breathes in; mindful breathing out trains thus as he breathes out.¹⁸

MSV:¹⁹ With the force of understanding of the *citta*, mindful on the breathing,²⁰ breathing in, he understands: “[I] breathe in.”, breathing out, he understands: “[I] breathe out”.

Sarv:²¹ Mindful, breathing in and out, he understands: “Mindful, I breathe in and out” (我已念入出息, 了知我已念入出息).²²

AVN: Here, O *bhikṣus*, a *bhikṣu*, mindful, breathing in, understands truly: (*yathābhūtam prajānāti*): “Mindful, I breathe in.” Mindful, breathing out, understands truly: “Mindful, I breathe out.”²³

ŚrBh:²⁴ Mindful breathing in, he trains thus: “Mindful, I breathe in.” Mindful breathing out, he trains thus: “Mindful, I breathe out.”

I. *Thera*: Breathing in long, he understands “I breathe in long”. Breathing out long, he understands: “I breathe out long”.

Śāri: A *bhikṣu*, breathing out long, understands: “[I] breathe out long.” Breathing in long, he understands: “[I] breathe in long”²⁵

SĀ: Mindful breathing in long, [he trains properly²⁶...]

MSV: Breathing in long, he understands: “[I] breathe in long.” Breathing out long, he understands: “[I] breathe out long”

Sarv: Mindful, breathing in and out short, he understands: “Mindful, I breathe in and out short.”

DDS:²⁷ Breathing out and in long.²⁸

SatŚ:²⁹ Breathing out and in short.³⁰

AVN: Breathing in long, he understands truly: “I breathe in long”. And, breathing out long, he understands truly: “I breathe out long”.³¹

ŚrBh: Mindful, breathing in long, he trains thus: “Mindful, I breathe in [long].” Mindful, breathing out [long], he trains thus: “Mindful, I breathe out [long].”.

II. *Thera*: Breathing in short, he understands: “I breathe in long”. Breathing out short, he understands: “I breathe out short”.

Śāri: Breathing out short, he understands: “[I] breathe out short.” Breathing in short, he understands: “[I] breathe in short.”

SĀ: Mindful, breathing in short, [he trains properly...]

MSV: Breathing in short, he understands: “[I] breathe in short.” Breathing out short, he understands: “[I] breathe out short.”

Sarv: Mindful, breathing in and out long, he understands: “Mindful, I breathe in and out long.”

DDS: Breathing out and in short.

SatŚ: Breathing out and in long.

AVN: Breathing in short, he understands truly: “I breathe in short”. And, breathing out short, he understands truly: “I breathe out short”.

ŚrBh: [Mindful, breathing in] short, [he trains thus: “Mindful, I breathe in short.” Mindful, breathing out short, he trains thus: “Mindful, I breathe out short”.

- III. *Thera*:** He trains thus: “I shall breathe in experiencing the whole body”. He trains thus: “I shall breathe out experiencing the whole body”.
- Śāri*:** He trains: “[I] breathe in³² experiencing the whole body”. He trains: “[I] breathe out experiencing the whole body.”
- SĀ:** Breathing in experiencing the whole body, he trains thus as he breathes in and he trains thus as he breathes out .
- MSV:** Breathing in experiencing the whole body, he understands: “[I] breathe in experiencing the whole body.” Breathing out experiencing the whole body, he understands: “[I] breathe out experiencing the whole body.”
- Sarv:** Breathing in and out experiencing the whole body, he understands: “I breathe in and out experiencing the whole body.”
- DDS:** Breathing out and in experiencing the whole body.
- SatŚ:** Mindful of the breath permeating the whole body (念息遍身).
- AVN:** Breathing in experiencing all the bodily activities, he understands truly: “I breathe in experiencing all the bodily activities”. Breathing out experiencing all the bodily activities, he understands truly: “I breathe out experiencing all the bodily activities”.
- ŚrBh:** Breathing in experiencing the whole body, he trains thus: ”Experiencing the whole body I breathe in”. Breathing out experiencing the whole body, he trains thus: ”Experiencing the whole body I breathe out”.
- IV. *Thera*:** He trains thus: “I shall breathe in calming (*passambhayaṃ*) the bodily activities”. He trains thus: “I shall breathe out calming the bodily activities”.
- Śāri*:** He trains: “[I] breathe out eliminating (除 **pratiprasambhayan*³³) the bodily activities”. He trains: “[I] breathe in eliminating the bodily activities.”
- SĀ:** Calming the bodily activities, breathing in, he trains thus as he calms the bodily activities. Calming the bodily activities, breathing out, he trains thus as he calms the bodily activities.
- MSV:** Breathing in relinquishing (捨³⁴) the bodily activities, he understands: “[I] breathe in relinquishing the bodily activities.” Breathing out relinquishing the bodily activities, he understands: “[I] breathe out relinquishing the bodily activities.”
- MVŚ:** Breathing in and out calming the bodily activities, he understands: “I breathe in and out calming the bodily activities.”
- DDS:** Breathing out and in gradually putting to rest (漸休息) the bodily activities.

SatŚ: Eliminating (除) the bodily activities.

AVN: Breathing in experiencing joy (*prīti*), he understands truly: “I breathe in experiencing joy”. Breathing out experiencing joy, *he understands truly:* “I breathe out experiencing joy”.

ŚrBh: Having calmed (*prasrabhya*) the bodily activities, breathing in, he trains thus: “Having calmed the bodily activities, I breathe in.” Having calmed (*prasrabhya*) the bodily activities, breathing out, he trains thus: “Having calmed the bodily activities, I breathe out.”

V. **Thera:** He trains thus: “I shall breathe in experiencing joy”. He trains thus: “I shall breathe out experiencing joy”.

SĀ: [Breathing in] experiencing joy, [he trains thus as he is experiencing joy. Breathing out experiencing joy, he trains thus as he is experiencing joy.]

MSV: Breathing in [experiencing] joy, he understands: “[I] breathe in [experiencing] joy.” Breathing out [experiencing] joy, he understands: “[I] breathe out [experiencing] joy.”

Śāri: He trains: “[I] breathe out experiencing joy”. He trains: “[I] breathe in experiencing joy.”

MVŚ: Breathing in and out experiencing joy, he understands: “I breathe in and out experiencing joy.”

DDS: Breathing out and in experiencing joy.

SatŚ: Experiencing joy.

AVN: Breathing in experiencing happiness (*sukha*), he understands truly: “I breathe in experiencing happiness”. Breathing out experiencing happiness, he understands truly: “I breathe out experiencing happiness”.

ŚrBh: [Breathing in] experiencing joy, he trains thus: “[I] breathe in experiencing joy”. Breathing out experiencing joy, he trains thus: “I breathe out experiencing joy”.]

VI. **Thera:** He trains thus: “I shall breathe in experiencing happiness”. He trains thus: “I shall breathe out experiencing happiness”.

Śāri: He trains: “[I] breathe out experiencing happiness”. He trains: “[I] breathe in experiencing happiness.”

SĀ: [Breathing in] experiencing happiness, [he trains thus as he is experiencing happiness. Breathing out experiencing happiness, he trains thus as he is experiencing happiness.]

MSV: Breathing in [experiencing] happiness, he understands: “[I] breathe in [experiencing] happiness.” Breathing out [experiencing]

happiness, he understands: “[I] breathe out [experiencing] happiness.”

Sarv: Breathing in and out experiencing happiness, he understands: “I breathe in and out experiencing happiness.”

DDS: Breathing out and in experiencing happiness.

SatŚ: Experiencing happiness.

AVN: Breathing in calming (*pratiprasambhayan*) the bodily activities, he understands truly: “I breathe in calming the bodily activities”. Breathing out calming the bodily activities, he understands truly: “I breathe out calming the bodily activities”.

ŚrBh: [Breathing in] experiencing happiness, he trains thus: [“I breathe in experiencing happiness”. Breathing out experiencing happiness, he trains thus: “I breathe out experiencing happiness”.]

VII. *Thera:* He trains thus: “I shall breathe in experiencing the mental activities (*citta-samkhāra*)”. He trains thus: “I shall breathe out experiencing the mental activities”.

Śāri: He trains: “[I] breathe out experiencing the mental activities.” He trains: “[I] breathe in experiencing the mental activities.”

SĀ: [Breathing in] experiencing the mental activities, [he trains thus as he is experiencing the mental activities. Breathing out experiencing the mental activities, he trains thus as he is experiencing the mental activities.]

MSV: Breathing in [experiencing] mental activities, he understands: “[I] breathe in [experiencing] mental activities.” Breathing out [experiencing] mental activities, he understands: “[I] breathe out [experiencing] mental activities.”

Sarv: Breathing in and out experiencing the mental activities, he understands: “I breathe in and out experiencing the mental activities.”

DDS: Breathing out and in applying effort [to experience] mental activities.

SatŚ: Experiencing mental activities.

AVN: Breathing in experiencing all the mental activities, he understands truly: “I breathe in experiencing all the mental activities”. Breathing out experiencing all the mental activities, he understands truly: “I breathe out experiencing the mental activities”.

ŚrBh: Breathing in experiencing the mental activities, [he trains thus: “I breathe in experiencing the mental activities”. Breathing out experiencing the mental activities, he trains thus “I breathe out experiencing the mental activities.”]

- VIII. *Thera*:** He trains thus: “I shall breathe in calming the mental activities”. He trains thus: “I shall breathe out calming the mental activities”.
- Śāri*:** He trains: “[I] breathe out eliminating the mental activities”. He trains: “[I] breathe in eliminating the mental activities.”
- SĀ:** Breathing in experiencing the calming of the mental activities (心行息覺知), he trains thus [as he is experiencing the calming of the mental activities. Breathing out experiencing the calming of the mental activities, he trains thus as he is experiencing the calming of the mental activities.
- MSV:** Breathing in relinquishing mental activities, he understands: “[I] breathe in relinquishing mental activities.” Breathing out relinquishing mental activities, he understands: “[I] breathe out relinquishing mental activities.”
- Sarv:** Breathing in and out calming the mental activities, he understands: “I breathe in and out calming the mental activities.”
- DDS:** Breathing out and in stopping/restraining (制) the mental activities.
- SatŚ:** Eliminating mental activities.
- AVN:** Breathing in calming the mental activities, he understands truly: “I breathe in calming the mental activities”. And breathing out calming the mental activities, he understands truly: “I breathe out calming the mental activities”.
- ŚrBh:** [Breathing in] calming the mental activities, he trains thus: “I breathe in calming the mental activities”. Breathing out calming the mental activities, he trains thus: “I breathe out calming the mental activities”.
- IX. *Thera*:** He trains thus: “I shall breathe in experiencing the *citta*”. He trains thus: “I shall breathe out experiencing the *citta*”.
- Śāri*:** He trains: “[I] breathe out experiencing the *citta*”. He trains: “[I] breathe in experiencing the *citta*.”
- SĀ:** [Breathing in] experiencing the *citta*, [he trains thus as he is experiencing the *citta*. Breathing out experiencing the *citta*, he trains thus as he is experiencing the *citta*.]
- MSV:** Breathing in experiencing the *citta*, he understands: “[I] breathe in experiencing the *citta*”. Breathing out experiencing the *citta*, he understands: “[I] breathe out experiencing the *citta*.”
- Sarv:** Breathing in and out experiencing the *citta*, he understands: “I breathe in and out experiencing the *citta*.”
- DDS:** Breathing out and in discerning the *citta*.
- SatŚ:** Experiencing the *citta*.

