THE EXPERIENCE OF KNOWING:
ILLUSION AND ILLUMINATION IN THE ZHUANGZI AND
THE PLATFORM SŪTRA

by

Wayne Gary Kreger

B.A. Honours, The University of Saskatchewan, 2004

A THESIS SUBMITTED IN PARTIAL FULLFILLMENT OF
THE REQUIREMENTS FOR THE DEGREE OF
MASTER OF ARTS

in

The Faculty of Graduate Studies
(Asian Studies)

THE UNIVERSITY OF BRITISH COLUMBIA
(Vancouver)

July 2010

© Wayne Gary Kreger, 2010
ABSTRACT

This paper aims to compare and contrast the concepts of “delusion” and “knowledge” as found in the Inner Chapters of the Zhuangzi and the Platform Sūtra. Employed in this analysis is the methodology of conceptual metaphor analysis, a method that identifies the source domain for metaphors employed in the dissemination of both doctrine and mystical experience. By acknowledging their metaphorical entailments, such metaphors can be used to more clearly elucidate the meaning of said disseminations. Ultimately I will argue that both works exhibit a similar conception of the afflictions of “non-enlightened” persons and the cognitive abilities of “enlightened” persons, though they arrive at different conclusions regarding the source of these abilities.

Part one of this paper will introduce the methodology of conceptual metaphor analysis as developed by Lakoff and Johnson, and will illustrate the ways this methodology can serve the pursuit of studies in comparative religion. Following this background information relevant to the interpretation of both the Zhuangzi and the Platform Sūtra will be given. Part two investigates the metaphors and “realization” moments found in the Zhuangzi. Part three uses similar methodology to analyze the Platform Sūtra. The final part compares and contrasts the two works.
# TABLE OF CONTENTS

Abstract.......................................................................................................................... ii
Table of Contents........................................................................................................... iii
Acknowledgements....................................................................................................... iv
I Introduction.................................................................................................................. 1
  I.I Introduction......................................................................................................... 1
  I.II The Zhuangzi..................................................................................................... 1
  I.III Integrity of the Text.......................................................................................... 2
  I.IV Guo Xiang and Xuanxue............................................................................... 4
  I.V Cheng Xuanying and Chongxuan............................................................... 5
  I.VI Translation and Edition.................................................................................... 6
  I.VII The Platform Sūtra....................................................................................... 6
  I.VIII Origins of the Platform Sūtra.................................................................. 7
  I.IX Polemics and Crisis in Early Chan Buddhism........................................ 10
  I.X Content of the Platform Sūtra........................................................................ 12
  I.XI Translation and Edition................................................................................ 12
  I.XII The Zhuangzi and the Platform Sūtra Together...................................... 13
  I.XIII Methodology............................................................................................. 14
II Zhuangzi..................................................................................................................... 19
  II.I DREAMS AS IGNORANCE in the Zhuangzi.............................................. 19
  II.II The Great Awakening.................................................................................. 19
  II.III Discussion of Mengsun............................................................................... 21
  II.IV The Butterfly Dream.................................................................................... 24
  II.V Existing Scholarship..................................................................................... 24
  II.VI Metaphor: DREAMS AS IGNORANCE...................................................... 28
  II.VII HEART-MIND (心) AS MIRROR in the Zhuangzi................................. 31
  II.VIII Using Xin Like a Mirror.......................................................................... 32
  II.IX The Advice of Shen Tujia........................................................................... 33
  II.X Existing Scholarship..................................................................................... 35
  II.XI ILLUMINATION AS KNOWING Metaphors in the Zhuangzi................. 37
  II.XII Using Illumination.................................................................................... 38
  II.XIII Existing Scholarship................................................................................ 40
  II.XIV Metaphor: KNOWLEDGE AS ILLUMINATION.................................. 42
  II.XV Yan Hui's Fasting of the Mind................................................................. 44
  II.XVI Yan Hui's Forgetting.............................................................................. 46
  II.XVII Liezi's Realization................................................................................... 48
III Platform Sūtra.......................................................................................................... 51
  III.I Awakening in the Platform Sūtra............................................................... 51
  III.II Knowing in the Platform Sūtra................................................................... 52
  III.III “Encounter Dialogue” in the Platform Sūtra...................................... 59
IV Conclusion.............................................................................................................. 63
Works Cited................................................................................................................... 66
ACKNOWLEDGEMENTS

I would like to acknowledge foremost the support and encouragement of my entire family, especially my parents Gary and Mil, my grandmother Helen, and my aunt Gloria and uncle Greg. I am also grateful to the many excellent professors I have had over the course of my education, in particular my thesis committee. Finally, I owe a great deal to my friends and fellow students, especially my friend Matt Hamm, who provided help unceasingly throughout the entire course of my preparation and writing.
I Introduction

I.I Introduction

The *Zhuangzi* makes extensive use of metaphors to convey a picture of reality distinct from that presented by other texts from the Warring States period. These metaphors give us a greater insight into what the author of the Inner Chapters of the *Zhuangzi* wanted to explain to his readers. The picture to be examined here is that of illusion and illumination; that is, wrong understandings of the world and correct ones. The *Zhuangzi* uses the metaphor of “dreaming” to indicate those who are wrong about the nature of reality, and employs metaphors of “mirrors” and “light” to give a picture, using optical metaphors, of what “seeing” reality is like. The text also presents us with fictionalized dialogues, which show the reader the process of going from not-knowing to knowing.

As the first steps in a comparative project it is fruitful to examine parallel metaphors in the *Platform Sūtra*, a critical text in the Chan Buddhist tradition. This text employs the mirror and light metaphors when discussing the experience of knowing reality, and maintains one of the common metaphors in Buddhism for having understanding - awakening - while lacking the equivalent “dreaming” metaphor as found in the *Zhuangzi*. As well, the process in the *Platform Sūtra* is presented as much quicker than in the Daoist text.

Using the tools of conceptual metaphor analysis, along with a close reading of the texts, one sees that the *Zhuangzi* and the *Platform Sūtra* are closely associated with one another, though with different approaches to illusion and illumination.

I.II The *Zhuangzi*

The *Zhuangzi*, when read in the context of its time, presents us with what was a shocking alternative to prevailing wisdom. The complex social negotiations and pageantry of Confucian ritual is, in the text, at best ignored and at worst deplored, and the revered sage Confucius becomes a puppet for
the author, praising the very people the followers of Confucius would condemn. The followers of Mozi, advocating for a society that relies on language to get clear about what is right and wrong, are explicitly singled out and their errors are identified, and their entire project is deemed untenable. While the Zhuangzi is often grouped with the Laozi as “Daoist” texts, elements of the former stand in stark contrast to the general message of the latter - that the best recourse for humanity is to revert to a more primitive state, especially in terms of social organization.¹ Instead we find that many of the Zhuangzi chapters, even beyond the Inner Chapters, suggest that an individual can function within society. The Zhuangzi is an anomaly amongst Warring States writings, and as such does not neatly fit into any of the lineages known to exist at that time.

I.III Integrity of the Text

We can be somewhat certain that the Zhuangzi as we have it is not the work of one hand. The cacophony of voices within those pages suggest several authors, offering related but competing ideas. Both the work of A.C. Graham (Chuang Tzu: The Inner Chapters, 2001) and Liu Xiaogan (Classifying the Zhuangzi Chapters, 1994) are attempts to bring some degree of order to the collection set before us in the text. Although different conclusions are reached regarding the classification of various portions of the Inner, Outer, and Miscellaneous parts of the text, enough consensus is reached for us to proceed with a fair degree of confidence in this current project. This scholarly consensus regarding the Inner Chapters allows us to consider them as whole, consistent in their presentation and content. Consequently we know that there is still a congruent soteriological picture, though various metaphors are used.

Graham suggests that the book demonstrates five kinds of voices: that of “Zhuangzi” himself², a school of Zhuangzi followers (or the “School of Zhuangzi”), Syncretist writers (something in the style

¹ While there are “primitivist” chapters in the Zhuangzi, these do not seem to be fully compatible with the Inner Chapters in terms of their approaches to the ideal structure of society.
² This is only meant to indicate a single author from whom later authors drew inspiration, who we will subsequently refer to as Zhuangzi.
of late Warring States compositions such as *Lüshi Chunqiu* (呂氏春秋), Primitivist writers (akin to the *Laozi*), and the Yangist writers (drawing inspiration from the Warring States thinker Yang Zhu, who advocated a doctrine of preservation of the physical body).³ Graham suggests that the final three, the Syncretists, Primitivists, and Yangists, are not “Daoists” in the same way Zhuangzi and his followers can be thought to be.⁴ Liu's work on the subject offers a different perspective on the matter. He also identifies an author that can be called “Zhuangzi”, as well as writers he classifies as “Transmitters” (similar to Graham's “School of Zhuangzi”), “Huang-Lao” (like Graham's “Syncretists”), “Anarchists” (roughly the same as Graham's “Yangists” and “Primitivists”)⁵. Liu sees almost all of these writers⁶ as essentially “Daoist”, in that they are followers of Zhuangzi. While Graham and Liu differ to a substantial degree in their opinions regarding the authorship of the text, their thought is more harmonious when turning to the authorship of the Inner Chapters: though Graham sees these seven chapters as partially altered, both conclude that they are for the most part the work of a single hand - namely, the author we refer to as Zhuangzi.

It is because of this scholarly consensus that I have elected only to use the Inner Chapters in my investigation. My aim is to, as much as possible, investigate the thought of this single author – this is perhaps the best way to ensure one is being presented with a consistent ideology. I recognize that this is likely an impossible goal, as any certainty about the authorship is obscured by the passage of time and the work of editorial hands. I am also concerned that because of this lengthy passage of time some of the meaning the original author had hoped to convey in the text may have been lost over successive generations. It is indeed the conclusion of all translators of the *Zhuangzi* that we can never be fully sure of what was meant. It is due to this constraint that a translator and interpreter must turn to the

---

⁴ Graham, 1981, 199, 257.
⁵ Liu, p. x-xii; 148-151.
⁶ With the possible exception of the author of Chapter 30 (Liu, p. xii).
commentarial tradition, and employ the insights of other great thinkers, such as Guo Xiang and Cheng Xuanying, when investigating the text.

I.IV Guo Xiang and Xuanxue

Guo Xiang 郭象 (252-312 CE) edited the Zhuangzi text and presented us with the three major divisions (the Inner Chapters, Outer Chapters, and Miscellaneous Chapters) that we have today, as well as removing chapters he considered not worthy of the work as a whole. As such, we must consider seriously his approach to the text, which was rooted in the system of thought known as xuanxue 玄學, or “profound learning”, which focused on the nature of being.

The xuanxue movement of the Han dynasty faced the task of reconciling an interest in Daoist spontaneity and Confucian morality. This is the intellectual environment in which Guo Xiang found himself, and it is in this environment that he posited his theory of traces (ji 跡), where the morality and institutions of Confucian thought are the imitations of spontaneous sages. It is because of this that in his commentaries Guo Xiang stresses the natural order of human hierarchies, and does not insist that the sage remove himself from society. He advocates a for a position that suggests all things in the world are as they are meant to be. It is best that we keep his perspective and agenda in mind when utilizing his commentary on the Zhuangzi. Indeed, as he is the editor of the received edition and thus the filter by which chapters were saved or discarded, it is prudent that we are mindful of Guo Xiang's thought in any reading of the Zhuangzi.

7 There is speculation that Guo actually plagiarized the earlier work of Xiang Xiu 向秀 (Ziporyn, 2003, p. 25). It is not my intention to enter into or speculate upon this debate. If Xiang Xiu is indeed the true author of the Guo commentary, I submit one can mentally replace any occurrence of “Guo Xiang” with “Xiang Xiu”, and the content of this analysis remains essentially the same. It is the ideas that I am concerned with, and not the name of the writer of these ideas.
9 Ziporyn (2003,) p. 23.
10 Ziporyn (2003), p. 31-32.
11 Ibid. 34.
12 Kohn (1992), p 76.
I.V Cheng Xuanying and Chongxuan

Cheng Xuanying 成玄英 (circa 600 – circa 660 CE) was an eminent Daoist thinker of the Tang dynasty, invited by the emperor to serve in the imperial court in religious functions\textsuperscript{14}. There he often came up against Mahāyāna Buddhist thought, which at this time possessed significant influence amongst the intellectual and political elite. It was this tradition that influenced the chongxuan 重玄 thinkers, which adapted for Daoist thought the Madhyamaka concept of four levels of truth: the affirmation of being, the affirmation of non-being, the affirmation of both being and non-being, and the negation of both being and non-being\textsuperscript{15}. Cheng's thought in particular held that reaching a state of oblivion is important, attained through first discarding the conventional mind in favour of no-mind, and then discarding this no-mind in favour of neither mind nor no-mind\textsuperscript{16}.

In the commentaries of Cheng Xuanying we find an emphasis on “emptiness” and “forgetting”. The idea of “making empty” exists in the main text of the Zhuangzi, and thus is fertile ground for comparison with Mahāyāna Buddhist thought, with its preoccupation with the idea of śunyata, or the inherent emptiness of all phenomena – a concept with which Cheng was no doubt familiar. “Forgetting” here is in reference to the chongxuan focus on “unlearning”, and returning to a primordial, chaotic state of unselfconsciousness. Cheng's work is particularly interesting because of its temporal proximity to the writing of the Platform Sūtra. There is the tantalizing possibility that Cheng Xuanying and the author(s) of the Platform Sūtra drew upon a shared cultural and intellectual climate, and as such reading one can help us learn more about the meaning of the other.

\textsuperscript{14} Ibid. p. 140.
\textsuperscript{15} Kohn (1991), p. 192. This identification with Madhyamaka has been proposed by Livia Kohn; however, it has been suggested by Jessica Main that the “four options” is perhaps in this case more accurately associated with the Chinese Tiantai school.
\textsuperscript{16} Kohn, 1992; p. 142-144.
I.VI Translation and Edition

Burton Watson, in his forward to the edition of Zhuangzi essays edited by Mair (1983), vividly describes an image of Zhuangzi as “cackling away” at any attempt to write about the author or the text. He goes on to highlight the difficulties in translating the text - and as arduous as the task is, it is not without its rewards.

My own experience in trying to render the Classical Chinese of Zhuangzi into English has been as harrowing. In this project I have opted to give my own translation, but I have always used the translations of Burton Watson, A.C. Graham and Brook Ziporyn as general guidelines and, in some cases, as reminders that even experienced translators find the Zhuangzi text opaque in some places. I have chosen these three for what I perceive to be their strengths: I find the work of Watson to be the most clear, while I find the work of Graham to be better annotated and somewhat more philosophical. I have chosen to include the relatively recent insights of Brook Ziporyn due to his willingness to be adventurous and bold in his translation. While I (along with Watson and Graham) often disagree with his choices, I nonetheless feel that his willingness to take risks can serve as an impetus for new speculation on the text.

I.VII The Platform Sūtra

The Platform Sūtra is fascinating as a central text of the Chan Buddhist tradition; that is, it is a central text of a tradition that commonly describes itself as eschewing texts. It has traditionally been interpreted as a polemical text, propounding the superiority of the so-called “Southern School” of Huineng over the “Northern School” of Shenxiu. Its adoption as a key Chan text has established Huineng as a critical member of the Chan lineage, while marginalizing Shenxiu. Archaeological evidence in the form of the Dunhuang findings have made an impact on this traditional account, and

---

18 This is not to suggest that this self-description is historically tenable.
have shown that the *Platform Sūtra* has a more complex history and meaning than previously recognized.

### I.VIII Origins of the *Platform Sūtra*

The *Platform Sūtra* is of interest because it presents us with an authentic snapshot of religious history: it can be called authentic because of its long being hidden in the Dunhuang site, and it can be called a snapshot because from our current temporal vantage point it is clearly a transitional document. The Dunhuang version is certainly not the original document, nor is it the received version of the *Platform Sūtra*. For these reasons it presents us with a glimpse of the religious climate of the period, unfiltered by revisions (at least, revisions that occurred after the sealing of the Dunhuang site around the end of the first millennium CE).

My decision to investigate the Dunhuang version of the *Platform Sūtra* is inspired by these facts. The received version of the *Platform Sūtra* is undoubtedly a fascinating and important document in its own right; however, for this project I am interested in avoiding the number of revisional voices and editorial interpolations found in the received version. I acknowledge that this is, of course, an impossible task to achieve completely: the Dunhuang *Platform Sūtra* is not the original document, and, as will be discussed below, has been subject to revision and expansion. Nevertheless, it differs enough from the received version of the text that it can be considered a unique window into the history of Chan Buddhism, in that it captures an ongoing and, at that time unresolved, debate.

The *sūtra* is purported to be a recording of the words of Huineng 惠能 as recorded by his disciple Fahai 法海.\(^1\) Philip Yampolsky notes that, beyond the *Platform Sūtra*, we have no evidence of Fahai's existence, let alone his association with Huineng or serving in any capacity as a recorder of sermons.\(^2\) Textual analysis indicates that the references to Fahai are almost certainly later additions to

---

1. This assertion is made in both the title and sections 45, 55, and likely 57 (in an indirect reference) of the text.
2. Yampolsky, p. 64.
Most scholars thus conclude that the true authorship of the original document is ultimately unknown, though they do rule out the possibility that the text is indeed a reliable record of an actual sermon given by Huineng.

As the text itself offers us no reliable answers to the question of authorship (which is critical in establishing a consistent worldview), we must rely on clues in the text in our quest to establish an origin and affiliation for the *Platform Sūtra*. At present there are plausible theories linking this work to the Oxhead Mountain Buddhist communities, suggesting they had a hand in the text's composition and subsequent revisions.

Yampolsky cites FUJIEDA Akira's assessment of the calligraphic style of the Dunhuang text as indicating a date between 830 and 860 as its time of recording, placing it approximately a little over a century after the rough date of death assigned to Huineng (713 CE). This is of course not the original text, but instead a copy of an existing text, and thus susceptible to revision and error. We can imagine that the text must have been in circulation for a considerable degree of time before this copy was made, as it was deemed important enough to have been both read and added to. John McRae suggests that the original work was composed around 780 CE.

The *sūtra* can be divided roughly into two sections: the sermon, which includes the famous biography of Huineng, and the material that follows the sermon. Yampolsky asserts that the first section can be reliably attributed to Shenhui's later followers (for convenience sake also referred to as the “Southern School”), with the second portion being added later, in increments, alongside revisions being made on the original text. He cites the roughly contemporaneous inscription of Wei Chuhou 南造厚 as evidence for an association with Shenhui and his school. The inscription is vague, but seems to link...
the *Platform Sūtra* with Shenhui. Yampolsky admits that this at best speculative.\(^\text{26}\)

Heinrich Dumoulin and John McRae approach the problem from different perspectives with different lines of evidence, but arrive at similar conclusions. Dumoulin follows the work of YANAGIDA Seizan in reconstructing a history of the text, using evidence from within the work itself, ultimately finding much of its critical composition in the Oxhead School of Chan. Dumoulin demonstrates that YANAGIDA identifies the important role of the “formless precepts” (*wu xiang jie* 無相戒), a concept not present in any of the works attributed to Shenhui, which are concerned primarily with ethical instruction.\(^\text{27}\) The “formless precepts” were a metaphysical doctrine, closely associated with the Oxhead School that was rising in prominence around the time of Shenhui’s death. The suggestion follows that the non-sermon parts of the text pre-date the sermon and biography, and are in fact a product of the Oxhead School. Later, in a move calculated to undermine the Oxhead School, the Shenhui school adopted the text, but added the biography of Huineng and other material.\(^\text{28}\) This alone is compelling, but further evidence is offered: despite there being no further mention of Fahai in Southern School circles, there is an Oxhead School figure named Fahai. YANAGIDA suggests it may have been this Fahai that composed or recorded the portions of the text that find their origin in the Oxhead School. His association with Huineng was then a manufactured relationship, designed to further the aims of Shenhui’s school. As well, Yampolsky asserts that the list of patriarchs found in the Dunhuang *Platform Sūtra* follows that of the Oxhead School and not that presented in Shenhui’s writings.\(^\text{29}\)

McRae also traces critical parts of the *sūtra* to the Oxhead School, though his focus is even more conceptually oriented than Dumoulin’s. Rather than address the “formless precepts” he recognizes a parallel between writings traceable to the Oxhead School and the “mind verses” (*xinji* 心偈)

---

26 Yampolsky also offers another piece of evidence - a reference in the *Jingde Chuandeng Lu* 景德傳燈錄 - but is even more suspicious of this evidence, and thus I have chosen not to discuss it at length.

27 Dumoulin, p. 126.

28 Ibid., p. 127.

29 Ibid.
attributed to Shenxiu and Huineng. He initially describes a “threefold logic” found in the writings of the Oxhead School (citing specifically the *Jueguan Lun* 絕觀論 as a representative example), describing the three stages as “beginning questions, intermediate hesitation, and final achievement.” He then asserts that the mind verses of the *Platform Sūtra* are not presented as polemical opposites, but rather as a polarity, where the verse attributed to Huineng must be interpreted in the context of the verse attributed to Shenxiu. Here McRae suggests that Shenxiu's verse be read as a “beginning question”, Huineng's verse be read as an “intermediate hesitation”, and the two combined produce a “final achievement”, resulting in a parallel to the writings of the Oxhead School. It is evident that if one were to take this view, Shenxiu's verse, while inferior to Huineng's, does demonstrate a level of understanding and is thus integral to the point of the text. He further points out that Shenhui's writings lack both the format and content of these verses, while suggesting that the verse attributed to Shenxiu, while not written by him, can be plausibly linked to his thought. All of this, McRae concludes, indicates that the Oxhead School served as an intermediate position between the conflicting “Northern” and “Southern” Schools of this period.

**I.IX Polemics and Crisis in Early Chan Buddhism**

The terms “Northern School” and “Southern School” are, at least in their designating the schools associated with Shenxiu and Huineng, creations, likely of Shenhui and his successors. During his lifetime Shenhui, described by McRae as an “evangelist”, pitted himself against Shenxiu in urban centres in and around Luoyang. Shenxiu's school was the dominant form of Chan during this period, 

---

30 McRae does not, in this instance, address Huineng’s second verse.
31 McRae, p. 60.
32 Ibid., p. 64, 65. Referring to the verse (as opposed to “verses”) of Huineng in this instance is deliberate. In his appraisal of the verses, McRae does not address both versions found in the *Platform Sūtra*, but only the later edited version. I find this to be an important omission if one is to assess the meaning of the Dunhuang version of the *Platform Sūtra*. I will take up this issue more thoroughly in part IV of this paper.
33 Ibid., 65.
34 Ibid., 64.
35 Ibid., 56.
36 McRae, p. 55.
but would in subsequent decades lose ground to the Southern School, which would eventually be thought of as the orthodox approach to Chan. This kind of inter-school attack was unique amongst the early schools of Chan.\footnote{Dumoulin, p. 117.}

The polemics employed by Shenhui against what he called the “Northern School” were ostensibly an attack on Shenxiu's conception of enlightenment as “gradual”. Shenhui's own opinion on the matter is described as “sudden”, in contrast to those that he criticized, and taken to mean that the enlightenment experience is captured in a single insight, not necessarily attained while being engaged in meditative practice. This contrast is captured in the Dunhuang version of the \textit{Platform Sūtra}: the title, as we have it in this version, refers to the “sudden” teaching (\textit{dun} 顿), and the pivotal moments of enlightenment in the text all follow a “sudden” model of attainment.

A further consideration may account for the attack by Shenhui on the school of Shenxiu. As McRae notes, genealogical lines in Chan play an important role in establishing the legitimacy of a practice or doctrine, and consequently a member of the Buddhist community.\footnote{McRae, p. 7.} Chan famously traces its roots back beyond Śāyamuni Buddha, via important luminaries, including the Chinese Patriarchs, through a mind-to-mind transmission of the dharma. This assertion of a lineage grants clout to Chan practitioners, who are by historical accounts relative late-comers as a school. Shenxiu traced his lineage through Hongren 弘忍, recognized as the fifth Patriarch of Chan. Shenhui asserted that his lineage could also be traced to the fifth Patriarch, though his teacher Huineng. The \textit{Platform Sūtra} reflects this situation: we find, in the autobiographical portion of the text, Hongren publicly praising but privately dismissing Shenxiu's understanding, while publicly denigrating but privately confirming Huineng's understanding, and expounding the dharma to him, as well as transmitting his robe to him (a symbol of true succession). Both the parallels in conceptual matters and genealogy are sufficient to demonstrate
authorship of the text by the Southern School; they are presented here only to provide evidence that the authors and editors of the text were indeed familiar with the tension that existed between the Northern and Southern Schools. This is important if we are to take the work as having an overall consistent understanding of reality: taking all the metaphors in a work together helps us arrive at a more robust understanding of the message the author is trying to convey.

I.X Content of the Platform Sūtra

The aforementioned transmission of the robe as a sign of true succession comes to an end with the Platform Sūtra. In section 49 of the text Huineng tells his disciples that he will no longer transmit the robe. Instead, it appears that the Platform Sūtra itself becomes a mark of true succession, as is stated in section 56. This is unusual for a school that purports that it is not sūtra based, but rather focused on transmission through a student-teacher relationship. It is also salient to note that the Platform Sūtra has received the designation jīng 经 (sūtra), a classification generally reserved for texts translated from Sanskrit for a Chinese audience. This demonstrates the relative importance of the text and its context as an example of early Chan thought. This content is described by McRae as “a virtual repository of the entire tradition up to the second half of the eighth century”39. Yampolsky agrees, and furthermore addresses the roots of the work: “almost all the basic ideas presented are drawn from canonical sources [of Buddhism]”40. He does, however, acknowledge that aside from cases where direct scriptural references are given, it is impossible to determine from where ideas from the Platform Sūtra are derived in the preexisting Buddhist canon.41

I.XI Translation and Edition

For this project I have chosen to use the Dunhuang version of the text as found in Yampolsky, 1967. This version is based on a photographic version of the text found in the Stein collection42, and

39 Ibid., p. 65.
40 Yampolsky, p. 114.
41 Ibid., p. 114-115.
42 Ibid., p. 215.
includes many corrections made by Yampolsky. Most often these are homophones or near homophones that the original copyist mistook in recording this text; Yampolsky has indicated these errors, and I follow his corrections. As well, certain portions of the text have been rendered unreadable; in these instances Yampolsky has supplied the equivalent selection from the Kōshōji edition. Any deviations made from the text have been noted. In my translations I have made reference to Yampolsky's work when necessary. In investigating the mind verses of Shenxiu and Huineng I have also consulted McRae's translation, as found in McRae, 2003, p. 61-62.

I.XII The Zhuangzi and the Platform Sūtra Together

Linking these two works based on their similarity is not a unique undertaking. However, as far as my investigation of the topic has revealed to me, no thorough, dedicated analysis has been done in English. It is a seemingly universal and obligatory act to note the similarities between the two texts when discussing the origins of the Platform Sūtra, although these comments often appear as an afterthought. Few works dedicated exclusively to the subject of Chan address the issue at any length, though all acknowledge it. Further, these comments merely stress that the Platform Sūtra derived some integral part of its message from the Zhuangzi. The matter of concepts - especially differing concepts - is left untreated. As well, discussion of Chan in writings relating to the Zhuangzi is also understandably limited, as the latter pre-dates the former by several centuries and its composition could not have been influenced by the foreign ideology of Buddhism.