AVN: Breathing in experiencing the *citta*, he understands truly: “I breathe in experiencing the *citta*”. Breathing out experiencing the *citta*, he understands truly: “I breathe out experiencing the *citta*”.

ŚrBh: [Breathing in] experiencing the *citta*, he trains thus: “I breathe in experiencing the *citta*”. Breathing out experiencing the *citta*, he trains thus: “I breathe out experiencing the *citta*”.

- X. *Thera:*** He trains thus: “I shall breathe in gladdening (*abhippamodaya*□) the *citta*”. He trains thus: “I shall breathe out gladdening the *citta*”.

Śāri: He trains: “[I] breathe out gladdening the *citta*”. He trains: “[I] breathe in gladdening the *citta*.”

SĀ: [Breathing in] gladdening the *citta*, [he trains thus as he is gladdening the *citta*. Breathing out gladdening the *citta*, he trains thus as he is gladdening the *citta*.]

MSV: Breathing in gladdening the *citta*, he understands: “[I] breathe in gladdening the *citta*”. Breathing out gladdening the *citta*, he understands: “[I] breathe out gladdening the *citta*.”

Sarv: Breathing in and out gladdening the *citta*, he understands: “I breathe in and out gladdening the *citta*.”

DDS: Breathing out and in gladdening the *citta*.

SatŚ: Gladdening the *citta*.

AVN: Breathing in, thinking “I am gladdening my *citta*”, he understands truly: “I breathe in gladdening my *citta*”. Breathing out thinking “I am gladdening my *citta*”, he understands truly: “I breathe out gladdening my *citta*”.

ŚrBh: [Breathing in] gladdening the *citta*, [he trains thus: “I breathe in gladdening the *citta*”. Breathing out experiencing the *citta*, he trains thus: “I breathe out experiencing the *citta*”.]

- XI. *Thera:*** He trains thus: “I shall breathe in concentrating (*samādahaṃ*) the *citta*”. He trains thus: “I shall breathe out concentrating”.

Śāri: He trains: “[I] breathe out concentrating the *citta*”. He trains: “[I] breathe in concentrating the *citta*.”

SĀ: [Breathing in] concentrating the *citta*, [he trains thus as he is concentrating the *citta*. Breathing out concentrating the *citta*, he trains thus as he is concentrating the *citta*.]

MSV: Breathing in concentrating the *citta*, he understands: “[I] breathe in concentrating the *citta*.” Breathing out concentrating the *citta*, he understands: “[I] breathe out concentrating the *citta*.”

Sarv: Breathing in and out concentrating the *citta*, he understands: “I breathe in and out concentrating the *citta*.”

DDS: Breathing out and in concentrating the *citta*.

SatŚ: Concentrating the *citta*.

AVN: Breathing in concentrating the *citta*, he understands truly: “I breathe in concentrating the *citta*”. Breathing out concentrating the *citta*, he understands truly: “I breathe out concentrating the *citta*”.

ŚrBh: [Breathing in] concentrating the *citta*, [he trains thus: “I breathe in concentrating the *citta*”. Breathing out concentrating the *citta*, he trains thus: “I breathe out concentrating the *citta*”.]

XII. Thera: He trains thus: “I shall breathe in liberating (*vimocayaṃ*) the *citta*”. He trains thus: “I shall breathe out liberating the *citta*”.

Śāri: He trains: “[I] breathe out liberating the *citta*”. He trains: “[I] breathe in liberating the *citta*”.

SĀ: Breathing in experiencing the liberating of *citta*, he trains thus [as he is liberating the *citta*.] Breathing out liberating the *citta*, he trains thus as he is liberating the *citta*.

MSV: Breathing in liberating the *citta*, he understands: “[I] breathe in liberating the *citta*”. Breathing out liberating the *citta*, he understands: “[I] breathe out liberating the *citta*”.

Sarv: Breathing in and out liberating the *citta*, he understands: “I breathe in and out liberating the *citta*”.

DDS: Breathing out and in liberating the *citta*.

SatŚ: Liberating the *citta*.

AVN: Breathing in thinking “I am liberating my *citta*”, he understands truly: “I breathe in liberating my *citta*”. Breathing out thinking “I am liberating my *citta*”, he understands truly: “I breathe out liberating my *citta*”.

ŚrBh: Breathing in liberating the *citta*, he trains thus: “I breathe in liberating the *citta*”. Breathing out liberating the *citta*, he trains thus: “I breathe out liberating the *citta*”.

XIII. Thera: He trains thus: “I shall breathe in contemplating impermanence”. He trains thus: “I shall breathe out contemplating impermanence”.

Śāri: He trains: “[I] breathe out contemplating impermanence”. He trains: “[I] breathe in contemplating impermanence”.

SĀ: [Breathing in] contemplating impermanence, [he trains] thus as [he is contemplating] impermanence (如無常). [Breathing out contemplating impermanence, he trains thus as he is contemplating impermanence.]³⁵

MSV: Breathing in contemplating impermanence, he understands: “[I] breathe in contemplating impermanence.” Breathing out contemplating

impermanence, he understands: “[I] breathe out contemplating impermanence.”

Sarv: Breathing in and out] contemplating impermanence, [he understands: “I breathe in and out contemplating impermanence.”³⁶

DDS: Breathing out and in contemplating impermanence.

SatŚ: Contemplating impermanence.

AVN: Breathing in contemplating impermanence, he understands truly: “I breathe in contemplating impermanence”. Breathing out contemplating impermanence, he understands truly: “I breathe out contemplating impermanence.”

ŚrBh: Breathing in contemplating impermanence (*anityānudarśī*), [he trains thus: “I breathe in contemplating impermanence”. Breathing out contemplating impermanence, he trains thus: “I breathe out contemplating impermanence.”]

XIV. Thera: He trains thus: “I shall breathe in contemplating detachment (*virāga*)”. He trains thus: “I shall breathe out contemplating detachment.”

Śāri: He trains: “[I] breathe out contemplating detachment”. He trains: “[I] breathe in contemplating detachment.”

SĀ: [Breathing in] contemplating abandonment (**prahāṇānudarśī*), [he trains] thus as [he is contemplating] impermanence. [Breathing out contemplating abandonment, he trains thus as he is contemplating abandonment.]

MSV: Breathing in contemplating abandonment, he understands: “[I] breathe in contemplating abandonment.” Breathing out contemplating abandonment, he understands: “[I] breathe out contemplating abandonment.”

Sarv: Breathing in and out] contemplating abandonment, [he understands: “I breathe in and out contemplating abandonment.”

DDS: Breathing out and in contemplating abandonment.

SatŚ: Contemplating abandonment.

AVN: Breathing in contemplating detachment, he understands truly: “I breathe in contemplating detachment”. Breathing out contemplating detachment, he understands truly: “I breathe out contemplating detachment.”

ŚrBh: [Breathing in] contemplating abandonment (*prahāṇānudarśī*), [he trains thus: “I breathe in contemplating abandonment”. Breathing out contemplating abandonment, he trains thus: “I breathe out contemplating abandonment.”]

XV. *Thera*: He trains thus: “I shall breathe in contemplating cessation (*nirodha*)”. He trains thus: “I shall breathe out contemplating cessation.”

***Śāri*:** He trains: “[I] breathe out contemplating cessation”. He trains: “[I] breathe in contemplating cessation.”

SĀ: [Breathing in] contemplating detachment (無欲, **virāga*), [he trains] thus as [he is contemplating] detachment. [Breathing out contemplating detachment, he trains thus as he is contemplating detachment.]

MSV: Breathing in contemplating detachment, he understands: “[I] breathe in contemplating detachment.” Breathing out contemplating detachment, he understands: “[I] breathe out contemplating detachment.”

Sarv: Breathing in and out contemplating detachment, [he understands: “I breathe in and out contemplating detachment.”]

DDS: Breathing out and in contemplating detachment.

SatŚ: Contemplating detachment.

AVN: Breathing in contemplating cessation, he understands truly: “I breathe in contemplating cessation”. Breathing out contemplating cessation, he understands truly: “I breathe out contemplating cessation.”

ŚrBh: [Breathing in] contemplating detachment (*virāgānudarśī*), [he trains thus: “I breathe in contemplating detachment”. Breathing out contemplating detachment, he trains thus: “I breathe out contemplating detachment.”]

XVI. *Thera*: He trains thus: “I shall breathe in contemplating renunciation (*paṭinissagga*)”. He trains thus: “I shall breathe out contemplating renunciation.”

***Śāri*:** He trains: “[I] breathe out contemplating renunciation/escape (出世, **pratiniḥsarga*)”³⁷. He trains: “[I] breathe in contemplating renunciation/escape.”

SĀ: Breathing in contemplating cessation, he trains thus as he is contemplating cessation. Breathing out contemplating cessation, he trains thus as he is contemplating cessation.³⁸

MSV: Breathing in contemplating cessation, he understands: “[I] breathe in contemplating cessation.” Breathing out contemplating cessation, he understands: “[I] breathe out contemplating cessation.”

Sarv: Breathing in and out contemplating cessation, [he understands: “I breathe in and out contemplating cessation.”]

DDS: Breathing out and in contemplating cessation.

SatŚ: Contemplating cessation.

AVN: Breathing in contemplating relinquishment (*pratinihsarga*), he understands truly: “I breathe in contemplating relinquishment”. Breathing out contemplating relinquishment, he understands truly: “I breathe out contemplating relinquishment.”.

ŚrBh: Breathing in contemplating cessation (*nirodhānudarśī*), he trains thus: “I breathe in contemplating cessation”. Breathing out contemplating cessation, he trains thus: “I breathe out contemplating cessation.”.

1.1. The *Sarvāstivāda Vinaya*, the **Prajñāpāramitopadeśa* and the **dhyāna-samādhi-sūtra*

There is an enumeration in the these three texts which, although not fully agreeing with *thera*, may be considered a variant of it. But in SarvV, the number 16 is not given, and the enumeration is somewhat ambiguous. The translators’ renderings are also not very consistent.³⁹ These defects probably resulted from the fact that the translation had through the hands of four translators among whom Kumārajīva seemed to have contributed most.⁴⁰ Moreover, both the DSS and DZDL were also translated by Kumārajīva. It is therefore possible that the enumeration in these two texts, which do mention the number 16, could have been influenced by that in the SarvV. Accordingly, I have discussed the three texts here as a group, separately from the other texts.

1.1.1. The SarvV⁴¹

The Chinese text goes thus:

若息入時，當一心知入。若息出時，當一心知出。若長、若短、若息入遍身，當一心知從一切身入。若息出遍身，當一心知從一切身出。除身行時，當一其心念出入息。受喜時、受樂時、受心行時、除心行時，當一其心念出入息。覺心時、令心喜時、令心攝時、令心解脫時，當一其心念出入息。觀無常、觀變壞、觀離欲、觀滅盡、觀捨離，當一其心念出入息。

It seems possible to understand the enumeration in the SarvV as follows:

0. He breathes in and out and should understand with one-pointedness of mind. **I** [Breathing in and out] whether long or short, [he should understand with one-pointedness of mind]. **II** Breathing in and out through the whole body, he should understand with one-pointedness of mind. **III** Breathing in and out eliminating bodily activities, he should understand with one-pointedness of mind. **IV** Breathing in and out experiencing joy, he should understand with one-pointedness of mind. **V** Breathing in and out experiencing happiness, he should understand with one-pointedness of mind. **VI** Breathing in and out experiencing

the *citta-samṣkāra*, he should understand thus. **VII**. Breathing in and out eliminating the *citta-samṣkāra*, he should understand with one-pointedness of mind. **VIII** Breathing in and out experiencing the *citta*, he should understand with one-pointedness of mind. **IX** Breathing in and out gladdening the *citta*, he should understand with one-pointedness of mind. **X** Breathing in and out concentrating the *citta*, he should understand with one-pointedness of mind. **XI** Breathing in and out liberating the *citta*, he should understand with one-pointedness of mind. **XII** Breathing in and out contemplating impermanence, he should understand with one-pointedness of mind. **XIII** Breathing in and out contemplating deterioration (變壞 *vipariṇāma/vipraṇāśa/bheda/vyaya⁴²), he should understand with one-pointedness of mind. **XIV** Breathing in and out contemplating detachment, he should understand with one-pointedness of mind. **XV** Breathing in and out contemplating cessation, he should understand with one-pointedness of mind. **XVI** Breathing in and out contemplating renunciation, he should understand with one-pointedness of mind.

However, the enumeration suggested above would result in the five modes being concerned with contemplation — as opposed to four in all other texts. What is more, it is totally “out of tune” with the *sūtra* enumeration of four tetrads corresponding to the four *smṛtyupasthāna*-s. This is what happens in DSS and DZDL. (See §1.1.2)

On the other hand, we could take the refrain “he should understand with one-pointedness of mind” as punctuating a separate mode or a group of modes and read the first part as 若息入時，當一心知入；若息出時，當一心知出。若長、若短、... We could then get: **0**. Breathing in he should understand with one-pointedness of mind, breathing out he should understand with one-pointedness of mind. **I**. [Breathing in and out] long or short [he should understand with one-pointedness of mind]. Furthermore, we could take “contemplating impermanence” and “contemplating deterioration” as constituting a single item, which is not so objectionable since impermanence and deterioration have much the same implication. This would give **III–XII** and **XIV–XVI** corresponding to those of *thera*, and **XIII** differing only slightly: “contemplating impermanence and deterioration.”

1.1.2. The DZDL and the DSS

DZDL not only mentions the figure 16, but also explicitly numbers the modes sequentially. It seems likely that Kumārajīva or his Chinese translation assistants had consulted the SarvV the translation of which was completed slightly earlier. Its 16 modes are:

I Observing in-breathing. **II** Observing out-breathing. **III** Observing breathing as long or short. **IV** Observing that the breath permeates the whole body. **V** Eliminating bodily activities. **VI** Experiencing joy. **VII** Experiencing happiness. **VIII** Experiencing the *citta-samṣkāra*-s. **IX** Gladdening the *citta*. **X** Concentrating the *citta*. **XI** Liberating the *citta*. **XII** Contemplating impermanence. **XIII** Contemplating deterioration. **XIV** Contemplating detachment. **XV** Contemplating cessation. **XVI** Contemplating renunciation.

The DSS does not number the modes, and there is therefore some ambiguity. However, it does group the modes to correspond to the four *smṛtyupasthāna*-s, and in its commentary clearly groups the last five modes under “contemplation of *dharma-smṛtyupasthāna*”. This creates the aforesaid “out of tune” problem. The 16 modes⁴³ could be enumerated exactly as in DZDL. But for the correlation with the *smṛtyupasthāna*-s, we have **I–V** for *kāya*; **VI–VIII** for *vedanā*; **IX–XI** for *citta*; **XII–XVI** for *dharma* — again totally “out of tune” with the usual correlation found in the other texts. These problems could also have resulted from Kumārajīva’s own (or his Chinese collaborators’) interpretations.⁴⁴

2. The Theravāda Tradition

2.1. The Pāli *sutta*-s and Vsm agree completely in the terminologies and sequence of the 16 modes. We note, in particular, these agreements: (a) Breathing long in **I**; breathing short in **II**; in-breathing precedes out-breathing. (b) Calming the bodily activities in mode **IV**, followed by experiencing joy in **V**, and happiness in **VI**. (c) Change from “he understands ...” in **I** and **II** to “he trains ...” in **III–XVI**. “He trains thus” is interpreted to refer to the threefold *sikkhā*: *adhisīla*, *adhicitta* and *adhipaññā*.⁴⁵ (d) The last four contemplation (**XIII–XVI**) are: impermanence → detachment → cessation → renunciation.

2.2. The Vmm, in spite of the imperfect Chinese translation, also agree in these respects. This text undoubtedly belongs to the same general commentarial tradition as the Pāli texts. It is well known that it contains the Theravāda doctrine of *bhavaṅga-citta* (有分心) and explains the cognitive process in terms of *vīthi-citta* characteristic of the school.⁴⁶ In the present context of the mindfulness of breathing, we also see an explicit analysis in terms of characteristic (相 *lakkhāṇa*), function (味 *rasa*) and manifestation (處 *paccupaṭṭhāna*), found typically in the Pāli Abhidhamma texts. There is the same simile here as in Vsm about watching only where the wood is being sawn rather than where the saw goes and comes. There is also the similar description of the sign (相 *nimitta*) of the

meditation object: Some meditators experience it in the form of a very pleasant touch like a piece of cotton or a pearl or a cool breeze. Others may experience strange signs (異相) in the form of a smoke, mist, dust or broken pieces of gold, etc, feeling as if pierced by needles or bitten by ants, etc. But these strange signs will disappear if the meditator, without allowing himself to be distracted by them and thereby becoming topsyturvy, continues to apply mindfulness on the in- and out-breaths.

Vmm also agree with Vsm in the following: (a) Bodily activities (VI) refer to the in- and out-breaths; their complete calming refers to the fourth *jhāna*. Vmm explains that although all breathing has ceased, mindfulness of breathing can still be practised because the initial sign, which has previously been well grasped, can still arise serving as the sign for the practice at this stage.⁴⁷ (b) Joy, happiness and mental activities are correlated with the *jhāna*-s: joy obtains in two *jhāna*-s, a; happiness in three; mental activities, comprising ideation and sensation, in four.⁴⁸ First, the stage with *vitarka* and *vicāra* (i.e. first *jhāna*); “experiencing joy” refers to the second *jhāna*; “experiencing happiness”, the third; “experiencing *citta*”, the fourth.⁴⁹ (c) The 16 modes correlate with the fourfold contemplation (*anupassanā*) of the abodes of mindfulness (*satipaṭṭhāna*): The first tetrad on body, second on sensation, third on thought, fourth on *dhamma*-s.⁵⁰ This correlation is already seen in the *ānāpānasati-sutta* of the *Majjhima-nikāya*⁵¹ which further states that

Vmm differs significantly from Vsm in setting forth a doctrine of four-stage — in contrast to eight-stage in Vsm — development of the meditation, comprising counting (*gaṇanā*), etc.⁵²

There are other differences pertaining to details; e.g. for IX, the meaning of “liberating *citta*”.

Vsm: Two meanings. (i) Liberating from the hindrances by the first *jhāna*, from *vitakka* and *vicāra* by the second, from joy by the third, from happiness by the fourth. (ii) Emerging from *jhāna*, at the time of insight (*vipassanā*), he liberates the *citta* from ideation of permanence by contemplating its impermanence, from ideation of happiness by contemplating *dukkha*, from ideation of Self by contemplating not Self (*anattā*), from delight (*nanda*) by contemplating disgust (*nibbidā*), from greed (*rāga*) by contemplating detachment (*virāga*), from origination by contemplating cessation (*nirodha*) from clinging (*ādāna*) by contemplating renunciation (*paṭinissagga*).⁵³

Vmm: “[Applying] mindfulness in the present on the in- and out-breaths, when the *citta* is slack, he liberates it from sloth; when

intensely swift (restless), from frivolity; when elated, from greed (染 *rāga*); when sunken, from hatred, when defiled, from the minor defilements. Further, when the *citta* is disinclined towards the object, he makes it inclined.”⁵⁴

The second alternative explanation in Vsm seems to be from Buddhaghosa himself since neither Vmm nor *Śāri* (see below) which agrees with Vsm’s terminology and enumeration speaks in these terms. Moreover, the explanations seem somewhat forced because the *citta* being liberated from *rāga* and notions of permanence, etc — which are practised in the following four modes, XIII–XVI — would imply attainment of *arahat*-hood. On the other hand, this alternative explanation is said to be at the moment of insight (*vipassanākkhaṇe*); we can therefore understand it as representing a higher level of the practice subsequent to acquiring *samatha*. Both Vsm⁵⁵ and Vmm state explicitly that the first three tetrads deal with both *samatha* and *vipassanā*, while the fourth only *vipassanā*.