Perhaps the closest example of a thorough treatment of the two works together is WANG Youru's Linguistic Strategies in Daoist Zhuangzi and Chan Buddhism: the Other Way of Speaking. This work is concerned primarily with rescuing both the Zhuangzi and Chan Buddhism from criticisms of

---

43 See for example Dumoulin, p. 67; Yampolsky, p. 26; and McRae, p. 84. Wailen Lai, in his 1979 article “Ch'an Metaphors: Waves, Water, Mirror, Lamp” (p. 252, notes 23 and 24) specifically singles out the Zhuangzi as a primary source not just of metaphor, but also doctrine. However, the extent of the discussion is limited to these notes and includes no real comparative work.
“logocentrism”.⁴⁴ Ways of communicating are examined and contrasted in both traditions, though no work is done in comparing the content of the works' conceptual claims. The focus is on linguistic strategies, not soteriological strategies. Furthermore, the topic is broad: the Zhuangzi as a whole is considered, as is the early Chan tradition (WANG states that he is most interested here in the thought of Linji 領呂).⁴⁵ The Platform Sūtra does serve as the major focus of the fourth chapter, but this is concerned only with the deconstruction of the idea of Buddha Nature in the text, and does no comparative conceptual work with the Zhuangzi.⁴⁶ As such, even this work offers little in the way of a critical comparison of the two works.

What I hope to accomplish with this current project is some first steps toward a critical comparison of the Zhuangzi and the Platform Sūtra, moving beyond simply acknowledging the lineage and similarities in metaphors. By unpacking the metaphors I acknowledge the similarities in these texts while making clear the differences in the authors' soteriological plans, where we can infer that there is a single author.

I.XIII Methodology

Both the Zhuangzi and the Platform Sūtra have been translated into English and interpreted using the categories of Western philosophy and religion. What I am interested in doing with the present project is interpreting elements of these works through the lens of conceptual metaphor theory, developed by Mark Johnson and George Lakoff.⁴⁷ Such an undertaking is suggested by Edward Slingerland in the conclusion⁴⁸ to his book Effortless Action: Wu-Wei as Conceptual Metaphor and Spiritual Ideal in Early China, itself a major contribution to the study of metaphor in religious and philosophical thought. I agree with Wim De Reu's claim that this approach “...constitutes a key method

---

⁴⁴ Wang, p. 3.
⁴⁵ Ibid. p. 1.
⁴⁶ Ibid. p. 52.
⁴⁷ See Lakoff and Johnson, 1999, for the most thorough description of this theory.
⁴⁸ Slingerland, p. 271.
to gain access to philosophical writings”,⁴⁹ and has the potential to give us insight beyond cultural and linguistic limitations. This potential is derived from an understanding of conceptual metaphor as the result of embodied experience.

The embodied mind, as described by Lakoff and Johnson, is the larger framework (of which conceptual metaphor is one component) for understanding the way human beings experience and conceptualize the world⁵⁰. The foundational premise of embodied cognition that they offer is that the human mind (the faculties of reason, emotion, memory, will, etc.) is situated in, and is inseparable from the physical body, and is thus embodied. If one rejects the idea of mind-body dualism (which conceives of the mind as immaterial and not wholly present in the physical brain), then the idea that all cognition is embodied is a logical conclusion – it could not be otherwise. The human mind evolved in parallel with the human body, and thus cognition is necessarily based on the body's interactions with the world. The approach of embodied cognition does not postulate a priori truths; it suggests that all people, by virtue of experiencing the world in very similar ways through similar bodies, share a common lexicon of metaphors that do not exist at the level of language but are rather understood at the level of sensory-motor actions of the body and interactions with the environment.⁵¹

Lakoff and Johnson's theory of conceptual metaphor acknowledges the human mind's constraints in only having access to the world through the channels provided by the human body. They suggest our ability to experience the world is limited (and thus shaped in every way) by our ability to see with our eyes, hear with our ears, and come in contact with objects and move through space with our bodies (amongst other senses)⁵². Our eyes perceive a limited number of colours in the full spectrum of light and our ears can only hear a finite range of the sound frequencies that exist. The human body is

---

⁴⁹ De Reu, p. 43.
⁵⁰ Lakoff and Johnson, p. 16-17.
⁵¹ Lakoff and Johnson, p.555-557. These pages in particular are excellent for a thorough presentation of what Lakoff and Johnson call “the Embodied Person”.
⁵² Lakoff and Johnson, p. 37.
limited in size, sensitivity and speed, and thus can only experience a set number of events of a certain magnitude in the physical world. This range of limitations forces the human brain to conceptualize reality in a way structured by the body's interaction with it.

Though instruments may be used to measure or otherwise reveal truths about reality imperceptible to the limited sense apparatuses of the human body, these truths can only be conceptualized in terms of the existing structure of cognition generated by our regular interaction with the world. Lakoff and Johnson explain how we unconsciously use elements of the physical world with which we are familiar through our sense organs or our state of being embodied (that is, existing in and moving through space as a physical, embodied entity) to describe and understand that which we cannot experience by these means, either because of limitations of the human body or the abstract nature of that which we wish to explain. Thus conceptual metaphor theory takes metaphors not as relatively infrequent literary devices but as nearly ubiquitous mental tools required to communicate and conceptualize in meaningful and effective ways.

An example offered by Gentner and Gentner will illustrate how we conceive of the physical world metaphorically, even in cases where the fundamental science behind a phenomenon is understood differently. The authors provides us with the example of electric current, which we perceive of as a flowing, fluid substance - the term "current" makes this obvious - or as a "crowd movement". The human being, having evolved on a scale where the movement of electrons is absolutely imperceptible, associates elements of the physical realm we can directly experience (called the source domain) with elements we cannot (called the target domain). In this case, flowing liquid (such as a stream) or a crowd (of animals or people) are the source domains for the target domain of electric current. Thus we have the conceptual metaphor of “electricity as fluid” or “electricity as crowd

53 Ibid. p. 45.
54 Ibid., p. 57.
55 Gentner and Gentner, 1982.
movement”. Conceptual metaphor theory does not postulate that two or more metaphors for the same target domain must be literally compatible; certain metaphorical entailments are appropriate to certain situations. The results of Gentner and Gentner's experiments were significant in that those instructed to use one model instead of the other yielded different conceptual understandings of electricity - in the context of this work, those learning using the “crowd movement” understanding had a better grasp of resistors than those using “flowing water” metaphors.56

Conceptual metaphor theory is not solely applicable to phenomena of the natural world, and it is in its application to abstract concepts that we will find the most benefit for analyzing religion, literature, culture, etc. Lakoff and Johnson make several strong cases for this application of conceptual metaphor theory, one of which is the "moral strength metaphor".57 In this example the non-physical concept of morality (the target domain) is mapped onto physical strength and stature (the source domain). Thus "strength" is moral behaviour and attitude, and "weakness" is, if not simply immoral, the potential to become immoral due to an inability to resist immorality. Similar mappings are shown to be possible for ideas such as time, mind, self and causation.

Lakoff also describes a subset of conceptual metaphors, which he calls orientational metaphors, a type of metaphor that “organizes a whole system of concepts with respect to one another”58. These metaphors are generally based on spatial relations that exist in the physical world. He offers the example of “Happy is up; Sad is down”, citing common expressions: "I'm feeling up", "my spirits rose", "I fell into a depression". A physical basis for these expressions is human posture, which is straighter and taller when one is happy and droops when one is not. Lakoff also demonstrates correspondences between orientational hierarchies, explaining how "Happy is up; Sad is down", in combination with other metaphors such as "More is up; Less is down" and "Health and Life are up;

56 Ibid., 126.
57 Lakoff and Johnson, p. 298-300.
Sickness and Death are down", all of which have demonstrable physical bases, can create new orientational metaphors such as "Good is up; Bad is down" and "Virtue is up; Depravity is down".

Embodied cognition and conceptual metaphor theory avoid both the pitfalls of assuming an external, idealist truth independent of human beings as well, it avoids the problem of relativism, or proposing insurmountable barriers to communication between cultures, time periods and linguistic groups. Though a mind-independent world exists, we are only able to describe and think about it through language based on the embodied experience. Grounding methodology in this cognitive science-based approach allows us to investigate and discuss human cultures in a meaningful and accurate way by framing discussions in terms of shared physical experiences of the world. It also grants another perspective on the texts, complementary to the investigations of traditional philosophy. The aim here is to use common embodied experience to unravel meaning and contrast this with conclusions arrived at through previous textual scholarship. I intend to highlight previous scholarship with the goal of demonstrating where conceptual metaphor theory gives us new or different perspectives not necessarily found in more traditional philosophical readings. The sections that follow will employ this method of understanding to interpret both the Zhuangzi and the Platform Sūtra.

59 Slingerland, p. 16-17.
60 Lakoff and Johnson, p. 233.
II Zhuangzi

II.I DREAMS AS IGNORANCE in the Zhuangzi

The dreaming motif is used so often in the Inner Chapters of the *Zhuangzi* as a metaphor for ignorance that it merits an in-depth investigation. I examine three passages where the idea of dreaming is a metaphor for the ignorance of the general population, as Zhuangzi sees it. I argue that all three passages represent a firmly anti-relativist and anti-skeptical (in terms of what Eric Schwitzgebel has explained as “philosophical skepticism”) point of view, which, in the case of the third passage, is contrary to traditional interpretation. I will proceed by first presenting and evaluating the passages themselves, then reviewing existing scholarship, and close by interpreting the works by working out the metaphorical entailments of the passages.

II.II The Great Awakening

In the chapter *Qi Wu Lun* 齊物論 (“Discussion of Ordering Things”) Qu Quezi 瞿鵲子 asks Zhang Wuzi 長梧子 about the actions of the sage as reported by Confucius, desiring his opinion. Zhang Wuzi responds saying, “I will tell you of it carelessly, and you will through carelessness hear it”. He speaks of delusion, questioning how we know what we think we know. During his “careless” explanation he offers a picture of existence as a dream:

夢飲酒者，旦而哭泣；夢哭泣者，旦而田獵。方其夢也，不知其夢也。夢之中又占其夢焉，覺而後知其夢也。且有大覺而後知此其大夢也，而愚者自以為覺，竊竊然知之。君乎，牧乎，固哉！丘也，與女皆夢也；予謂女夢，亦夢也。是其言也，其名為弔詭。萬世之後，而一遇大聖知其解者，是旦暮遇之也。

Those who dream of drinking wine cry and sob at daybreak, while those who dream of

---

61 Other instances of dreams serve only as plot devices, allowing communication between characters. For example, see the interaction between the Carpenter and the “worthless” tree in *ren jian shi* 人間世 (“People in the World”). Here the use of “dreaming” is not metaphorical, but simply part of the story.
62 Schwitzgebel, p. 85.
63 These smaller selections from the Inner Chapters do not, as far as I am aware, have designations in common usage. As I will make frequent references to these passages, I find it necessary to give them brief but descriptive titles. These titles are arbitrary choices I have made for the sake of convenience.
64 予嘗為女妄言之，女亦以妄聽之。
65 In his commentary on this passage, Guo Xiang says “He is speaking to him hastily, and therefore uses careless words in speaking to him” 言之則孟浪也，故試妄言之。
crying and sobbing go to work the fields\textsuperscript{66} and hunt at daybreak.\textsuperscript{67} Being situated in their dreams, they do not know of their dreaming. In the midst of dreaming they even interpret\textsuperscript{68} a dream, awaken and afterward know of their dreaming. Moreover, there will be a great awakening and afterward they will know of this [life's] being a great dream; but the misguided consider themselves to be awake, knowing this presumptuously. A lord! A herdsmen! Such certainty!\textsuperscript{69} Confucius and you\textsuperscript{70} - both of you are dreaming. I am saying you are dreaming – even this is a dream. This is known by the name of the Great Deception\textsuperscript{71}. Ten thousand generations pass and at once meet with a great sage that can unravel it; this will be a brief encounter with him.\textsuperscript{72}

Zhuangzi here is telling us a story about the sage - with Zhang Wuzi, of course, serving as his mouthpiece. He begins by talking about the literal phenomenon of dreaming, with the suggestion that while one may find pleasure in a dream (drinking wine, for instance), this same individual will experience sorrow when the dream is over. By the same means one who dreams of having suffered hardships will awake to go about pleasurable activities, as though it had not happened. He explains that those wrapped in a dream do not realize that what they are experiencing as real is indeed false, and will come to an end. The suggestion is made that dreamers may even, within a dream, interpret another

\textsuperscript{66} Watson curiously seems to ignore tian 田 in his translation, rendering it as “he who dreams of weeping may in the morning go off to hunt.” (p. 47). In the supplied translation I aim to preserve a parallel structure between旦而哭泣 and旦而田獵 (i.e., verb er 而 verb verb). Reading tian 田 as an adverb, we arrive at an alternate rendering “...those who dream of crying and sobbing go to the fields to hunt at daybreak”.

\textsuperscript{67} Ziporyn suggests the phrasing here may be a quotation of a folk belief related to dream interpretation (Ziporyn, p. 19 n28).

\textsuperscript{68} The character here, zhan 占, indicates prognostication by means of tortoise shell or other methods.

\textsuperscript{69} Watson translates gu 固 here as “how dense!” (p. 48). I find this translation plausible, and like its preservation of the idiom in English, but in looking at other uses of this character in the Zhuangzi (eg., 魚之樂 story) I am inclined to read it a sarcastic assessment of the misguided certainty of those he criticizes.

\textsuperscript{70} Reading nü 女 as ru 汝. The aforementioned text leading up to this exposition suggested that Confucius was not able to comprehend this teaching.