The last part of the explanation in Vmm seems to link *vimocayati* (‘liberates’) with the *cetasika vimokkha* in the sense of being inclined and resolved with regard to the object (Cf. explanation in *Śāri* below)

3. The **Śāriputrābhidharma*

It is possible that apart from the Theravāda and the Sarvāstivāda each of which had developed a specific Abhidharma canon of seven texts, all the other continental Sthaviravāda sects had the *Śāri* as their fundamental Abhidharma text.⁵⁶ In the context of *ānāpānasmr̥ti*, this text also agrees fully with the Theravāda tradition⁵⁷ in respect of terminology and sequence (cf. §2.1), except that I is breathing out and II is breathing in. But this reversal is almost certainly due to the opposite ways of interpreting *āśvāsa* and *praśvāsa* rather than reflecting an actual reversal of the two Indian words.⁵⁸ Nevertheless, its commentarial tradition does seem to be different. In explaining “Experiencing the whole body he breathes out ... breathes in ...”, it says:

A *bhikṣu*, having filled the whole body with breath, breathes out. When the whole body is empty [of breath], he breathes in. Just as a skilful master of medicine or his pupil, having filled up his medicine bag, presses it to release the air. When the bag has become empty, he opens its mouth to get it filled with air. Likewise, a *bhikṣu*, having made the whole body pervaded with air, breathes out. When the whole body is empty, he breathes in. (See also the explanations in MVŚ below)

Its explanation on “calming the bodily activities ...” is basically similar to Vsm⁵⁹, but the similes employed are distinctively different:

What is meant by “calming the bodily activities he breathes out ... breathes in”? The out- and in-breaths may be gross or subtle. What is a gross bodily activity? One wherein there is restlessness. What is meant by a subtle bodily activity? One wherein there is stillness. Just as a *bhikṣu* subdues a gross bodily activity with a subtle bodily activity, removing an inferior one with a superior one, in the manner that a skilled carpenter or his pupil removes a bigger peg with a smaller peg. In this manner, a *bhikṣu* subdues a gross bodily activity with a [relatively] subtle one. Just as a man who is running reflects: “Why do I run? I should walk slowly”, and he then walks slowly. Again this man reflects: “Why do I walk slowly? I should stand”, and he stands. Again ..., and he lies down. In this way, this man removes a gross bodily activity and practises a [relatively] subtle bodily activity. Likewise, a *bhikṣu*, ...”⁶⁰

VII–VIII: Differing from the *Thera*, it explains “mental activities” as ideation and volition, and uses the same similes as above (peg removing peg, and a man running, etc) to explain “removing/calming mental activities”.⁶¹

IX: “Gladdening the mind/thought (*citta*)” — “*citta*” refers to *citta*, *manas*, *vijñāna*, the six groups of consciousness and the seven elements of consciousness (*sapta manodhātu* 七識界).

XII. “Liberating the *citta*”. The explanation is quite different from the *Thera*, excepting for some resemblance with the last statement in *Vmm* (See above):

The *citta* is disposed towards it, esteems it and is inclined towards it; it is liberated with respect to it, hence “liberating”.⁶²

This explanation seems to take liberation in the sense of *adhi-√muc* which connotes the sense of resoluteness, inclination, etc.; the “that” would seem to refer to the mental object. The following quotation is considerably abbreviated from its lengthy explanation:

Just as, a *bhikṣu* reflecting on a *dharma* generates liberation, and skillfully grasps the characteristic of the *dharma*, skillfully reflects, skillfully comprehends. If reflecting on a *dharma* he does not generate liberation, he skillfully grasps the characteristic of the *dharma*, skillfully reflects, skillfully comprehends. If the *dharma* is excellent or not excellent, he can generate liberation; he skillfully grasps the characteristic of the *dharma*, skillfully reflects, skillfully comprehends. If, reflecting on a *dharma*, he does not generate a liberated *citta* and breathes out and in; he skillfully grasps the characteristic of the *dharma*, skillfully reflects, skillfully comprehends. If, reflecting on a *dharma*, he does not generate a liberated *citta* and breathes out and in;

he skillfully grasps the characteristic of the *dharma*, skillfully reflects, skillfully comprehends. If the *dharma* is excellent or not excellent, he can generate a liberated *citta* and breathes out and in; he skillfully grasps the characteristic of the *dharma*, skillfully reflects, skillfully comprehends. The *bhikṣu* reflects on *dharma*-s to be cultivated and does not reflect on *dharma*-s not to be cultivated. He practises the excellent *dharma*-s and does not practice the non-excellent *dharma*-s. Breathing out and in liberating the *citta* and experiencing the breathing out and in liberating the *citta*, he acquires joy. This is the meaning of “He trains: ‘[I] breathe out liberating the *citta*...’.”⁶³

4. The Sarvāstivāda lineage

The Sarvāstivāda textual tradition is represented by SĀ, SarvV, MVŚ, Ny and DDS; all, excepting SarvV, essentially in agreement in respect of terminology and enumeration of the 16 modes. We note in particular: (a) While the *sūtra* (SĀ) and *vinaya* (SarvV, and the Mahāsāṃghika MSV) versions agree with the *Thera*, both two orthodox Abhidharma texts (MVŚ and Ny) have breathing short in **I**, followed by breathing long in **II**, and make it a point to comment on why there should first be short breathing. AVS (尊婆須蜜菩薩所集論)⁶⁴ also agrees here. (b) Unlike in *Thera*, SĀ, has “he trains...” throughout; while MSV as well as the *Mūlasarvāstivāda Vinaya*,⁶⁵ MVŚ, Ny and SarvV all have “he understands (/should understand)...” throughout. (c) Differing distinctly from *Thera*, all versions, including the *Mūlasarvāstivāda-vinaya* (*loc. cit.*) but with the exception of SarvV, enumerate the last four in the order: impermanence → abandonment → detachment → renunciation.⁶⁶

4.1. Explanations in the MVŚ

As in this context the MVŚ is citing the *sūtra*, it explains these 16 aspects in terms of the Buddha’s own practice before His Enlightenment.⁶⁷

I–II. Breathing short and long

He first breathes in and out short, then long. As is said in the *Prajñapti-śāstra* : when the *bodhisattva* first entered into *samādhi*, his breathing was rapid; having stayed in the meditation for some time, it becomes steadied. This is like one carrying a heavy load passing a treacherous path; his breathing is rapid. But when he subsequently reaches an even path, it becomes steadied.

III. “Experiencing the whole body, ...”

It is so described even though the breath enters and exits through the nostril. This is because when the mindfulness on the breathing

is not yet accomplished, one watches it through the nostril; when this has been accomplished, one watches the pores on the body as lotus stems pervaded by breath which enters and exits through it. This watching does not amount to leaving the meditation because the intention (*āśaya*) and the preparatory effort (*prayoga*) have not yet ceased. Vasumitra explains that this is like the contemplation on all conditioned *dharma*-s as being impermanent, unsatisfactory etc, without leaving the meditation. (E.g., in the path of vision). Experiencing the breath (being short or long) is not to be regarded as leaving the meditation.

IV. “Calming the bodily activities ...”

The breath is progressively refined until it no more arises.

V. “Experiencing joy ...”

Contemplation on the joy of the first two *dhyāna*-s.

VI. “Experiencing happiness ...”

Contemplation on the happiness of the third *dhyāna*.

VII. “Experiencing the mental activities ...”

Contemplation on ideation (*saṃjñā*) and volition (*cetanā*).

VIII. “Calming the mental activities ...”

The mental activities are progressively refined until they no more arise.

IX. “Experiencing the *citta* ...”

Contemplating on consciousness itself (識體).

X. “Gladdening the *citta* ...”

The Buddha no more needs to gladden the *citta* in order to sustain His liberation. But this happens at the stage of still being a *bodhisattva* who must make the contemplation again.

XI–XVI. “Contemplating impermanence, abandonment, detachment, cessation ...”

(i) Vasumitra: Impermanence of the breath; abandonment of the eight fetters; detachment is the abandonment of the craving fetter; cessation is the abandonment of the fetter-*dharma*-s.

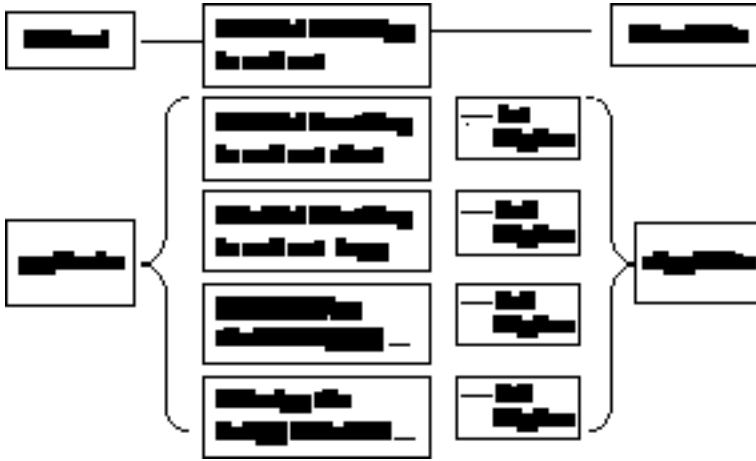
(ii) Others (有說 *kecid āhuḥ*): Impermanence of the four Great Elements; abandonment of the ignorance fetter; detachment is the abandonment of the craving-fetter; cessation is the abandonment of the remaining fetters.

Some others: Impermanence of the material body; abandonment of the past fetters; detachment is the abandonment of the present fetters; cessation is the abandonment of the future fetters.

(iii) Some others: Impermanence of the Great Elements and derived matter; abandonment of the unpleasant sensation (*duḥkhā vedanā*); detachment is the abandonment of the pleasant sensation (*sukhā vedanā*); cessation is the abandonment of the neutral sensation (*aduḥkhāsukhā vedanā*).

(iv) Bhadanta (= Dharmatrāta): Impermanence of the five aggregates of grasping; on abandonment means on these aggregates being empty (*śūnya*) and not-self (*anātman*) of; on detachment means on their being unsatisfactory (*duḥkha*); on cessation means on their non-arising (不轉, *apravartana*) and quiescence (寂滅 *upaśama*).

I to IV are also correlated to the attainment of the *dhyāna*-s as follows:



4.2. Saṃghabhadra’s explanations in Ny

Unlike the MVŚ, Saṃghabhadra’s main discussion on this meditation is from the perspective of it being a counteraction for discursive thoughts (*vitarka*). In terms of some details, therefore, he understandably at times appear to deviate from the positions of the MVŚ compilers above. However, he does not contest the view “held by some masters” that this meditation is fully accomplished when one has fulfilled either the six stages (*gaṇanā*, etc.) or the 16-mode practice in the *sūtra*,⁶⁸ and that it can lead as far as to the attainment of *arhat*-hood. (See (v).(3) below).

(i) The in- and out-breaths are like the wind going in and out of a gold smith’s fur bag naturally; it is the nature of wind to enter wherever a gap exists and then exit when it is pressed down. In truth there is no going in and coming out of the wind. It is with regard to the process (道 ‘path’) of operating (*√vrt*) in the manner of harming or benefiting the bodily serial continuity that they are designated as going in and coming out: At the stage of operation in in-breathing in, they expel corrupted and polluted things from the body, increasing the Fire Elements to make the body light. At the stage of operation in out-breathing, they remove the tormenting heat (鬱蒸 *paridāha*) within, reducing the Fire Elements causing the body to be heavy.

This mindfulness (*smṛti*) is *prajñā* in its intrinsic nature. In fact the *sūtra* says, “he understands” (*prajānāti*). It is called “mindfulness” because of its prominent function: It is by virtue of the efficacy of mindfulness that

the amount of the in or out breath is held in mind; it is therefore called “mindfulness” in order to show that *samādhi* and *prajñā* are achieved by taking the breath as its cognitive object (緣息定慧得成).⁶⁹

(ii) Only five stages (*bhūmi*) constitute the support bases of this meditation — sensuality sphere, the intermediate *dhyāna*, and the neighborhood states (*sāmantaka*) of the first, second and third *dhyāna*.

(iii) Accordingly, it is conjoined with only the neutral sensation (*upekṣā*). It is in fact practised for the sake of counteracting discursive thoughts; pleasant and unpleasant sensations are conducive to discursive thoughts of our relatives and home lands, etc. This, however, does not contradict the *sūtra* mention of “experiencing joy”, “experiencing happiness”. At the stages of preparatory practices, the *yogācāra* (瑜伽師) also experiences such sensations, but without being carried off the practice of mindfulness of breathing. It is in fact part of his practice to properly observe these temporarily arisen sensations as they are, and then revert back to the breath as the cognitive object. Such a diversion does not result in his leaving the meditation, as his intention and preparatory effort have not ceased (cf. explanation in MVŚ above), and as he can swiftly revert to the mindfulness of the breath. Although he can also experience other types of sensation, he particularly observes these two sensations because they are the predominant causes of greed and attachment from which he must strive to be liberated. Other masters explain that the experiencing of joy and happiness is not mindfulness of breathing *per se*, but the qualities (*guṇa*) generated by the preparatory effort.

(iv) The breath operates in dependence on both the body and *citta*. For this reason, there is no breathing in the meditational states without *citta* (*asaṃjñi-samāpatti* and *nirodha-samāpatti*), even though there is still the body of the meditator. In fact, there are four necessary conditions for breathing to take place: (1) the body serving as the support basis of the in- and out-breath; (2) the opening of the pores; (3) unhindered wind-passage; 4. arising of gross *citta* in the stage (*bhūmi*) of breathing. The Vaibhāṣikas hold that in the 4th *dhyāna*, there is no breathing, for two reasons: (a) the pores are fully closed — the extreme purity of this *dhyāna* induces the arising of subtle Great Elements which fill up all the pores;⁷⁰ (b) no manifestation of gross *citta*.

(v) There are three views given on the full accomplishment of the mindfulness of breathing.

(1) Saṃgabhadra’s/Vaibhāṣika view:⁷¹ When the meditator is able to perceive the very subtle breath flowing on slowly — He is able to ideate the whole body as a pipe with a single hole and that the breath

is flowing through it incessantly as if threading through a gem (*maṇi*), without moving the body or projecting bodily consciousness.

(2) According to some: When one has mastery over the development (増長 **vṛddhi*) and the task is done — mastery, when one has developed sequentially the lower, medium and higher grades of the meditation and is able to enter or exit any of them at will; the job is done, when the body is benefited and one is far removed from the *vitarka* qua the support for attachment.

(3) According to others: When the meditation is fully cultivated with respect to the six stages, *gaṇanā*, *anubandhana*, etc.⁷² or to the 16 modes (as discussed above).

(vi)⁷³ In the context of the *sūtra* description of the 16-mode mindfulness of breathing, it is to be understood as comprising four modes for each of the four abodes of mindfulness (*catvāri smṛtyupasthānāni*. This correlation is the same as in the Theravāda and other traditions).

“Experiencing the mental activities” is to be correlated to the abode of mindfulness of sensation. But this does not mean that mental activity (*citta-saṃskāra*) refers to volition (*cetanā*) (even though *saṃskāra* in other context does refer to *cetanā*). Rather, the reference here is to sensation: it is on account of clinging to the taste of a pleasant sensation that there may arise a volition with regard to the particular object-domain, making the *citta* volitional. This is what is meant by *citta-saṃskāra*. Since sensation is the cause of volition, it can be designated “mental activity” (Cf.: desire for drink (effect) is designated as “thirst” which is actually the cause)⁷⁴. Or, we can understand in this way: The mere experiencing sensation implies the ability to experience volition etc, successively experiencing the characteristics of arising, duration and deterioration; just as the mere tasting of a drop of sea water can lead to a full understanding of the taste of the whole sea. Thus, the experiencing of mere sensation is called the experiencing of mental activities.

(vii) It is when one has accomplished *śamatha* as the support basis that one proceeds to accomplish *vipaśyanā* by cultivating the four abodes of mindfulness; for one cannot see things truly as they are without having first achieved concentration.⁷⁵ This does not necessarily contradict the correlation above of the 16-mode practice with the four *smṛtyupasthāna*s so long as we do not treat the 16 modes as a simple one-time attainment and exclusively in a sequential progression.

4.3. The DDS

The major source of the meditation teachings in the *dhyāna sūtra*-s preserved in Chinese translation was derived from the Sarvāstivāda tradition. The so-called **Dharmatrāta-dhyāna-sūtra*⁷⁶ was certainly based on ancient Sarvāstivāda teachings which mainly emphasize *ānāpānasmṛti*, the *aśubhā* and the contemplation on the six elements — the three *avatāra-mukha*-s. We may understand these teachings as coming from the *yogācāra*-s within the Sarvāstivāda lineage.

The greatest space (more than half the text) of this meditation manual is devoted to the practice of *ānāpānasmṛti*. This is expounded in great details in terms of four stages : the stage pertaining to (i) retrogression (退分 *hāṇa-bhāgīya*) — when one can still fall from attainments, (ii) staying (住分 *sthiti-bhāgīya*) — although not retrogressing, there is also no progress, (iii) further progress (昇進分 *viśeṣa-bhāgīya*), (iv) penetration (決定分 **nirvedha-bhāgīya*) — the stage where the four skillful roots (see below) are acquired, immediately after which the practitioner is capable of “entering into the Certitude of Perfection” (*samyaktva-niyāma*(/nyāma)-*avakrānti* 入正性決定, 入正性離生), i.e. entering the path of vision (*darśana-mārga*). Each of these four stages is further elaborated under two paths: 1. the path of preparatory effort (方便道 **prayoga-mārga*), 2. the path of advance 勝進道 **uttara*(/viśeṣa)-*mārga*. It is to be noted that such a scheme of explanation concerning *dhyāna* or spiritual progress is typical of the Sarvāstivāda school.⁷⁷

The explanations on the 16 modes of *ānāpanasmṛti* are generally the same as MVŚ, etc. But there are differences pertaining to details. For instance, this text speaks of first breathing out long, then breathing in short. In the exposition concerning the stage of penetration in the path of preparatory effort,⁷⁸ it further argues against the general Sarvāstivādin (Ābhidharmika) position that breathing in the first *dhyāna* is short and that in the second *dhyāna* is long:

Some say breathing long first;
 others say breathing short first.
 Now, I shall next explain
 that it is incorrect⁷⁹ to state
 that at the initial out-breathing,
 [the breathing] is first short.
 Because the force increases gradually;
 when the breath is leaving gradually,
 so long as it has not returned,
 it is all to be known as long.
 It is wrong to say that it is short.

When the out-breathing is gradually increasing
 until it reaches the ultimate stage,
 what is observed therein is said to long-short (‘short of the long’).
 With one-mindedness, one applies effort diligently
 focusing mindfulness and contemplating properly;
 when it increases to the ultimate, it is said to be long-long.
 One having observed, the breath reverts
 and further seeking is abandoned;
 one then attains penetration (決定 *nirvedha* — see below),
 and it is then said to be short-long (‘long of the short’).
 When the in-breath is extremely short,
 returning to where [the breath] originated;
 what is observed therein
 is said to be short-short.

...

It is wrong to assert that
 breathing in the first *dhyāna* is short
 and that in the second *dhyāna* is long,
 for it contradicts what is being experienced.
 In the first *dhyāna*,
 the force of the breath lasts very long;
 in the second *dhyāna* the breath becomes short,
 and what is being experienced comes to gradually differ.

...

Why is it that in the first *dhyāna*, it is only said to be long, not short?

Because the support bases have not been relinquished,
 hence the breath is long.

He makes the breath go long
 through the force of *vitarka* and *vicāra*.⁸⁰

In the second [*dhyāna*], the bases are relinquished;
 the force being weak, the breath is short.⁸¹

In the path of preparatory effort, one first practices all the 16 modes at the stage of retrogression — so long as one has not properly realized the 6 stages of counting, etc., one is still liable to retrogression. It states that “such 16 aspects are all said to be [pertaining to] penetration.”⁸² Accordingly, for the author of the DDS, the 16-mode of *ānāpānasmr̥ti* essentially pertains to the path of preparatory effort, and at the stage of penetration (i.e., decisive insight), one has practised all the 16 modes and acquires clear insight. At this point, when one observes the subtle sign (微妙相 **sūkṣma-nimitta*?) of the cultivation which is extremely

pure, “there arises at that ultimate point, the jewel-*samādhi* (摩尼寶三昧 **maṇiratna-samādhi*).”⁸³

One next proceeds to the stage of penetration of the path of advancement. At this very final stage, one practises the four abodes of mindfulness,⁸⁴ acquiring decisive insight through further contemplation — presumably at a higher level — of impermanence, etc., penetrating into the 16 aspects of the Four Noble Truths.⁸⁵ Following the practice of the four abodes of mindfulness⁸⁶ one attains *uṣmagata*, *mūrdhan*, *kṣānti* and *laukikāgra-dharma*.⁸⁷ DDS here clearly agrees with the standard scheme of Sarvāstivāda Abhidharma which also relegates these four attainments (known as the four *kuśalamūla*-s) to the stage of penetration (*nirvedha-bhāgīya* 決擇分).⁸⁸ Again agreeing with Abhidharma, it states that one next proceeds to the paths of vision and cultivation,⁸⁹ completing gradually and finally attains the exhaustion of the outflows.

5. The Sautrāntika-Dārṣṭāntika tradition

5.1. The SatŚ (成實論)

The author of this text, Harvarman, is said to be a pupil of the Kumāralāta. But whereas the teacher was a Dārṣṭāntika within the Sarvāstivāda — holding the position of *sarvāstīva* — the pupil’s standpoint as reflected in this text is definitely that of a Vibhāyavādin. He may be understood as a Sautrāntika-Dārṣṭāntika of the 3rd/4th century A.D.⁹⁰ Like *Thera* and the Sarvāstivāda, SatŚ also divides the 16 modes into four tetrad, correlating them with the four *smṛtyupasthāna*-s. Although he also mentions the six-fold process (counting, etc.), he criticizes it and sticks to the position that the meditation is said to be fully accomplished when it is endowed with the 16 modes.⁹¹ His commentary is as follows:

Question: What is breathing long or short?

Answer: Just as a man going uphill; if he is exhausted as a result of bearing a heavy load, his breathing is short. Likewise is the meditator: his breathing at the time of a gross *citta* is short. By gross *citta* is meant a *citta* that is agitated and dispersed. (Cf. MVŚ explanation in §4.1)

“Breathing long” — When the meditator is at the stage of a fine *citta*, his breathing is long. This is because, as the *citta* becomes fine, the breathing also becomes fine accordingly. Just as in the case of that same person [going uphill]: when being exhausted he comes to rest, the breathing then becomes fine accordingly; at that time, the breathing is long.