\textsuperscript{71} Watson renders this as “Supreme Swindle” (p. 48). Graham gives us “a flight into the extraordinary” (p. 60). Ziporyn is the most daring, offering us “I would name that nothing more than a way of offering condolences for the demise of their strangeness” (p. 19). I chose to basically follow Watson, but have some reservations, as it is not clear as to the agent doing the “deceiving”.

\textsuperscript{72} Shi dan mu yu zhi ye 是旦暮遇之也 makes reference again to a “sunrise” (dan 旦), and if we are to take Zhuangzi's use of metaphor seriously we need to consider the theme of this passage: dreaming. Watson here supplies the translation “...and it will still be as though he appeared with astonishing speed” (p. 48), which I find deficient. Graham (p. 60) and Ziporyn (p. 19) both interpret it to mean that the Sage's arrival on the scene will be like one day (sunrise to sunset) in ten thousand generations. I think this is closer to the true meaning - an emphasis on the brevity of the appearance rather than the speed of the arrival of the Sage. However, I would like to make the following suggestion, based on reading this as an extension of the dream metaphor.

The passage here has already offered dan 旦 as a precursor to awakening from a dream (in a literal sense), and mu 睡 is its logical opposite, and certainly a precursor to entering into a dream. Perhaps we can take the rare and brief entrance of the sage as being like a temporary awakening from a dream-filled sleep – that is, seeing reality. Thus the emphasis may not be entirely on the brevity of the occurrence, but may also indicate the profundity of it.
dream they believed they had while dreaming. Only after they wake do they realize the nature of their experiences.

This serves a bridge to the more dramatic point Zhuangzi wants to make: that we are all dreaming now. Just as one interprets a dream within their dream, so too are we interpreting our dreams in this present life, which is itself a dream. Dreams can be layered upon one another, and while our present state is the most real “layer”, it is still dreaming. But there will be an Great Awakening (though not for everyone) where some will come to know of our present state. The stupid ones (i.e., everyone else) will remain deluded, arrogantly thinking that their current state is indeed true wakefulness. They deem one person to be a noble and another to be a shepherd, but the distinctions they make are mocked sarcastically by Zhuangzi.

He then makes it personal, declaring that the (supposedly) wise Confucius and the questioner Qu Quezi both belong to the category of “the stupid”, and that his present exposition on the nature of reality is simply part of the dream. He gives this fact a name, which I’ve chosen to translate as “the Great Deception”, and suggests that for a great length of time only a few will briefly awaken. The story here closely resembles following story from the Inner Chapters, both in presentation and content.

II.III Discussion of Mengsun

In the chapter da zong shi 大宗師 (“Great and Revered Teacher”) Yan Hui, the favourite disciple of Confucius, went to his master to ask about the strange activities of a certain Mengsun Cai 孟孫才. Mengsun grieved his deceased mother in the appropriate manner, but was not authentically moved by her death in the way a proper junzi 君子 - according to the image presented in the Analects

73 I do not take this to mean they interpret the dream they are presently having - logically, it seems that to interpret a dream along the guidelines of dream interpretation, one must be aware that that which is being interpreted is in fact a dream.

74 I am at a loss here to suggest a metaphor that both captures the image Zhuangzi gives us in Chinese (meng zhi zhong 夢之中, “inside of a dream” or “in the midst of dreaming”) and sounds reasonable in English. Inside of a dream suggests that outside is wakefulness or reality - and so I offer “outermost layer” as a substitute for “most real layer”. 
and the *Mengzi* - should be. But while he failed to live up to the standards set by Confucius, Mengsun was renowned in the state of Lu. Confucius (through who Zhuangzi is speaking) explains why:

仲尼曰: 夫孟孫氏盡之矣, 進於知矣。。。吾特與汝, 其夢未始覺者邪! 且彼有駭形而無損心, 有旦宅而无情死。孟孫氏特覺, 人哭亦哭, 是自其所以乃。且也相與吾之耳矣, 庸詎知吾所謂吾之乎? 且汝夢為鳥而厲乎天, 梦為魚而没於淵。不識今之言者, 其覺者乎, 梦者乎? 造適不及笑, 献笑不及排, 安排而去化, 乃入於寥天一。

Confucius said, “Mengsun was the most accomplished, and surpassed knowledge.”... You and I are merely those in a dream from which we have not yet begun to awaken! Moreover, he can have harm to his physical form, but it will not damage his heart/mind; he can have a daily renewal of the place where his spirit dwells, but his essence will not die. Mengsun alone is awake; when people cry he also cries - this is the way it is, of its own accord. Furthermore, in my coming and going about, how do I know what it is, that which is called “my going”? You dream you are a bird and you propel yourself into the sky, you dream you are a fish and you sink into an abyss. Do I not know, when I speak these words now, if I am awake or if I am dreaming? Running to the suitable is not as good as laughing, but offering laughter is not as good as pushing it away from you; be at peace with pushing away and move away from transformations -

75 The precise phrasing is 孟孫才, 其母死, 哭泣無涕, 中心不戚, 居喪不哀 “As for Mengsun Cai, when his mother died he wailed and cried without tears, and in his heart-mind he did not grieve, and at the funeral he felt no sadness.” Later, Confucius will suggest that Mengsun Cai did *ku* or “sob” - the point to note here is that while he performed the exterior actions his interior did not match up with what was expected.

76 Cheng Xuanying, in commentary on Yan Hui's question, identifies this as Mengsun Cai 孟孫才, a virtuous man from the state of Lu 魯. (“性孟孫, 名才, 魯之賢人。”)

77 *Jin* 進 here is glossed as *guo* 過 by Cheng Xuanying. A significant portion following this has been removed, as it offers no insight into the present investigation of the text.

78 Following the glosses of Cheng Xuanying: 旦, 日新也。宅者, 神之舍也。

79 It is worth looking at both Guo Xiang's and Cheng Xuanying's commentaries on this passage, as the meaning here is somewhat obscure.

Guo Xiang:

以形骸之變為旦宅日新耳, 其情不以為死。

“If one considers the form and body's changes to be like the repeated sunrise on one's dwelling, then one's essence cannot be thought to have died.”

Cheng Xuanying:

以形之改變為宅舍之日新耳, 其性靈凝淡, 終無死生之累者也。”

“If one takes the physical form's changing and altering to be like the lodging place of daily renewal, to be their nature and spirit's becoming thick and becoming thin, then they will ultimately not have the burdens of death and life.”

While the Zhuangzi text itself and the Guo Xiang commentary seem to be speaking more to a preservation of mind (*xin*) and essence (*qing*), Cheng Xuanying focuses on *shengsi* 生死, which in Buddhist parlance is equivalent to Sanskrit *samsāra*.

80 The complexity of this phrase is demonstrated in the competing translations:

Watson: “...that's the reason he acts like this.” (p. 88)

Graham: “...it is simply that, all the way up from that which they depend on to be-about-to-be...” (p. 91)

Ziporyn: “And that is the only reason he does so.” (p. 48)

81 Again we have a passage that is difficult to interpret, with the following attempts:

Watson: “Running around accusing others is not as good as laughing, and enjoying a good laugh is not as good as going along with things.” (p. 89) Watson is relying on the interpretation of Xi Tung.
this is entering into the placid, Heavenly unity.”

Zhuangzi is telling us why Mengsun Cai was so successful. He begins with the affirmation that Mengsun was indeed an accomplished individual - I have included it only to set the tone for what is to come. After he has Confucius tells Yan Hui of Mengsun's attitude toward life and death, he has the scholar explain that both he and his student are dreaming - a view consistent with Zhang Wuzi's suggestion that Confucius was dreaming, and was not awakened to reality. A summary of the extraordinary resilience afforded to Mengsun Cai due to his superior outlook is given, suggesting his \textit{xin} (heart-mind) and \textit{qing} (essence) cannot be harmed. It is asserted that in the circumstances around the funeral for his mother, only Mengsun was awake - when he wailed in concert with the other mourners it was only because that is what they were doing.

Confucius changes the topic to the limits of our knowledge, again utilizing the dream metaphor. He asks how one can be sure of what we know, alluding to a person's behaving as either a bird or a fish when they dream they are one of those creatures. The implication here is that when a person dreams she acts in accordance with her perceived reality - but they are still ignorant to reality. This idea is reinforced when he speculates upon his current speaking and whether or not he can know if it is a dream. A hierarchy of action is offered: pursuing the appropriate, which is succeeded by laughing at these affairs, which is in turn succeeded by rejecting these affairs. If one can do this and banish transformations - an act seemingly in contradiction to other Zhuangzian exhortations to embrace

\begin{itemize}
  \item Graham: “Rather than go towards what suits you, laugh: rather than acknowledge it with your laughter, shove it from you.” (p. 91)
  \item Ziporyn: “An upsurge of pleasure does not reach the smile it inspires; a burst of laughter does not reach the jest that evoked it.” (p. 48) Ziporyn is substituting \textit{pai} for \textit{pai}, attributing this to a transposing of the character in the next phrase. While this is plausible, I am reluctant to amend the text, and cite these translations as good candidates for alternate renderings. Guo Xiang and Cheng Xuanying both give us \textit{tuiyi} for \textit{pai}, which seems to accord most clearly with Graham's translation.
\end{itemize}

\textit{82} The \textit{xin} is often translated as “heart-mind”, and denotes both the heart as an organ and the locus of human thought. This meaning is attested in early sources such as the \textit{Shijing}. \textit{Qing} can also be traced to the \textit{Shijing} and other contemporary works, but according to Schuessler (2007) it had, by the time of the \textit{Mengzi}, taken on the meaning of “proper nature” (p. 433). This is basically the sense in which I understand it in the \textit{Zhuangzi}.

\textit{83} Recall that while he mourned with others, he did not feel the internal dispositions associated with mourning.
transformation\textsuperscript{84} - then one enters into the ideal state. There is yet another dream-related story found in the Inner Chapters of the \textit{Zhuangzi}, which while on the surface seems different, can be fully integrated into the philosophical framework built by these two stories.

\textbf{II.IV The Butterfly Dream}

One of the most popular stories from the \textit{Zhuangzi} comes from the closing lines of the chapter \textit{Qi Wu Lun}, in which Zhuangzi dreams of being a butterfly. It is as follows:

\begin{quote}
昔者莊周夢為胡蝶，栩栩然胡蝶也，自喩適志與！不知周也。俄然覺，則蘧蘧然 周也。不知周之夢為胡蝶與，胡蝶之夢為周與？周與胡蝶，則必有分矣。此之謂 物化。

Formerly, Zhuangzi dreamed he was a butterfly, fluttering about as butterflies do, going where ever he pleased. He was not aware that he was Zhuangzi. Suddenly he awoke, and then was Zhuangzi, awake.\textsuperscript{85} Did he not know if this had been Zhuangzi's dream of being a butterfly, or a butterfly's dream of being Zhuangzi? For Zhuangzi and a butterfly there must be a distinction. This is called the Transformation of Things.

It is shorter in length than the other dream related passages we have examined thus far, but I believe it to be more difficult to ascertain the meaning of the metaphors. This passage in particular has been interpreted as an argument for Zhuangzi's skepticism, which I will address in the subsequent section relating to secondary scholarship on these passages.

\textbf{II.V Existing Scholarship}

The general idea of both the Great Awakening passage and the Discussion of Mengsun Cai is clear - there is an “awake” state, which is linked to those who have achieved sagehood, and a “dream” state, for those who are still amongst those Zhuangzi classifies as the deluded. The position found in the Butterfly Dream is much less explicit, and is often interpreted as advocating some form of skepticism, be it of all knowledge, language, or another domain of knowing. I will outline some

\textsuperscript{84} Lusthaus (p. 172) reads this phrase as “...let go of [your anxiety about] transformations”, but does not provide grammatical evidence. However, if this is indeed an accurate translation and interpretation of the text, it resolves any apparent contradiction in the text, and as such I am willing to provisionally accept it.

\textsuperscript{85} I have translated \textit{ququran} 蓬蓬然 based on the gloss used in Fuller, p. 199.
representative positions, culminating in a brief outline of Dan Lusthaus' position on the question – reading the passage as non-relativist - which I have found to be the most faithful to the text. I believe that this passage is ultimately best explained by supplementing Lusthaus' interpretation with insights gained from examining the metaphor of DREAMS AS IGNORANCE as found in the Inner Chapters of the Zhuangzi. Many philosophical interpretations done by Western scholars categorize Zhuangzi as a relativist text; these are at odds with an interpretation that takes the metaphors seriously.

Chad Hansen\textsuperscript{86} has persistently argued for the reading of Zhuangzi in general, and the Butterfly Dream in particular, as an endorsement of broad skepticism about knowledge.\textsuperscript{87} He interprets the Butterfly Dream as a criticism of making distinctions; as soon as we “awake” we discard these distinctions. In a broader approach to the thought of Zhuangzi, Hansen explicitly rejects what he considers to be the traditional account of Daoism, one that is “a metaphysical theory about an absolute entity - the Tao [sic].”\textsuperscript{88} He also explicitly designates Zhuangzi as a relativist, insisting that the author did not put forth an absolute “prescriptive discourse”, but rather advocated many “\textit{daos}”.\textsuperscript{89} He alludes to the seemingly contradictory nature of the text, which at different points advocates different paths. Also involved in his assessment of the text is his understanding of all Chinese nouns as “mass nouns”, which results in his understanding that “[Zhuangzi] sees that the actual \textit{tao} consists of \textit{taos}, that is, the way the world is includes many contending systems of discourse.”\textsuperscript{90} While it is clear that at times Zhuangzi seems to contradict himself, I believe the assessments of other scholars, whose views will be reviewed presently, relieve the tension found in the text without resorting to a fully relativist reading.

Harold Roth, Livia Kohn, and David Loy all take the Butterfly Dream as positively advocating

\textsuperscript{86} See Hansen in Mair, p. 24 and in Cook, p. 128.
\textsuperscript{87} Hansen 2003, p. 145. “Broad” here can be taken as “skepticism of the external world” (Hansen 2003, p. 143).
\textsuperscript{88} Hansen, p. 24.
\textsuperscript{89} Ibid., p. 31.
\textsuperscript{90} Ibid., p. 35.
for an altered form of awareness that is not wholly skeptical, but still critical of common knowledge or approaches to knowledge. In his investigation of the Zhuangzi as a text relating mystical experience in the context of a practicing community, Roth interprets the Butterfly Dream as “yinshi [因是]91 mode of consciousness”, which remains flexible in terms of conceptual categories, responding appropriately to the situation at hand and remaining unattached to either the category of the butterfly or human.92 The position here is not that (in the context of this dream) there is a “true” position, but that one ought to maintain an alternate mode of consciousness that discriminates based on circumstances. Kohn (following FUKUNAGA Mitsuji) reads the passage as a positive appraisal of a “merging” of consciousness between dreaming and wakefulness, also illustrating the ideal state of “spontaneous existence”.93 Her reading has more of a flavour of “non-dualism” than the advocating of yinshi responses found in Roth. This non-dualist approach is echoed in Loy, who seeks to compare the thought of Zhuangzi with that of Nāgārjuna.94 Here distinctions are not crucial - wakefulness is the insight that there are no distinctions: “to dream I am a butterfly, etc., is to wake up to my selfless, endlessly transforming nature”.95 Perceiving an “I” and “other” is truly dreaming. Loy cites the other two dream passages I have included,96 interpreting the Great Awakening in a manner very similar to my own, but interpreting the Dream of Mengsun Cai (specifically the reference of dreaming oneself to be a fish or bird) along the same lines as his interpretation of the Butterfly dream.

Eric Schwitzgebel acknowledges the skeptical slant of Zhuangzi’s writing while working to convince his reader that Zhuangzi was not a skeptic, nor ultimately advocating a skeptical viewpoint.

---

91 Here Roth is following the work of A.C. Graham in his understanding of yinshi as “adaptive” understanding, reading it as an opposite to weishi, or “contrived” understanding, also found in the Inner Chapters of the Zhuangzi. Graham reads these words in light of his work on Mohist thought, and interprets them with this system of thought in mind. See Graham (2003), p. 14-15.
92 Roth, p. 29.
93 Kohn, p. 56.
94 Loy, p. 64-65.
95 Ibid., p. 65.
96 Ibid., p. 64.
In his assessment of Zhuangzi's attitude toward language he suggests that Zhuangzi wants us to take words less seriously, and that his skeptical language (including the Butterfly Dream) is not meant to be taken as a true account of Zhuangzi's beliefs, but rather as a means to alert the reader to a new mode of thinking. Schwitzgebel argues that Zhuangzi is using radically skeptical language to affect the reader at an non-propositional, non-linguistic (i.e., emotional) level rather than explicitly state his convictions. Thus in the end Schwitzgebel concedes that the passage can be read as advocating radical skepticism, but this superficial understanding does not get at the point that Zhuangzi was trying to convey.

I believe that Dan Lusthaus presents an interpretation that is both starkly anti-skeptical and more faithful to the text in its entirety and context within the Zhuangzi. He credits Wu Kuang-Ming with the insight that the story is misinterpreted when we do not fully account for the last two sentences of the passage. Like Schwitzgebel he sees the apparent skepticism as a tool to arrive at a decidedly non-skeptical position, but unlike Schwitzgebel, Lusthaus reads the last two lines (“For Zhuangzi and a butterfly there must be a distinction. This is called the Transformation of Things.”) as non-skeptical in their content. Here the use of *bi 必* (“must”) is unmistakable in its reference to actual differences. Lusthaus demonstrates the clear implicit assumptions in the passage: that while the butterfly was unaware of its being Zhuangzi, Zhuangzi did not forget his experience as the butterfly; furthermore, the story is told from the point of a view of a narrator, who explicitly tells us that Zhuangzi dreamed he was a butterfly, and then awoke. The indecision regarding Zhuangzi's being a butterfly or Zhuangzi is

---

97 Schwitzgebel, p. 74-77.
98 It is worth noting that Schwitzgebel here is arguing that Zhuangzi is offering more than just a language skeptic viewpoint - the alternatives in the Butterfly Dream are not based on propositions, but rather competing sense impressions. (Schwitzgebel, p. 87, 89).
99 Schwitzgebel., p. 86.
100 This can be read as similar to Ivanhoe's suggestion that Zhuangzi is “better read as a form of therapy”. Ivanhoe 1996, p.200.
101 Lusthaus, p. 166.
102 Ibid., p. 167.
103 Ibid., p. 167-168.
not meant to suggest that either is equally probable, but is only used to shock the reader out of their mundane assumptions about reality. Lusthaus goes on to strengthen his argument by looking at parallels in the Zhuangzi, specifically citing the Discussion of Mengsun Cai. It is at this point that I desire to unite Lusthaus' understanding of the implicit assumptions of the passage (especially his point that the narrator is relating the story to the reader) with a broad analysis of the dream metaphor as found in the Inner Chapters.

II.VI Metaphor: DREAMING AS IGNORANCE

Before we can see how the Butterfly Dream compares with the other dream passages of the Zhuangzi, it is necessary to examine the metaphor scheme for dreaming in general in the Inner Chapters. Both the Great Awakening and the Discussion of Mengsun Cai, in their general discussion of ignorance, can be mapped onto the source domain of dreaming in much the same way. It is salient to examine the source domain of dreaming, and the attitude towards it held in the Zhuangzi. The metaphor for dreaming as non-reality is not unique to the Zhuangzi, nor is the awakening as insight - we will in fact find this to be a dominant metaphor in the Platform Sūtra. It is important to note, however, that dreaming as an activity had a negative connotation. Take for example this brief selection from the Inner Chapters:

古之真人，其寢不夢，其覺無憂，其食不甘，其息深深。
[As for] the True Men of ancient times, in their sleep they did not dream, in their waking they had no worries, in their eating they did not prefer sweet foods, and in their breathing they did do deeply.

Dreaming is clearly designated as an endeavour one does not wish to undertake. It is relevant to note that similar evaluations are made in the Outer Chapters of the Zhuangzi, as well as in the Liezi, the Wenzi, and the Huainanzi. It is clear from this intellectual context that dreaming was not just

---
104 Ibid., p. 171.
105 From the chapter da zong shi 大宗師 (“Great and Revered Teacher”).
106 In the Outer Chapters, the chapter keyi 刻意 (“Etched Ideas”); in the Liezi, the chapter zhoumu wang 周穆王 (“King Mu of Zhou”); in the Wenzi the chapters dao yuan 道原 (“The Dao's Source”) and shou pu 守樸 (“Guarding
illusory; it was an activity to be done away with.

The metaphor scheme, when related to only the first two dream stories, is not complex. The person dreaming is a deluded individual, mapping onto a “normal” person in the scheme. This corresponds to all of our characters in the Great Awakening, excluding the Sage, and to all of our characters in the Discussion of Mengsun Cai, excluding Mengsun himself. These individuals all possess false views, just as dreamers have a false dream consciousness - this is our weishi 為是, or incorrect, method of thinking and making shifei 是非 distinctions. It is here that we think ourselves awake, or describe one person as a lord and another as a shepherd, or mistakenly think ourselves to be a bird or a fish, and act accordingly. This is in contrast to the Sage, as found in the scheme, nameless in the Great Awakening but identified with Mengsun Cai in the discussion related to his behaviour. This is the awakened one, corresponding to an aware individual who truly knows and employs yinshi 因是, which is correct, as it is a response to situations, rather than a fixed perpsective. Yinshi corresponds to waking consciousness in the dreaming domain, and the correct views in the realm of ignorance. The “Great Awakening” (dajue 大覺) is then the realization of these correct views, in awakening and remaining awake. Below is how this mapping looks:

<table>
<thead>
<tr>
<th>Dreaming (Source Domain)</th>
<th>Reality (Target Domain)</th>
</tr>
</thead>
<tbody>
<tr>
<td>dream</td>
<td>illusion</td>
</tr>
<tr>
<td>dreamer</td>
<td>average person (eg., Confucius, us)</td>
</tr>
<tr>
<td>thinking we are awake</td>
<td>thinking we are correct</td>
</tr>
<tr>
<td>acting in accordance with dream</td>
<td>making shifei 是非 distinctions</td>
</tr>
<tr>
<td>awakening / being awake</td>
<td>really knowing</td>
</tr>
<tr>
<td>awakened person</td>
<td>the Sage (eg., Mengsun Cai)</td>
</tr>
</tbody>
</table>

These two stories present identical structures with which we can interpret Zhuangzi's views on Simplicity”); and in the Huainanzi in the chapter jingshen xun 精神訓 (“Teachings for the Spirit”).
what is truly real, and what it is like to know it. His position is one of certainty, and he advocates a position that he believes is superior to others. How are we to interpret the Butterfly Dream in this context? Before attempting to map the elements of the Butterfly Dream onto our existing scheme, I desire to review some of the facts of the story. As Dan Lusthaus has demonstrated, and as will become absolutely critical in our mapping, this story is not told as a dialogue, but as a narrative. Furthermore, the narrator implicitly has knowledge beyond that of the protagonist, Zhuangzi (at least, at the time the story is occurring). In this context it seems that rather than reading a dialogue, we are in fact participating in one - between ourselves and the narrator.

With this consideration in mind, I suggest we attempt mapping the Butterfly Dream on to our metaphor scheme. Here, Zhuangzi fully loses himself in a dream that he is a butterfly, which, as indicated by the narrator's introduction that it is indeed Zhuangzi having the dream, is incorrect knowledge. We know that because the narrator tells us it is Zhuangzi who is dreaming and Zhuangzi that wakes up, so while Zhuangzi is not sure if he is really Zhuangzi, we are sure. His dream is presented as a delusion. Zhuangzi is our reality here: the butterfly acted as butterflies do and did not reflect on this situation, but Zhuangzi does, as Lusthaus points out. We are granted access to this “true” information (in the context of the story) by the narrator, and thus our unidentified objective narrator plays the role of the Sage. This is our taste of the Great Awakening, in which we can make real, accurate distinctions.

There are additional points of interest related to the protagonist of this story. There is plausible reason to read this as autobiographical - that is, as Zhuangzi telling us a story about himself. There is precedent set in Classical Chinese that one uses their own name as a first person personal pronoun. However, neither Watson (p. 49), Graham (p. 61), nor Ziporyn (p. 21) read it this way. As well, we have to confront the problem of having our titular hero Zhuangzi not quite as wise as we are accustomed to him being. This problem may well remain unresolved, though as an offering to those who are uncomfortable with this thought I suggest that this may be “pre-conversion” Zhuangzi. In his essay “Zhuangzi's Conversion Experience” Phillip J. Ivanhoe presents a story from the Outer Chapter Shanmu 山木 (“Mountain Tree”) as Zhuangzi's “conversion” experience, in which he makes his own realization about the nature of reality, being deluded before. Perhaps Zhuangzi is purported to have had (and here I am taking all these stories as didactic fiction, not history) his dream before his “conversion”. At any rate, this is the only instance in the Inner Chapters where Zhuangzi is referred to as San Zhuang Zhou 鄭周, though the same designation is given to him in the “conversion” story. Lusthaus, p. 168.
Using the previous table, we can map the Butterfly dream onto our existing scheme:

<table>
<thead>
<tr>
<th>Dreaming (Source Domain)</th>
<th>Reality (Target Domain)</th>
<th>Butterfly Dream</th>
</tr>
</thead>
<tbody>
<tr>
<td>dream</td>
<td>illusion</td>
<td>Zhuangzi's dream</td>
</tr>
<tr>
<td>dreamer</td>
<td>average person</td>
<td>Zhuangzi</td>
</tr>
<tr>
<td>thinking we are awake</td>
<td>thinking we are correct</td>
<td>forgetting he is Zhuangzi</td>
</tr>
<tr>
<td>acting in accordance with dream</td>
<td>making <em>shifei</em> 是非 distinctions</td>
<td>acting like a butterfly</td>
</tr>
<tr>
<td>awakening / being awake</td>
<td>really knowing</td>
<td>perspective of author/reader</td>
</tr>
<tr>
<td>awakened person</td>
<td>the Sage</td>
<td>narrator (reader, by extension)</td>
</tr>
</tbody>
</table>

I believe that the Butterfly Dream is congruent with the dreaming metaphor scheme suggested by other passages in the *Zhuangzi*.

**II.VII Heart- Mind (心) As Mirror in the Zhuangzi**

The metaphor of *xin* 心 as a mirror (both the characters *jing* 鏡 and *jian* 鑑 are used) occurs frequently enough in the Inner Chapters to warrant a deeper investigation. The first passage in the present discussion is, as we have seen before, Zhuangzi's advice in the voice of Confucius. In the chapter *de chong fu* 德充符 (“Signifiers of Full Virtue”) we are told:

> 仲尼曰：人莫鑑於流水，而鑑於止水，唯止能止眾止。
> Confucius said, “People do not observe their reflections\(^{109}\) in flowing water, but rather observe their reflections in still water; only stillness is able to still the multitude's stillness.”

The advice here is clear: “stillness” is the ideal state of the superior individual. Though *jian* 鑑 is used verbally, still water takes the place of the physical mirror. This is ultimately an admonition to still one's *xin*, which leads to mirror-like perception, the desired end state of the Sage. A similar but expanded idea is discussed in the “Fasting of the Mind” (*xinzhai* 心齋) and “Forgetting While Sitting” (*zuowang* 坐忘) passages, which will be addressed in the subsequent part of this paper.