“Whole body” — When the meditator is resolute (信解 *adhi-√muc*) that the body is hollow, he sees air going out and in the pores on the body. (Cf. ŚrBh, in §6.)

“Eliminating bodily activities” — Because the meditator has acquired the power of the object-domain and there is peacefulness (安隱 *kṣema*) in his *citta*, the gross breathing ceases. At that time, the meditator has completed the *kāya-smṛtyupasthāna* (身憶處).

“Experiencing joy” — From this *samādhi-dharma*, this person’s *citta* generates great joy. Although there had originally been joy there, he was unable to [experience it] thus; at this time, he is said to be “experiencing joy”.

“Experiencing happiness” — From joy, happiness is generated. This is because, when the *citta* becomes joyful, the body becomes comfortable; when the body is comfortable, there is *prasrabdhi-sukha* (猗樂). As it is said in the *sūtra*, “as a result of joy in the *citta*, there is bodily *prasrabdhi*; when there is bodily *prasrabdhi*, there is the sensation of happiness.”

“Experiencing the *citta-saṃskāra-s*” — He sees the faults of joy in being capable of generating greed. Greed is a mental activity (*citta-saṃskāra*), as it arises from the *citta*. Because there arises greed in sensation, he sees sensation as a mental activity.

“Eliminating *citta-saṃskāra-s*” — The meditator sees the fault that sensation generates greed and that when it is eliminating, the *citta* becomes peaceful (*kṣema*). He also eliminates the gross sensation; hence it is said that he “eliminates *citta-saṃskāra-s*”.

“Experiencing the *citta*”, “gladdening the *citta*”, “concentrating the *citta*”, “liberating the *citta*” — The meditator, as a result of eliminating the [attachment to] the tasteful aspect (味 *āsvādāna*) of sensation, sees the quiescence of the *citta*, being neither sunken (/sluggish *styāna*) nor excited (*auddhatya*). When the *citta* falls back to being sunken, he gladdens it. When it falls back to being excited, he makes it concentrated. When it is apart from the two *dharma-s* (sunken-ness and excitement), he should practise equanimity (捨 *upekṣā*); hence he is said to “liberate the *citta*”.

“[Contemplating] impermanence, abandonment, detachment, cessation” — When the meditator’s *citta* has thus become quiescent and concentrated, he generates the mode of understanding (行[相] *ākāra*) of impermanence. With the mode of understanding of impermanence, he abandons the defilements; this is the mode of understanding of abandonment. Because the defilements are abandoned, the *citta* is detached; this is the mode of understanding of detachment. Because the

citta is detached, he acquires complete cessation; this is the mode of understanding of cessation.

In this way, he sequentially attains liberation. Hence it is called the 16-mode mindfulness of breathing.

5.2. The AVN

The affiliation of AVN does not seem fully settled; but it may be regarded as representing generally a specific subset of the Sautrāntikas who also appear to share certain mainstream Sarvāstivādin doctrines to some extent. Interestingly, in terms of enumeration and terminology, it essentially agrees with *Thera* rather than the broad Sarvāstivāda tradition. However, it does not reflect a change from “he understands” to “he trains”. Moreover, differing from all the other textual traditions, it has “experiencing joy” in IV, “experiencing happiness” in V, and “calming bodily activities” in VI.

6. The ŚrBh

The Śrāvaka-bhūmi is one of the oldest strata of the *Yogācārabhūmi*. Its enumeration agrees essentially with Sarv, particularly in the last tetrad. On the other hand, it differs from Sarv (except SĀ) in having “breathing in long” first. Moreover, differing from all other versions, it has “he trains” throughout the 16 modes.

The commentary begins by stating that the 16-mode *ānāpānasmrṭi* is taken up by a trainee (*śaikṣa*) who has already acquired (“seen”) the Truths — lit.: who have “seen the track, *drṣṭa-pada* (i.e. the Four Truths)”⁹² — and obtained the four *smṛtyupasthāna*-s, but have yet to abandon the *bhāvanā-heya* fetters that still remain.

“Mindful breathing in ... out” — To abandon the remaining fetters, he generates mental application (*manaskāra*) on the in- and out-breathing as cognitive object (*āśvāsapraśvasālambana*).

“Breathing ... long” — When he takes the in- or out-breathing as cognitive object, he trains: “I breathe in/out long.”

“Breathing in short” — When he takes as cognitive object the intermediate in- or out- breathing (*antarāśvāsa*, *antarapraśvāsa*), he trains: “I breathe in/out short.” He observes (*upalakṣayati*) and understands (*jānāti*) in exactly the manner that the in- and out- breathing arise long and that the intermediate in and out breathings arise short.

“Experiencing whole body ...” — He trains thus when he takes as cognitive object the in- and out- breathings through the pores on his whole body and becomes resolute (*adhimucyate*) with regard to them. (Cf. SatŚ, in §5.1)

“Calming the bodily activities ...” — He trains thus at the time when the in-breathing has ceased and the out-breathing does not yet arise, or vice versa, and he takes as cognitive object this state which is devoid of in- and out-breathing (*āśvāsapraśvāsa-sūnyām avasthām*). Moreover, previously the breathing was coarse and hard of sensation because the meditation had not been properly practised; now as a result of the practice it becomes gentle and pleasant of sensation. Hence he trains with this thought.

“Experiencing joy ...” — He trains thus when, practising this meditation, he attains the first or second *dhyāna*.

“Experiencing happiness ...” — He trains thus when he attains the third *dhyāna* wherein joy is separated.

After the third *dhyāna*, there is no more practice of the mindfulness of breathing. Hence the exposition on the practice concerns up to the third *dhyāna*.

“Experiencing mental activities”, “calming mental activities” — To the meditator experiencing joy or happiness, there may at times, owing to temporary loss of mindfulness (*smṛtisampramoṣāt*), arise false ideation of the self and related conceptually proliferated notions accompanied by craving. Thereupon, he is able to understand promptly and become detached from them. In this way, experiencing the mental activities, he trains thus: “calming the mental activities I breathe ...”

“Experiencing the *citta* ...” — One who has obtained the first, second and third *dhyāna* has also necessarily obtained the first neighborhood (*sāmantaka*) meditative attainment.⁹³ With that as support, he reflects on (*pratyaवेक्षते*) his own *citta*: whether it is with greed, separated from greed, with hatred, separated from hatred, focused, dispersed, etc. Thus he trains “experiencing the *citta*”.

“Gladdening ...” — At times, his *citta* comes to be hindered by sloth-torpor (*styāna-middha*) on account of being quiescent within. He thereupon takes whatever cognitive object outside conducive to purity (*prasadanīya*) and inspire⁹⁴ the *citta*.

“Concentrating ...” — At times he sees his *citta* being hindered by excitement (*auddhatya*) on account of being overly distracted externally. He thereupon abides in stillness within. Hence “concentrating the *citta*”.

“Liberating ...” — As a result of diligent and repeated practice, his *citta* becomes purged of the hindrances. Hence, he trains “liberating the *citta* ...”.

“Contemplating impermanence” — Having thus been freed from all the hindrances which hinder the cultivation of the path, there still remain

proclivities (*anuśaya*) to be abandoned. For this, he manifests the path: he reflects properly on the impermanence of the conditioning forces. This is *vipaśyanā* practice following upon the preceding *śamatha* practice.

“Contemplating abandonment ...”, “contemplating detachment ...”, “contemplating cessation ...” — Having thus perfumed/developed (*paribhāvita*) his *citta* by *śamatha* and *vipaśyanā*, he now seeks liberation with regard to the three spheres (*dhātu*): of abandonment (the abandonment of all the *darśana-heya* conditionings), of detachment (the abandonment of all the *bhāvanā-heya* conditionings) and of cessation (the cessation all substratum). He practises *śamatha* and *vipaśyanā* with regard to these three spheres, contemplating them as being calmed (*śānta*), peaceful (*kṣema*) and free from disease (*ārogya*). As a result of repeatedly practising thus, his *citta* comes to be liberated from all remaining *bhāvanā-heya* defilements and he attains *arhat*-hood.

We may note the rationale for the last tetrad. Contemplation on impermanence is necessary for developing *vipaśyanā*. Equipped with this, he is then able to complete the final task of liberation from the threefold *dhātu*-s. This is a distinctive Sarvāstivāda Abhidharma doctrine. The MVŚ states as follows in the context of *śamatha-vipaśyanā* practice:

For those who perfume/develop the *citta* by means of [both] *śamatha* and *vipaśyanā*, they acquire liberation basing on the three types of *dhātu*. What are the three *dhātu*-s? the *prahāṇa-dhātu* (斷界), the *virāga-dhātu* (離界) and the *nirodha-dhātu* (滅界).⁹⁵

7. Summary

7.1. At least in some traditions, *ākāra* in *ṣoḍaśa-ākāra* seems clear enough to refer to a mode of understanding in the meditator. This would tally well with the Sarvāstivāda understanding of *ākāra* as *prajñā*.⁹⁶

7.2. A survey of the various texts above suggests that there are distinctively two broad textual traditions: (i) One, represented by *Thera*, and joined by *Śāri* and AVN, enumerates the sequence, impermanence → detachment → cessation → renunciation. The enumeration in SarvV, DZDL and DSS may be considered a variant of this tradition. In the case of SarvV, its Sarvāstivāda affiliation notwithstanding, the agreement or near-agreement (possibly due to the translators’ erroneous interpretation) here is not surprising since it represents the ancient *vinaya* tradition. (See also §7.3) (ii) The other textual tradition, found in all the other northern texts, represented by Sarv and Yogācāra, enumerates the sequence: impermanence → abandonment → detachment → cessation. The ŚrBh

offers the most elaborate rationale for this latter sequence, linking the last three modes to the Sarvāstivāda doctrine of the three types of *dhātu*.

7.3. Among the northern texts, there are differences pertaining to some details: as to whether the meditator first breathes in or out and whether he first breathes long or short. It is noteworthy that the *sūtra* and *vinaya*, whether *Thera* or northern, all agree that he first breathes in long. This most likely reflects the authenticity of the ancient *sūtra-vinaya* tradition here.

There is also a difference among the various texts concerning the change from “he understands” to “he trains”: Among the northern texts, only *Śāri* agrees with *Thera* in this respect, and in fact in virtually all other respects of terminology and enumeration, with a small variance that it has “breathing out” first. Nearly all other northern texts have “he understands” throughout; ŚrBh alone has “he trains” throughout.

7.4. In the canonical Abhidhamma/Abhidharma texts of the Theravāda and Sarvāstivāda, the 16-mode *ānāpānasmṛti* is not attested, with the interesting exception of the ancient **Śāriputrābhidharma*. It is found extensively in the post-canonical Abhidharma texts and commentaries.