\(^{109}\) Here *jian* 鑑 is a verb: “to take as a mirror”, “to reflect as though a mirror”, or simply “to mirror”.

31
II.VIII Using Xin Like a Mirror

Perhaps the most commonly cited example of Zhuangzi's use of the mirror metaphor is found near the end of the chapter ying di wang 應帝王 ("Responding to Emperors and Kings")\textsuperscript{110}. It is a description of idealized action, according to Zhuangzi:

體盡無窮, 而遊無朕, 竭其所受於天, 而無見得, 亦虛而已。至人之心若鏡, 不將不迎, 應而不藏, 故能勝物而不傷。

The body is exhausted without being impoverished, and wanders without outward signs; exhaust that which one receives from Heaven but do not consider it to be gain. It is tenuousness and nothing more. The Highest Person\textsuperscript{111} uses their xin like a mirror - not sending away, and not welcoming in, responding but not storing; therefore he his able to succeed in things and not be harmed.

It begins with a description of the Sage being inexhaustible and free to roam outside the normal confines of the human realm. One is encouraged to use one's natural (i.e., granted by Heaven or nature, tian 天) abilities, but not to consider this anything gained. The description continues - and it is crucial to recognize this as a description of an individual who has already achieved this state, rather than a course of action laid out by Zhuangzi - and we are told that the Highest Person employs their xin 心 as one would employ a mirror. An illuminating elaboration of what this means follows it directly. The Highest Person does not engage in activity that either shows preference for the realization of an event or the discontinuation of an event; they merely respond to what is put before them, without investing it with value, just as a mirror does with object put before it. And just as a mirror will lose “sight” of an object when it is taken away, so too the Highest Person does not cling to events and values it put forth in its objective responding. This is why Zhuangzi believes the Highest Person can act with full

\textsuperscript{110} Ziporyn reads this title as “Sovereign Responses for Ruling Powers”, parsing the first two characters together, keeping in line with the majority of other chapter titles in the Inner Chapters. (Ziporyn, p. 50)

\textsuperscript{111} Highest Person here is zhiren 至人. Watson gives us “utmost man” (p. 98), Graham offers “Perfect Man” (p. 97), and Ziporyn suggests “Consummate Person” (p. 54). The term occurs several times in the Inner Chapters, and seems to be a name Zhuangzi uses to denote someone who has adhered to and succeeded in his espoused manner of being. I feel that all these renderings are more or less satisfactory, though I prefer its designation as a proper noun to denote its importance as a Zhuangzian category of individual. Another possible translation of the term could be the “Achieved Person”.

32
confidence of success and not be injured by the world.

Unlike the previous advice given by Zhuangzi, in which one is encouraged to still their mind in order to give it a mirror-like quality, this passage is a description of how an achieved individual already acts. I take the previous metaphor to be prescriptive to sagehood, while the present passage only explicitly offers a descriptive account of sagehood (though an implicit prescriptive message can be gleaned from it). The third and final metaphor of \( xin \) as mirror metaphors will, I believe, unite the two modes into a seamless continuum combining practice with result.

II.IX The Advice of Shen Tujia

Like so many of Zhuangzi's heroes found in the chapter *de chong fu* 德充符, Shen Tujia 申徒嘉 is not what mainstream society would consider to be an exemplar of an upstanding citizen: we learn immediately that he has had a foot cut off, indicating that he is a convicted criminal. Nonetheless he is engaged in serious study, and is able to offer sage advice to Zichan 子產. It is here where we encounter in the *Zhuangzi* the idea of mirrors encountering dust, also seen in the *Platform Sūtra*.

申徒嘉，兀者也，而與鄭子產同師於伯昏無人。子產謂申徒嘉曰：我先出，則子止；子先出，則我止。其明日，又與合堂同席而坐。子產謂申徒嘉曰：我先出，則子止；子先出，則我止。今我將出，子可以止乎，其未邪？且子見執政而不違，子齊執政乎？申徒嘉曰：先生之門，固有執政焉如此哉？子而說子之執政而後人者也！聞之曰：鑒明則塵垢不止，止則不明也。久與賢人處，則無過。今子之所取大者，先生也，而猶出言若是，不亦過乎！

Shen Tujia was convict that had had his foot cut off that shared the teacher Bohun Wuren with Zichan of Zheng. Zichan said to Shen Tujia, “If I depart first, then you stay; if you depart first, then I stay.”

As the sun shone [on a new day] they were again sitting together on mats in the hall. Zichan said to Shen Tujia, “If I depart first, then you stay; if you depart first, then I stay. I am about to depart now, you should stay - won't you? If you see the Prime Minister\(^{112}\) but do not obey, then do you consider yourself equal to the Prime Minister?”

Shen Tujia said, “At the master's gate, is there really one who is a Prime Minister like this? There you are, and you speak of your being a Prime Minister, yet you are one who puts people behind yourself! I've heard it said: 'If like a mirror one illuminates, then dust and dirt will not settle, but if they settle then it will not illuminate. If for a long time

---

112 Watson (p. 70) and Graham (p. 77) both take 執政 as “Prime Minister”, and Ziporyn (p. 34) notes that Zichan was prime minister of Zheng in the Spring and Autumn period.
one accompanies a worthy person then they will be without faults.' In your present estimation of the master as a great man, you still go out and say things like what you've said - is this not a fault?

Zichan has wrongly taken his higher social prestige as justification to dictate to Shen Tujia the terms of their relationship as students of the same master. Shen Tujia quickly sets him in his place (and, as the story plays out in its entirety, we learn that Shen Tujia is of course one of Zhuangzi's enlightened outcasts and thus Zhuangzi's mouthpiece), chastising him for his hubris.

Shen Tujia's criticisms are embedded in his quotation of a phrase he claims to have heard (from where Shen heard this is not explained, or really necessary). He sets up for Zichan a dichotomy: one whose “mirror” illuminates and does not become a repository for grime (i.e., a sagely individual), and one whose “mirror” is tarnished by grime and cannot illuminate (i.e., a deluded individual, the implicit suggestion being that Zichan himself is in this latter category). The quotation closes with the claim that someone may become faultless if they study with an achieved person for a lengthy period of time. Shen Tujia then compares Zichan's simultaneous respect for and discipleship with their mutual teacher with his decidedly erroneous expectations of Shen Tujia.

These three passages complement each other, and each should be read in the context of the other two in order to present a fuller picture of what Zhuangzi is trying to convey. The initial two, taken individually, convey a means of practice and a description of result respectively. It is in the third passage that these two ends of a method of action are united. As in “Using Xin 心 Like a Mirror” we are presented with a description of how an achieved person acts, illuminating as though a mirror. However, the context of the “Advice of Shen Tujia” is a dialogue between an achieved person and a deluded individual, with the ultimate goal of the former being to bring some greater degree of insight to the latter. In this sense (and as is evident - to a limited degree - in the rest of the passage) it is a didactic tool, similar to Confucius' insistence that one use “stillness” (zhi 止). I acknowledge that at
this point the link between “mirror” and *xin* in all these examples has not been fully described; this task is best completed in a brief analysis of existing scholarship on the matter.

II.X Existing Scholarship

The mirror metaphor has not passed unnoticed by translators and interpreters of the *Zhuangzi*. A.C. Graham acknowledges the importance of the mirror in his elucidation of the concept of “Respond[ing] with awareness (of what is objectively so)”\(^{113}\) as the central tenet of the *Zhuangzi*. Though he acknowledges what he perceives to be the extreme skepticism of Zhuangzi\(^{114}\), he believes that moral relativism, even as expressed in the text, as not presenting the reader with a contradiction\(^{115}\); “spontaneity”, as embodied in the imperative to “respond with awareness”, is beyond mundane conceptions of “right” and “wrong”.\(^{116}\) This ideal, according to Graham, is conveyed in the mirror metaphor, and he makes specific reference to the passage “Using Xin Like a Mirror”, as well as complementary passages found outside the Inner Chapters.\(^{117}\)

Lee Yearley and Mark Berkson make reference to the mirror metaphor as well, and interpret in a complementary and generally uncontroversial way. Yearley sees the discussion of mirror-like consciousness as prescriptive in its manifestations, citing “Using Xin Like a Mirror” specifically,\(^{118}\) while retaining its descriptive character - which means that the mirror metaphors represent both a course of action and an ideal result. As such he identifies it with *yinshi* 因是 approach to knowledge.\(^{119}\) Berkson agrees, citing the same passage, and makes the same links as Graham and Yearley to

\(^{113}\) Graham 1983, p. 11.

\(^{114}\) Ibid., 7.

\(^{115}\) Ibid., 13.

\(^{116}\) I believe this position still suffers from the problem of “moral spontaneity” being a normative imperative undoubtedly advanced by Zhuangzi, if one indeed remains committed to the idea of Zhuangzi as a moral relativist. Graham acknowledges that it was Yao and Jie’s degree to which they responded with awareness that determined the moral nature of their actions (Graham 1983, p. 13-14), but it seems to me that the problem can be phrased in this way: “Is it good to respond with awareness?” Zhuangzi clearly states that it is, and thus offers at least one normative position he takes as superior to others.


\(^{118}\) Yearley, p. 162.

\(^{119}\) Ibid., p. 163.
“spontaneity”. Berkson, however, reads this as Zhuangzi insisting that we can have true knowledge through this spontaneity, rather than being trapped by words. This plays off of Graham's move away from a morally relativistic reading of the *Zhuangzi*, but moves further in denying the epistemologically relativistic reading: as Berkson says, “there is unmediated access to reality.”

The work of Harold Oshima on this point is crucial to this investigation - his essay “A Metaphorical Analysis of the Concept of Mind in the *Chuang-tzu*” serves not only as a critical reference to the source domain of mirrors in ancient China (to be discussed below), but also explicitly links all the mirror references discussed thus far with the *xin* 心. He establishes early on that *xin* 心 is not equivalent to either the English language concept of “heart” (in its function as centre of thought) or “mind” (in its denoting of what is anatomically the heart), opting not to translate the word. He does, however, demonstrate the *xin*'s centrality in the goal of achieving perfection in the Zhuangzian sense. Most importantly, Oshima identifies the mirror metaphor as Zhuangzi's primary metaphor for the abstract concept of *xin* 心.

To bolster this claim of centrality for the mirror metaphor Oshima explicitly links the clearest example of the metaphor, as found in “Using *Xin* Like a Mirror”, with the advice of both Confucius and Shen Tujia, amongst other similar metaphors found outside the Inner Chapters. He speaks of Confucius' description directly: “This idea of “stillness,” gleaned from the water and mirror metaphors...is applied, in turn, as a fundamental quality of the purified *hsin* [xin 心] in the sage...The metaphorical image here is that of the tao [sic], flowing into and reposing in the cleared and empty heart [xin 心]. Its surface, still and calm, like the mirror, reflects all things without prejudice, not being.

---

120 Berkson, p. 119.
121 Ibid., 116. Berkson's essay in this volume specifically compares and contrasts the views of Zhuangzi and Derrida on this issue, ultimately asserting that while both paint a negative picture of the limits of language, Zhuangzi offers a positive alternative (in spontaneity/responsiveness) that Derrida does not.
122 Ibid. Emphasis is Berkson's.
124 Ibid., p. 73, 76.
affected by anything.” In a similar fashion he addresses the relationship between the *xin* and mirrors with worldly concerns and dust, as found in the “Advice of Shen Tujia”:

Reflections make no real impression on the mirror - images only dance and play on its surface and never damage the mirror itself. Similarly, the world's most catastrophic events can never make a permanent or even lasting impression on the sage. If only he can keep his mirror free from dust, clear of all concerns that stick to the ordinary man's *hsin*, he can enjoy perfect freedom and detachment.

External influences affect man's *hsin* in much the same way as impurities muddy a pond's clarity and dust obscures the mirror's brightness. Likes and dislikes, concerns and fears were not conceived of as psychological states, but were actually envisioned as material impediments to the *hsin*'s functionings. Human concerns pile up in a man's *hsin*. One who cannot “forget” and clear himself of these accumulations is forever lost. As the dust piles up on his mirror, he slowly fades; the mirror of his *hsin* is no longer able to commune with the light of heaven.

There is more at work here than simply linking the occurrences of mirrors in the text with the concept of *xin* 心 and demonstrating that mirror-like consciousness is both a practice *and* a result of practice. This quotation from Oshima closes with a reference to “light” and its relationship with the mirror-like *xin* 心. Both Oshima and Harold Roth put forward compelling arguments linking the two concepts, which will be evaluated following a brief but representative survey of illumination (*ming* 明) metaphors in the Inner Chapters. In the *Zhuangzi* the metaphor of “reflection” is critically linked to the metaphor of “illumination”.

**II.XI ILLUMINATION AS KNOWING Metaphors in the *Zhuangzi***

The second chapter of the *Zhuangzi*, *qi wu lun* 齊物論, offers us an extended presentation of Zhuangzi's views regarding the state of disputation amongst scholars and thinkers in his time. The review is negative, and throughout the section Zhuangzi gives us his whimsical critique of the entire project and the inevitable failure of language. The failure of language here is of special concern for the translator, as the writing in question is opaque and difficult to render into something that approaches readable English. However, as pivotal arguments in Zhuangzi's line of thought, they are a necessary

---

125 Ibid, p. 77.
126 Ibid., 77-78.
burden that all translators must bear. The discussion is lengthy, so I have opted to include only the
sections making explicit use of the ming (明) metaphor.

II.XII Using Illumination

道惡乎隱而有真偽？言惡乎隱而有是非？道惡乎往而不存？言惡乎存而不可？道
隱於小成，言隱於榮華。故有儒、墨之是非，以是其所非，而非其所是。欲是其
所非而非其所是，則莫若以明。

How can the Dao be hidden\(^{127}\) and have “genuineness” or “falseness”?
How can words be hidden and have “is” or “is not”?
How can the Dao move but not exist?
How can words exist but not be acceptable?
The Dao is hidden in small achievements, words are hidden in glory and vanity. And so
there are the “is” and “is not” concepts of the Confucians and Mohists, with which they
affirm another's “is not” and deny another's “is”.\(^{128}\) If one desires to affirm another's “is
not” and deny another's "is", then there is not anything like using illumination.\(^{129}\)

是亦彼也，彼亦是也。彼亦一是非，此亦一是非。果且有彼是乎哉？果且無彼
乎哉？彼是莫得其偶，謂之道樞。樞始得其環中，以應無窮。是亦一無窮，非亦
一無窮也。故曰莫若以明。

"Is" is also “that”, “that” is also “is”. “That” is also an “is” - “is not” distinction, and
“this” is also an “is” - “is not” distinction.\(^{130}\) So as a result is there an “is” or “that”? Or as
a result is there no “is” or “that”? When “is” or “that” are not taken as polarities it can be
called the axis of the Dao. This axis begins by taking the centre of the ring, and using
this\(^{131}\) it responds without being depleted. The “is” concepts are never depleted, and the
“is not” concepts are never depleted. So I say there is not anything like using illumination.

昭文之鼓琴也，師曠之枝策也，惠子之据梧也，三子之知幾乎！皆其盛者也，故
載之末年。唯其好之，以異於彼，其好之也，欲以明之彼。非所明而明之，故以

127 Watson (p. 52) and Ziporyn (p. 11) leave yin 隱 as “hidden”. Graham (p. 39) opts to substitute the homophone yin 因,
arriving “rely upon”.
128 Here “is” and “affirm” are both shi 是; “is not” and “deny” are both fei 非. The change in rendering is necessary due to
their use as either a noun or verb.
129 Watson offers the equally good “the best thing to use is clarity” (p. 39). Graham (p. 50) elevates it to proper noun status,
rendering it “Illumination”. Ziporyn goes further, suggesting the concept of yiming 以明 has it's own special status as
“Illumination of the Obvious” (p. 12, 217). This concept will be addressed directly in my appraisal of scholarship on
these passages.
130 This section, with its frequent use of shi 是, fei 非, bi 彼, and ci 此 (not to mention yi 亦!), makes rendering the
Chinese into readable English exceedingly difficult. In this translation I intend to follow the Chinese as closely as
possible to provide a more literal meaning, but I offer the following translation as an alternate, more English reader
friendly possibility, with which I take more liberties:
“This is also that, and that is also this. Saying “it is that” is making a distinction about what really is, and saying “it is
this other thing” is also making a distinction about what really is.”
131 Taking yi 以 as yi 以 + zhi 之, where zhi refers to shu kai de qi huan zhong 樞始得其環中. See Pulleyblank, p. 48.
堅白之昧終。而其子又以文之綸終，終身無成。若是而可謂成乎，雖我亦成也。若是而不可謂成乎，物與我無成也。是故滑疑之耀，聖人之所圖也。為是不用而寓諸庸，此之謂以明。

Zhao Wen's playing of the zither; Master Kuang's baton waving; Huizi's leaning upon his writing desk. In all cases they flourished, and therefore [their feats] were recorded up into later years. Only this [their respective feats] they enjoyed, but in this they were different from others; so they desired to illuminate that which they enjoyed for others. Not being illuminated and then illuminating it is therefore using the obscure products of “hard” and “white”. And so a son, again using his father's theories comes to a resolution, and in the end he is not fully completed. If it is like this, but can be called completed, then even I too am completed. If it like this but cannot be called completed, then all things, along with myself, are not completed. And so the brilliance of chaos and doubt is what guides the Sage. He does not use this [i.e., shifei 是非], and dwells in the common - this is what is called “using illumination”.

Here “using illumination” is designated the best way to affirm or deny that which another denies (suofei 所非) or affirms (suoshi 所是). This is in contrast to what Zhuangzi calls the “‘is' and 'is not' concepts of the Confucians and Mohists”, which, according to the Zhuangzi in general, is a deficient manner of arriving at true knowledge. Zhuangzi, however, seems to maintain that there still is true knowledge that can be arrived at, which involves denying that which others affirm and affirming that which others deny, and this can be done by using illumination. As expected, Zhuangzi goes on to

---

132 “Baton waving” comes from Watson (p. 42) and Ziporyn (p. 15).
133 The character here, wu 梧, is the Sterculia platanifolia, or parasol tree. I have translated it following Watson (p. 42) and Ziporyn (p. 15).
134 Here I take “knowledge” (zhi 知) be something like “expertise in their own particular domain of endeavour”.
135 Here I am taking zhi 之 as a recapitulation of the exposed noun phrase qi hao zhi ye 其好之也, which I have moved to this position in the sentence to improve readability.
136 Ziporyn reads this passage differently: “They delighted in them, and observing that this delight of theirs was not shared, they wanted to make it obvious to others” (p. 15). Here he has abandoned his use of “Illumination the Obvious” as a translation for yiming 以明, likely because the words are used in different grammatical ways here. My interpretation is closer to Watson’s (p. 42) and Graham's (p. 54).
137 Watson, Graham, and Ziporyn all read wen 文 as fu 父. I follow their reading.
138 Note the occurrence here of the light metaphor in yao 耀.
139 Reading suo tu 所圖 as “that which serves as a map or diagram”.
140 A difficult passage. As before, I wish to compare Watson, Graham, and Ziporyn on the matter:
Watson: “So he does not use things but relegates all to the constant.” (p. 42)
Graham: “The That's it which deems he does not use, but finds for things lodging-places in the usual.” (p. 55)
Ziporyn: “He makes no definition of what is right but instead entrusts it to the everyday function of each thing.” (p. 15)
The basic argument here seems to be that the Sage does not use the aforementioned means of knowing things by fixed concepts, but instead responds on a case-by-case basis. This is consistent with other passages in the Zhuangzi.
tell us exactly why this is important and what it means.

By letting go of opposites (i.e., “is” and “not is” distinctions) one is said to have access to the axis of the Dao (dao shu 道樞).\textsuperscript{141} It is in this state that the Sage cannot be exhausted, and has access to true insight. This is the reason \textit{why}\textsuperscript{142} Zhuangzi implores us to use illumination - a benefit that we have seen before, easily categorized as “not being harmed or injured”.

We now need to know \textit{what}\textsuperscript{143} using illumination is. Zhuangzi gives us examples of individuals who were outstanding in their respective fields (Zhao Wen, Master Kuang, and Huizi), and desired to pass on their passion and skill to others; however, it became obvious that words (which are all that Confucians and Mohists rely on to access truth, according to Zhuangzi) are insufficient. We are to abandon these erroneous views and embrace a means of spontaneous evaluation of circumstances, without clinging to memories or expectations.

\textbf{II.XIII Existing Scholarship}

Harold Oshima explicitly links the illuminating power of a real, physical mirror with the metaphorically illuminating power of the \textit{xin} 心.\textsuperscript{144} He describes the mirror’s role as a reflector of light as analogous to the Sage’s role as a reflector of the \textit{Dao}.\textsuperscript{145} This is critical in its associating mirror-like \textit{xin} 心 with access to the true nature of reality. This link has not been overlooked in mainstream scholarship. Roth acknowledges that the concept of \textit{yi ming} 以明 can be put in the same category as \textit{da zhi} 大知 and \textit{zhao zhi yu tian} 照之於天; that is, all are classed as examples of \textit{yinshi} 因是 knowledge.\textsuperscript{146} Livia Kohn also acknowledges this indirectly, contrasting the use of \textit{ming} 明 with the

\textsuperscript{141} Reading \textit{daoshu} 道樞 as \textit{shu zhi dao} 樞之道; \textit{dao} 道 could be interpreted as an adjective, giving us “the Dao-like axis”, conveying a similar meaning. This idea, along with the “ring” metaphor that follows, are intriguing concepts in their own right, but are beyond the scope of this project. The reader is referred to De Reu, 2010.

\textsuperscript{142} \textit{Gu yue mo ruo yi ming} 故曰莫若以明 “So I say there is nothing like using illumination”.

\textsuperscript{143} \textit{Ci zhi wei yi ming} 此之謂以明 “This is what is called ‘using illumination’”.

\textsuperscript{144} Oshima, p. 76.

\textsuperscript{145} Ibid., p. 78.

\textsuperscript{146} Roth, p. 20, 24. Here Roth acknowledges Lisa Raphals previous work on this subject as found in Raphals, 1996.
ineffective use of “knowing” (zhi 知) in the mundane manner of the Confucians and Mohists.  

147 Here ming 明 is identified with wuzhi 無知, “not knowing”, in relation to the encounter dialogues that will be examined in the subsequent section. Graham, in the companion to his translation, also notes the importance of ming 名 in this section, contrasting it with conventional knowledge, which is described as “dark”.  

148 In briefly reviewing this scholarship I hope to have established only two points: (1) there is a deliberate link made between mirrors and illumination, and (2) this relationship is best categorized as what Zhuangzi would call yinshi 因是.

Before untangling and interpreting the metaphorical entailments of these metaphors, it is prudent to examine a dissenting voice on the matter. In the glossary of terms in his translation of the Zhuangzi Brook Ziporyn includes yiming 以明 as a binome, which he translates as “Illumination of the Obvious”.  

149 He does recognize the contrast being drawn between ming 明 and zhi 知, clearly designating the former as superior and the latter as inferior, and he further acknowledges a similar distinction that is made in the Daodejing 道德經, a distinction he believes is inherited, but with modifications. However, Ziporyn does not believe that this is meant to denote a consciousness that transcends relativism; he finds this “to be inconsistent with Zhuangzi’s relativist critiques, which must then be regarded as merely therapeutic and provisional”.  

150 He interprets ming 明 not as a deeper insight into reality, but an understanding of the “obvious”, recognizing that there are distinctions in perspectives at the surface level. For reasons already discussed I do not take the Zhuangzi to be a philosophically skeptical or relativist text, and thus do not feel compelled to seek to relieve the tension to which Ziporyn refers. It is worthwhile noting, however, that even in this case ming 明 is superior to

147 Kohn, p. 75.
148 Graham 2003., p. 117.
149 Ziporyn, p. 217, 218.
150 Ibid., 218.
II.XIV Metaphor: KNOWLEDGE AS ILLUMINATION

The conceptual metaphor diagrams we can create for the mirror/xin relationship and the light/knowledge relationship are straightforward and uncomplicated. The following diagram demonstrates a one-to-one relationship between the source domain elements of mirrors and the philosophical terms related to the xin:

<table>
<thead>
<tr>
<th>Mirror (Source Domain)</th>
<th>Heart/Mind or xin 心 (Target Domain)</th>
</tr>
</thead>
<tbody>
<tr>
<td>vacant, not storing</td>
<td>xu 虚 empty, tenuous</td>
</tr>
<tr>
<td>reflecting, casting light</td>
<td>yinshi 因是 “correct” distinctions</td>
</tr>
<tr>
<td>accumulation of dust on surface</td>
<td>weishi 為是 “incorrect” distinctions, linguistically based errors</td>
</tr>
</tbody>
</table>

Before elaborating upon the light/knowledge relationship, I feel it necessary to draw upon Harold Oshima's work on the mirror/xin metaphor to more fully flesh out the mirror source domain. He is sure to indicate that “mirror” in this instance has a very specific, physical form - that of the bronze mirror. Oshima informs us that such a device was used in all manner of religious and magical endeavours\(^\text{151}\), and was attributed with the ability to generate both fire and water\(^\text{152}\). Most critical to our investigation is the mirror's role as a projector of light\(^\text{153}\) - it is here that we can comfortably begin to draw together the mirror/xin and light/knowledge into a comprehensive model of what it means to have genuine understanding according to the Zhuangzi.

As in the previous mapping, the relationship between the source domain of light and the philosophical domain of knowing is a simple one, as depicted below:

\(^{151}\) Oshima, p. 74, 75.
\(^{152}\) Ibid., p. 75, 79.
\(^{153}\) Ibid., p. 76.
The real object of our interest is the resulting interaction of the metaphor schemes, which takes its meaning from all the domains discussed thus far. As a preliminary move let us quickly resolve the less complicated aspects of the interaction. The attribute of “vacancy” attributed to a mirror and the ideal state of a “tenuous” (xu 虛) mind give us the idealized pure mind that attains superior knowledge. The accumulation of dust on a mirror, like the accumulation of worries on the xin 心 result in the defiled ordinary mind, which is, according to Zhuangzi, possessed by the vast majority. Likewise, the brightness of light and yinshi 因是 knowledge are, in this amalgamation of metaphor schemes, the light that is cast upon things to reveal the truth. It follows that darkness is weishi 為是 knowledge, maps to the deluded individual being unaware of reality and being trapped in shifei 是非 distinctions.

The picture is complete when we see the convergence of source domains in this system of metaphor schemes. The weishi 為是 of the xin meets with the darkness source of the light domain, just as the weishi 為是 of the knowing domain does. Most important is the convergence of the yinshi 因是 in both the xin and knowledge domains with the “reflecting” properties of the mirror and the “having a source” properties of light. Where these four elements from our four different sources meet is the culmination of the “mirror-like” ideal mind series: “reflected light reveals things as they truly are”. It is on this point that I desire to linger and examine the most profound interpretations of this model.