7.5. Following the *sūtra*, the post-canonical Abhidharma texts and *Śāri* explicitly correlate the four tetrads with the four abodes of mindfulness. However, the ŚrBh may be a noteworthy exception, since its explanatory part does not suggest such a correlation. This correlation results in the need to explain away certain difficulties some of which may not be entirely satisfactory. For instance, **VII** should come under *vedanā-smṛtyupasthāna*, but it speaks of “experiencing *citta-samskāra*”, and accordingly the various texts have to offer their interpretations.

7.6. *Thera*, Sarv and ŚrBh, which correlate modes **I–IV** to the attainment of the four *dhyaṇa*-s seek to explain in their respective ways how the practice of *ānāpānasmṛti* is applicable in the 4th *dhyaṇa* where, according to all Buddhist traditions, breathing ceases totally.

7.7. The various texts correlate *śamatha* and *vipaśyanā* with the 16 modes differently. Thus, *Thera* correlate the first three tetrads with both *śamatha* and *vipaśyanā*, and the last exclusively with *vipaśyanā*. On the other hand, ŚrBh speaks of modes **I–XII** as *śamatha*, **XIII** as *vipaśyanā*, and **XIV–XVI** as both *śamatha* and *vipaśyanā*.

7.8. The 16-mode practice is from a certain perspective sequential. But it is at the same time not exclusively a linear process; at any rate a beginner cannot expect to perfect all the 16 aspects in one or two sittings. It is more appropriately understood as a spiral — going round at ever higher and higher levels. This is especially clear from the exposition in DDS

which explains the meditation in terms of the paths of preparatory effort and advancement.

7.9. For one who is the intellectually restless type or who too easily falls prey to conceptual entanglement, *ānāpānasmr̥ti* is the appropriate antidote. But the explanation of the 16-mode meditation in all traditions confirm that at its highest level, it is a complete path of liberation capable of leading to *arhat*-hood.

Abbreviations

- AKB = *Abhidharmakośabhāṣyam*. Ed Pradhan P. 2nd edn (Patna, 1975)
AVN = *Arthaviniścaya-sūtra-nibandhana*. Ed., Samtani, NH. (Patna, 1971)
AVS = **Ārya-vasumitra-saṃgr̥hīta* 尊婆須蜜菩薩所集論 T28, no.1549.
DDS = **Dharmatrāta-dhyāna-sūtra* 達磨多羅禪經 T15, no.618.
DSS = **Dhyāna-samādhi-sūtra* 坐禪三昧經 T15, no. 614.
DZDL = 大智度論 (**Mahāprajñāpāramitopadeśa*) T15, no.1509.
MSV = *Mahāsāṃghika-vinaya* 摩訶僧伽律 T22, no.1425.
MVŚ = *Abhidharma-mahāvibhāṣā* 大毗婆沙論 T27, no.1545.
Ny = **Nyāyānusāra* 順正理論 T29, no.1562.
SĀ = *Samyuktāgama* 雜阿含經 T2, no.99.
Śāri = **Śāriputrābhidharma* 舍利弗阿毗曇論 T28, no.1548.
Sarv = The Sarvāstivāda textual tradition: MVŚ, Ny.
SarV = *Sarvāstivāda Vinaya* 十誦律 T23, no.1435.
SatŚ = **Satyasiddhi-śāstra* 成實論 T32, no.1646.
ŚrBh = *Śāvakabhūmi, the Second Chapter; revised Sanskrit Text and Japanese Translation*. Śrāvakabhūmi Study group, The Institute for Comprehensive Studies of Buddhism (Tokyo, 2007).
Study = Yin Shun, 說一切有部為主論書與論師之研究 (Taipei, 1968).
Thera = The Theravāda/Sthaviravāda textual tradition: Vsm, Vmm.
Vmm = **Vimuktimārga* 解脫道論 T32, no.1648.
Vsm = *The Visuddhimagga of Buddhaghosa*. Ed., Rhys Davids CAF. (London, 1975).

NOTES

(Unless otherwise stated, all references to Pāli texts are those of the Pāli Texts Society editions. All references to Chinese *Tripitaka* texts are those of the Taisho edition.)

¹ 本事經 T17, no.765, 667c.

² Cf. *Samyutta-nikāya*, v.326; SĀ, T2, 207a–b.

³ MVŚ, 136a.

⁴ MVŚ, 136c–137a.

⁵ E.g., *Chu Yao Jing* (出曜經), T4, 698b; The *sutta*-s and the *āgama*-s do not seem to speak of the twofold *amṛta-dvāra* in this manner, but the notion of the *dhyāna*-s leading finally to *Nirvāṇa* as *amṛtadvāra* is attested in SĀ (E.g, T no.99, 219c)

⁶ E.g., SĀ, 139b; AVS, 806a; MVŚ, 944a; Śāri, 554a; etc.

⁷ AKB, 341.

⁸ MVŚ, 933c.

⁹ *Ekottarāgama* T2, no.125, 581c.

¹⁰ T28, 908b.

¹¹ Sukhla, K, ed., *Śrāvakahūmi*, 202: *tatra carita-viśodhanam ālambanam katamat | tad yathā aśubhā mairī | idaṃ pratyayatā-pratīyasamutpādaḥ | dhātu-prabhedaḥ | ānāpānasmr̥tis ca |* The subsequent discussion specifies the character types to be counteracted — 204: *rāga-carita*; 210: *vyāpāda-carita*, *moha-carita*; 218: *māna-carita*; 237: *vitarka-carita*. Cf. *Abhidharmasamuccaya*, ed., Lévi, S, 81: *caritaviśodhanā lāmbanam pañcavidham | bhūyorāga-caritānām aśubha-viṣayālambanam | bhūyodveṣa-caritānām karuṇā-bhāvanā-viṣayālambanam | bhūyomoha-caritānām nikāya-pratyayatā-pratīyasamutpāda-viṣayālambanam | mada-māna-caritānām dhātu-prabheda-viṣayālambanam |*

¹² Wogihara, U, *Bodhisattva-bhūmi*, 110: *cittam ... indriyaṃ ... āśayaṃ ... anuśayaṃ paryeṣya yathāyogaṃ yathā'rham eva vicitreṣv avatāra-mukheṣv avatārayati ... aśubhayā ... mairiyā ... idaṃ-pratyayatā-pratīya-samutpādena ... dhātu-prabhedena ... ānāpānasmr̥tyā yathā-yogaṃ yath'rham avatāra-mukheṣv avatārya ...*

¹³ Cf. the discussion by Sakurabe, H, in 'On the *wu-t'ing hsin kuan*' in *Indianisme et Bouddhisme — Mélanges offerts à Mgr Étienne Lamotte* (Louvain-la-Neuve, 1980), 307 ff. Although these meditations are described by this Sanskrit term, it seems to be used more generically, referring to various types of portals of entry in spiritual praxis other than just meditations (Cf, *Yogācārabhūmi* 瑜伽師地論, T30, 504b, 462c, 571b, etc.).

¹⁴ *Paramattha-mañjūsā*, 257.

¹⁵ *Majjhima-nikāya*, vol. III, 82 f; Vsm, 267. In the Vmm, the enumeration on p.429c seems slightly corrupted, missing out III, IV and IX; but in the explanations on p. 430a–431b, all the 16 modes are given in the same order as in other Theravāda versions.

¹⁶ T28, no.1548, 707c–710a.

¹⁷ T2, no.99, 208a–b, also, 206a–b.

¹⁸ T2, 206a: 念於內息，繫念善學；念於外息，繫念善學。 Also: T2, 208a: 如入息念學 ... 如入息念學 . Although the Chinese translation here is in the indirect speech (which is reflected in my translation), the word 如 ('thus') could suggest an *iti*, and the original could therefore have been in the direct speech, like in the Pali, AVN and ŚrBh. This same remark applies to the description in other subsequent 16 modes.

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- ¹⁹ T22, 254c–255a. Same enumeration in the *Mūlasarvāstivāda-vinaya-bhaisajyavastu* (T24, no.1448, 32c–33a).
- ²⁰ T22, 254c: 心慧力明繫在息。
- ²¹ This includes MVŚ and Ny. MVŚ, 136a–c. Similar description in AVS,750b–751b, notably, like MVŚ, mode I is “breathing short”, mode II, “breathing long”. Ny, 675a (Also, T29, no.1563, 919c).
Samghabhadra says that *ānāpāna-smṛti* is seventeen-fold; this first statement represents the meditation as a whole (總觀), and the subsequent 16 modes constitute the specific details of the meditation (差別觀).”In terms of the 4 *smṛtyupasthāna*-s each of which having 4 perspectives, [*ānāpāna-smṛti*] comes to be sixteen-fold.”
- ²² This first statement is explicitly said to be a general description (總), in contrast be the descriptions in all the other 16 modes that follow. (MVŚ, 136b). See also below, the similar remarks by Samghabhadra and author of AVN.
- ²³ Like Samghabhadra (See below), the author (AVN, 235) also says that this is a general statement applying to every aspect of breathing: *smṛta āśvasan smṛta āśvasāmīti yathābhūtaṃ prajānāti | smṛtaḥ praśvasan smṛtaḥ praśvasāmīti yathābhūtaṃ prajānāti y uddesaḥ | sarvāśvasapraśvasānāṃ sāmānyopalakṣaṇākāratvāt |*
- ²⁴ *Śrāvakabhūmi in the Second Chapter*, ed., Śrāvakabhūmi Study Group, The Institute for Comprehensive Studies of Buddhism (Tokyo, 2007), 94 ff (Cf. Shukla, K, ed., *Śrāvaka bhūmi of Ācārya Asaṅga*, 229 ff.
- ²⁵ 如比丘出息長，知出息長。The last part could be understood either in the direct or indirect speech. My choice is influenced by the Pāli and other versions.
- ²⁶ The phrase “trains properly” begins the whole enumeration. See Chinese in note 18 above.
- ²⁷ T15, no.618, 302a–b.
- ²⁸ The text has 出息入息 at the end of the enumeration. As for “long” and “short”, the beginning line of the enumeration stanzas reads: “One discerns whether it is long or short” (長短悉分別). Cf. also 310a: “First long and then short” (先長而後短); there, the author also justifies why it is so (310a–b).
- ²⁹ T32, 355c–356c.
- ³⁰ Although at the beginning of the enumeration, it gives “Mindful breathing out and in long or short”, in the commentary that follows immediately after the enumeration, it clearly speaks of first breathing in short in the grosser state of thought, then long in the finer state of thought. See explanations below.
- ³¹ *dīrgham āśvasan dīrgham āśvasāmīti yathābhūtaṃ prajānāti |*
- ³² We suddenly have “in” first and then “out” in this step.
- ³³ See *Buddhist Chinese Sanskrit Dictionary* 佛教漢梵大辭典, ed. Hirakawa, A, #4007.
- ³⁴ This Chinese character also translates *prati-pra-ṅsrambh*.
- ³⁵ For the last part of the description of these last 4 modes, I have here followed the SĀ version at 206b which is more consistent in the rendering.
- ³⁶ The Chinese is slightly abbreviated for these last 4 modes: 我已隨觀無常斷離減入出息，了知我已隨觀無常斷離減入出息。
- ³⁷ Also so understood by translator of **Vimuktimārga*: 出離 (T32, 431b). The *Sarvāstivāda Vinaya* (十誦律, T23, no.1435, 8b) too has *pratinihsarga*: 捨離 in this 16th mode; likewise, the **Mahāprajñāpāramitopadeśa* (T25, 138a): 棄捨.
- ³⁸ T2, 206b: 觀察減入息，於觀察減入息善學 ... (Lit: “Breathing in contemplating cessation, he trains properly in breathing in contemplating cessation).
- ³⁹ E.g.: A comparison with all other Indian texts suggests that both 受 (in 受喜), etc., and 覺 (in 覺心) should be rendering corresponding to *pratisamvedin*.

- ⁴⁰ The four are: Puṇyātāra, Kumārajīva, Dharmaruci and Vimalākṣa. The whole period spanned from 404 A.D. to 409 A.D. See Hirakawa, A, *A Study of the Vinaya-piṭaka* 律藏の研究(Tokyo, 1970), 121 ff.
- ⁴¹ 十誦律 T23, 8a–b.
- ⁴² Lamotte, E, gives *vyaya* for the corresponding item, 散壞, in DZDL. *Le Traité de la Grande Vertu de Sagesse*, Tome II, (Louvain, 1949), 642.
- ⁴³ It distinctively speaks of “Breathing in” as the “first aspect”: 初入息分.
- ⁴⁴ There is also possible textual corruption with regard to “experiencing joy” (受喜) which occurs both before and after the words “completed *kāya-smṛtyupasthāna* ...” (身念止 ... 竟): 心受喜, 亦念息入出。... 復次入身念止中竟, 次行痛念止。已得身念止, 實今更得痛念止實受喜 ... 今欲知心數法實相; 是故受喜, 亦念息入出。
- ⁴⁵ Vmm, 430c: 如是學者, 謂三學。一增上戒學, 二增上心學, 三增上慧學。如實戒, 此謂增上戒學; 如實定, 此謂增上心學; 如實慧, 此謂增上慧學。彼坐禪人, 此三學, 於彼事, 以念作意學之; 修已多修。此謂學之。 Cf. Vsm, 274: *tattha sikkhātī ti ... yo tathābhūtaṃ saṃvaro ayam ettha adhisīlasikkhā | yo tathābhūtaṃ samādhiyam adhicitasikkhā | yo tathābhūtaṃ paññāyam adhipaññāsikkhā ti imā tisso sikkhāyo tasmim ārammaṇe tāya satiyā tena manasikārena sikkhati | āsevati bhāveti bahulīkarotī ti |*
- ⁴⁶ T32, 449b: 從有分心, 轉見心, 所受心, 分別心, 令起心, 速心, 彼事心。 ...
- ⁴⁷ T32, 431a: 問曰: 若無餘滅出入息, 云何修行念安般? 答曰: 善取初相故, 以滅出入息其相得起, 成修行相。何以故? 諸禪相。 Cf. Vsm, 277 is more elaborate, citing the *Paṭisambhidāmagga* (i, 184–6): *paṭhamaṃ oḷārikā assāsapassāsā pavattanti | oḷārikānaṃ assāsapassāsānaṃ nimittam suggahitattā sumanasikatattā sūpadhāritattā niruddhe pi oḷārike assāsapassāsā aṭṭha pacchā sukhumakā assāsapassāsā pavattanti | sukhumakānaṃ assāsapassāsānaṃ pi nimittam suggahitattā sumanasikatattā sūpadhāritattā niruddhe pi sukhumake assāsapassāsā aṭṭha pacchā sukhumakānaṃ assāsapassāsānaṃ nimittārammaṇatā pi cittaṃ na vikkhepaṃ gacchati | ...*
- ⁴⁸ Cf. Vsm, 287: *sappīṭike dve jhāne samāpajjati ...; 288: tiṇṇaṃ jhānaṃ vasena sukhapaṭisaṃveditā | catunnam pi vasena cittasankhārapaṭisaṃveditā veditabbā | (op. cit., 185 f).*
- ⁴⁹ Vmm, 431a, 431b.
- ⁵⁰ Vsm, 277; Vmm, 431b.
- ⁵¹ *Majjhima-nikāya*, iii, 83 ff; SĀ, T2, 208a–c.
- ⁵² I intend to deal with this topic in a separate discussion.
- ⁵³ Vsm, 289.
- ⁵⁴ T32, 431a.
- ⁵⁵ Vsm, 291: *idaṃ catutthacatukkaṃ suddhaviṇṇaṇā vasaṇ'eva vuttaṃ | purimāni pana tīni samatha-viṇṇaṇā vasaṇa |* Vmm, 431b: 初十二處成沙摩他; 見初無常, 後四處成毘婆舍那。
- ⁵⁶ See Yin Shun, *Study*, 20 ff.
- ⁵⁷ Another well known doctrine which they share is that of the original purity of the *citta*.
- ⁵⁸ On the Chinese rendering of *ānāpāna-smṛti* as 出入息 (‘out- and in-breathing’), rather than 入出息 (‘in- and out-breathing’) in 修行道地經 (T no. 606) and many other Chinese translations, Paul Demiéville believes that it is due to the ancient Chinese mentality being influenced by the *Yin-Yang* (陰陽) notion. (Demiéville, P, ‘La *Yogācārabhūmi* de Saṅgharakṣa’, in *Bulletin de l'école Française d'extrême-orient*. 1954, Tome XLIV, Fas. 2, 414, n. 4). But we may note that Buddhaghosa already pointed out the opposite interpretation by the ancient *sutta* and *vinaya* traditions. (Vsm, 272)

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- ⁵⁹ Cf. Vsm, 275: *tattha pubbe vuttanayen' eva purimassa purimassa pacchimena pacchimena paṭṭipassaddhi veditabbā | evam ettha oḷārikasukkumatā ca passaddhi ca veditabbā |*
- ⁶⁰ T28, 706b.
- ⁶¹ T28, 707c–708a.
- ⁶² T28, 709a–b: 解脫，謂心向彼、尊上彼、傾向彼；以彼解脫，是名解脫。
- ⁶³ T28, 709a–b.
- ⁶⁴ AVS, 750c.
- ⁶⁵ T24, 32c.
- ⁶⁶ So also the **Satyasiddhi-sāstra* (成實論), T32, 355c. The **Ārya-vasumitra-saṃgrhīta* (尊婆須蜜菩薩所集論 T28, no. 1549, 750c) also seems to agree with the other Sarvāstivāda texts: 起若干相觀無常想觀出入息常觀滅盡除愛結使永盡無餘。觀無欲觀愛盡觀諸使盡。復作是說。觀無常觀身無常。觀盡觀無明盡。觀無欲觀有愛盡。觀盡有餘觀有餘無餘涅槃果盡。
- ⁶⁷ MVŚ, 136b–c. So also **Ārya-vasumitra-saṃgrhīta*, 750b ff.
- ⁶⁸ T29, 675a: 有餘師說：若具六相遠離三失，或若具足修十六種殊勝行相，齊此應說持息念成。
- ⁶⁹ Ny, 673b.
- ⁷⁰ Saṃghabhadra here cites Vasumitra's explanation (See MVŚ, 132b).
- ⁷¹ Ny, 675a: 應作是說 **evam vaktavyam*.
- ⁷² Earlier on (Ny, 673c) in the same context of discussing *ānāpāna-smṛti*, Saṃghabhadra himself has also said that it is accomplished when endowed with these six reasons (*ṣaṭkāraṇa*).
- ⁷³ Ny, 675a.
- ⁷⁴ Cf. Eijima, Y, *Abhidharmakośabhāṣya of Vasubandhu, Chapter I: Dhātunirdeśa* (Tokyo, 1989), *jighatsā bhōjanābhilāṣakṛt | pipāsā pānābhilāṣakṛt | kāraṇe kāryopacārāt |*
- ⁷⁵ T29, 675a–b.
- ⁷⁶ Yin Shun (*Study*, 622 f) argues that this title is most inappropriate, since the *dhyaṇa* methods taught in this text are those transmitted by Puṇyamitra's pupil, 富若羅 (*Puṇyala?). It is known by other titles, including *Yogācārabhūmi* (庾伽遮羅浮迷), 修行方便禪經 (*Dhyaṇa-sūtra on Methods of Practice*), *Outline of Yoga* (庾伽三摩斯 **Yoga-samāsa*, also translated as 修行略), etc.
- ⁷⁷ E.g. See explanations concerning the *dhyaṇa* in MVŚ, 823c, AKB, 445.
- ⁷⁸ 方便道安般念決定分。
- ⁷⁹ 非所應 *ayuktam*.
- ⁸⁰ 覺想。These two Chinese characters sometimes together stand for just *vitarka* alone; but here the bases are in plural: 諸所依。
- ⁸¹ T15, 309c–310b. I have here reproduced each line of the stanzas faithfully.
- ⁸² T15, 310b: 如是十六分，悉名為決定。
- ⁸³ T15, 310b. The significance of this *samādhi* is less than obvious. The *maṇi* generally symbolizes purity, impeccability; the name of this *samādhi* therefore possibly signifies the state of purity of the *dhyaṇa* attained at this final stage. On the other hand, this text at times exhibits traces of tantric elements or at least employs terminologies which are suggestive of such elements (see *Study*, 630 ff), and this name could also possibly be such an instance.
- ⁸⁴ T15, 310c.
- ⁸⁵ T15, 310c ff; the progressive contemplation on the 16 aspects of the Four Truths is mentioned on 313b.
- ⁸⁶ T15, 313a–c.

⁸⁷ T15, 313c–312a.

⁸⁸ Cf. AKB, 346.

⁸⁹ T15, 314a.

⁹⁰ The *Biography of Harivarman* (T55, 78c) tells us that he had studied Mahāyāna doctrines under a Mahāsāṃghika monk at Pāṭaliputra.

⁹¹ T32, 356b.

⁹² Cf. MVŚ, 553c.

⁹³ i.e., the *anāgama*.

⁹⁴ The text here has the stock expression: *saṃdarśayati*, *samādāpayati*, *samuttejayati*, *saṃpraharṣayati*.

⁹⁵ MVŚ, 148a.

⁹⁶ See Dhammajoti K, ‘*Ākāra* and Direct Perception: Vaibhāṣika versus Sautrāntika’, in *Buddhist Studies (Bukkyō Kenkyū)*, Vol. XXXV, 1 ff. (Hamamatsu, 2007).