The linking of yinshi 因是 and tian 天 is crucial for two reasons. First, it identifies the ultimate source of knowing reality not as the Sage, but as Heaven. Just as a mirror cannot illuminate
unless light is cast upon it, so too the Sage cannot understand unless it reflects the light of Heaven in an unobstructed manner. Of course Zhuangzi is also making the implicit claim that should one have a mirror-like mind the source for such light will no doubt be present and available for the Sage’s use. The problems associated with the distinctly human endeavour of zhi 知 (that is, knowing in a mundane, ineffectual, and deficient way) are left behind when the source of one’s knowledge is perfect tian 天. This link is stated explicitly in the second of the Inner Chapters: “Therefore he does not follow [weishi means of knowledge], but uses the illumination of Heaven”. Second, and perhaps more important to the topic at hand, Zhuangzi is making a positive claim that real understanding is possible, and this form is superior to that of the Confucians and Mohists. By drawing on our shared embodied experience of “light” and “dark” Zhuangzi is appealing to our innate preference for illumination over obscuration. Implicit here is a visual metaphor: in the light we can see things as they are, and adjust our understanding as these things change, because we can observe these changes clearly; in the dark, none of this is possible. Zhuangzi is advocating what he believes to be a superior form of knowledge, attained variously through practice or encounter.

II.XV Yan Hui’s Fasting of the Mind

In the chapter ren jian shi 人間世 (“People in the World”) we are presented with a story of Yan Hui 顏回, who, as we learn from the Analects, is the favourite disciple of Confucius. He desires to counsel the ruler of the state of Wei 衛, but is disappointed to learn that his master has no confidence in his abilities in his present state.

顏回曰：吾無以進矣，敢問其方。仲尼曰：齋，吾將語若！有（心）而為之，其易邪？易之者，皞天不宜。顏回曰：回之家貧，唯不飲酒、不茹葷者數月矣。如此，則可以為齋乎？曰：是祭祀之齋，非心齋也。回曰：敢問心齋。仲尼曰：一若志，無聽之以耳而聽之以心，無聽之以心而聽之以氣。氣也者，虛而待物者也。唯道集虛。虛者，心齋也。顏回曰：回之未始得使，實

154是以聖人不由，而照之於天
Yan Hui said, “I lack the means to proceed! I want to ask you about the method.”

Confucius said, “Fast! I am about to tell you what it is like. To have something in mind and then do it - is it easy? Those who consider it easy - brilliant Heaven does not deem them appropriate.”

“My family is poor. We don't even drink wine, and haven't eaten meat for many months! Being like this - can it be considered to be fasting?”

“This is sacrificial fasting. It is not fasting of the mind.”

“I dare to ask you about fasting of the mind.”

Confucius said, “You unify your will. Don’t listen with your ears, but listen with your mind. Do not listen with your mind, but listen with your qi. Hearing stops at the ear. The mind stops at tallies. It is the qi that is tenuous and awaits things. Only the Way gathers in tenuousness. Tenuousness is fasting of the mind.”

Yan Hui said, “My not yet beginning to understand the cause of this, truly I was myself Hui. Getting to put this into effect, there has not yet begun an existing of Hui. Can this be called tenuousness?”

The Master said: “Precisely! I will tell you. It is if you are able to enter and wander in an enclosed place and not be concerned with reputation. If you enter then cry like a bird. If you do not, stop. Be without a gate and an antidote. One considers unified all dwellings, and lodges in that which cannot be stopped, and that’s all. This is it exactly.

Erasing footprints is easy, but not treading on the earth is hard. If one is on behalf of people ordered – it is easy to employ falsehood. If on behalf of Heaven ordered – it is difficult to employ falsehood. You hear of those who by means of having

155 Alternatively: “Brilliant Heaven does not deem considering it easy appropriate”.
156 To avoid redundancy in the English translation I will only indicate the speaker (as the Chinese does) when I deem it stylistically necessary. This is Yan Hui's reply.
157 Cheng Xuanying suggests that fu 符 is he 合 (joining or combining two things).
158 Both Guo Xiang and Cheng Xuanying suggest that du 毒 is zhi 治 (cure or antidote). Watson, Graham, and Ziporyn offer varying interpretations:
   “Have no gate, no opening, but make oneness your house and live with what cannot be avoided”. (Watson, p. 58, following Qing/Republican scholar Zhang Binglin 章炳麟).
   “When there are no doors for you, no outlets, and treating all abodes as one you find your lodgings in whichever is the inevitable...” (Graham, p. 69)
   “Do not let him get to you, but do not harm him either.” (Ziporyn, p. 27). Ziporyn seems to be the only translator who attempts to preserve the character du 毒 as it is, meaning something like “poison”.
159 Following commentary of Guo Xiang and Cheng Xuanying.

Guo Xiang: 理盡於斯。“The pattern is perfected in this.”
Cheng Xuanying: 節, 惡也。應物理盡於斯也。“Ji 節 is ji 竭 (exhaustion). In responding to things, the pattern is completed.”

Li 理 is an important concept in later Daoist and Buddhist thought, with which Guo Xiang and Cheng Xuanying would be well acquainted. However, one should note that the term only appears once in the Inner Chapters of the Zhuangzi.
wings fly, but you have not yet heard of those who by means of not having wings fly. You hear of those who by means of having knowledge know, but you have not yet heard of those who by means of not having knowledge know. Gaze into vacuity before you,\textsuperscript{160} and the tenuous chamber will produce the light. Good fortune and auspiciousness halt in the still. However, as for not halting: this is called sitting and exerting oneself.\textsuperscript{161} Cause\textsuperscript{162} the ears and eyes to communicate inwardly, and outside the mind will know. Ghosts and spirits will come to abide, and how much more so people! This is the transformation of the myriad things, that which was Yu and Shun's critical point, that which was Fu Xi and Ji Qu's conduct until the end - how much more so should [it be for] those scattered about!"

Confucius urges Yan Hui to fast, but not in the “ordinary” way - that of sacrificial fasting - but to actually perform an activity with his $xin$ 心. It is moving beyond perceptions using the ears or even thinking, but “hearing” with one's $qi$ 氣, which is tenuous and thus the gathering point for the $Dao$ 道. This revelation alone seems to be sufficient to shock Yan Hui into a new state of consciousness, which Confucius recognizes as having understood his teaching perfectly. This does not stop his teacher from rhapsodizing, however. Of the variety of metaphors offered, the most interesting for the present discussion is that of “producing light”, which links this passage conceptually with the mirror and illumination metaphors discussed previously.

II.XVI Yan Hui's Forgetting

The next selection, sometimes thought to relate Yan Hui's “Gradual Enlightenment”\textsuperscript{163}, is found in the chapter $da zong shi$ 大宗師. There is no other context provided - the following presents the incident in its entirety.

顏回曰：回益矣。仲尼曰：何謂也？曰：回忘仁義矣。曰：可矣，猶未也。他日

\textsuperscript{160} Cheng Xuanying: Zhan 觀 is guan 観 or zhao 照. Bi 彼 is qian 前 or jing 境. Que 闋 is kong 空.
\textsuperscript{161} This idea of exerting oneself while sitting may have interesting contrasts with Yan Hui's “forgetting while sitting” in the subsequent selection.
\textsuperscript{162} Cheng Xuanying: Xun 循 is shi 数.
\textsuperscript{163} See, for example, Slingerland 2003 p. 213.
Yan Hui said, "I have progressed."
Confucius said, "What do you mean?"
"I have forgotten Benevolence (ren 仁) and Righteousness (yi 義)."164
"As you should, but this is still not it."
Another day he again went to see [Confucius], and said, "I have progressed."
Confucius said, "What do you mean?"
"I have forgotten Ritual (li 礼) and Music (yue 樂)."165
"As you should, but this is still not it."
Another day he again went to see [Confucius], and said, "I have progressed."
Confucius said, "What do you mean?"
"I forget while sitting."166
Confucius said with a shock, "What is forgetting while sitting?"
Yan Hui said, "I cause the falling away of my limbs and body, expel auditory and visual perceptions167, inciting the departure of form and the banishment of knowledge, and become the same as the Great Dao168; this is what I call forgetting while sitting."
Confucius said, "If one is the same then they are without predilections, and if one transforms then they are without constancy. So then you are the worthy one! I desire to follow you as your disciple."

Yan Hui comes to Confucius three times and insists that he is making progress toward the goal of merging with the Dao 道. In the first two instances he is able to discard the primary Confucian virtues and learn to neglect the primary Confucian tools of self-cultivation, and in both these instances Confucius recognizes his achievement, but knows he has not yet become fully realized. On the third

---

164 Two primary virtues in the thought of Confucius as found in the Analects, and as well popular with Mencius. I have chosen to translate ren 仁 as “benevolence” and yi 義 as “righteousness” to reflect the Zhuangzi’s place chronologically in relation to the Mengzi. In his translation to the Mengzi Bryan Van Norden uses these glosses, and as the Zhuangzi is roughly contemporaneous I will follow him.
165 Again, these are important indicators of culture and virtue in Confucius’ thought. As with his forgetting of Benevolence and Righteousness, we should note that these actions are certainly not in accord with anything Confucius would have taught in the Lunyu.
166 Watson, Graham, and Ziporyn all read hui zuo wang yi 回坐忘矣 as a series of verbs, eg. “I can sit down and forget everything!” (Watson, 90). This is plausible, though hui zuo er wang yi 回坐而忘矣 would be a clearer way to render such a passage. I prefer to read zuo 坐 as an adverb, modifying wang 忘, translated uneloquently into English as “I sittingly forget”, or “I forget in a sitting-down manner”. Ultimately there is no change in meaning.
167 Contrast Zhuangzi’s use of ming in this instance. See commentary.
168 da tong 大通 is rendered by Watson as “Great Thoroughfare” (90) and Graham as “universal thoroughfare” (92). Ziporyn opts to read it as hua tong 化通, based on a parallel passage in the Huainanzi. However, I have decided to translate the term based on the suggestion by Cheng Xuanying in his commentary: 大通,猶大道也. In all cases the referent is the same.
occasion he relates a practice to his teacher so shocking that Confucius is moved to request more information. Yan Hui describes the process, and Confucius acknowledges Yan Hui's superior achievement and requests to become his disciple.\textsuperscript{169} The critical difference here is not the “rate” (i.e., “sudden” or “gradual”) at which insight comes, I think, but rather the way it is achieved by Yan Hui: through dialogue in the first, and through practice in the second. Before investigating this disparity further it is prudent to examine one more brief “enlightenment” story in the Zhuangzi.

II.XVII Liezi’s Realization

Near the end of the chapter \textit{ying di wang 應帝王} Zhuangzi tells us story about Liezi 列子 and his master Huzi 壺子, in which Liezi is impressed by the apparent powers of a shaman in predicting the date at which one would die. Huzi has Liezi bring the shaman to him to demonstrate his powers. The shaman makes three attempts, each with a different result, which Huzi explains to Liezi. The fourth encounter ends in the shaman fleeing, terrified by what he sees. Huzi explains to Liezi what the shaman saw, at which point Liezi gains critical insight.

然後列子自以為未始學而歸，三年不出。為其妻爨，食豕如食人。於事無與親，彫琢復朴，塊然獨以其形立。紛而封哉，一以是終。

Subsequently Liezi deemed himself not yet to have even begun to study\textsuperscript{170} and returned home, where for three years he did not leave. He cooked for his wife and fed the swine in the manner he would feed humans. Towards affairs he had no intention of having proximity, and his carved-jade like state returned to that of an unhewn one; like a clod he in solitude stood up his physical form. Tangled and blocked\textsuperscript{171}, in this way he lived out his days.

\textsuperscript{169} It is interesting to note that while Confucius did recognize when Yan Hui had failed to fully “get it”, he himself had to be shown what truly “getting it” was. One can only presume that until he heard of Yan Hui’s \textit{zuowang 坐忘} method Confucius had only gone as far as to “forget Ritual and Music”. In this way it may be said that this is really Confucius’ “Enlightenment story”, at which Harold Roth hints (Roth, p. 18). Here I feel it important to note that while Confucius has had some sort of insight, it is not apparent that he has reached the ultimate goal, or even the level that Yan Hui has attained. This is crucial in comparing “insight” and “practice” in the stories of enlightenment in the \textit{Zhuangzi}.

\textsuperscript{170} Watson reads this as meaning Liezi has reached the highest level of understanding (p. 97). If read this way (i.e., with the understanding that Liezi had his insight experience and then retreated to his home, rather than realizing he was deluded and gradually accruing insight while engaging in this bizarre behaviour), then I offer the alternate translation for the later line: “...towards affairs he had no intention of having proximity, \textit{for} his carved-jade like state \textit{had} returned to that of an unhewn one...”. We may also read \textit{fu} 复 causatively: “he \textit{caused} his carved-jade like state \textit{to return} to that of an unhewn one”. The interpretation of when Liezi’s insight happened hinges on these questions.

\textsuperscript{171} This must be understood as a positive, along the lines of Zhuangzi's praise for “natural” and “unhewn” states.
We have here a third insight encounter between teacher and student, though not our stock characters of Confucius and Yan Hui. In this instance it is certainly the student who is enlightened; in this way it parallels Yan Hui’s “sudden” enlightenment. But what are we to make of Liezi’s actions? If we read the text as Watson does, we are lead to understand that his insight was immediate, and all that happened afterward was the result of his increased awareness of reality - another Yan Hui “sudden” enlightenment parallel. However, if we understand that Liezi initially understood that he did not truly understand and returned home in order to engage in some form of practice (though not described as some kind of mystical or ritual behaviour, it can be thought of as “practice” in the same way Yan Hui’s “forgetting” is practice), we have a story that is more reminiscent of Yan Hui's “gradual” enlightenment. It is unclear in this reading if Liezi reaches ultimate realization, but it is evident that he does gain a greater understanding. In either case this story, like the two stories about Yan Hui, involve at least some kind of insight, whether it be Yan Hui's, Confucius', or Liezi's. It may be argued that in each of these instances the realization is instantaneous - though in the latter two cases, further practice may have been required.

Before examining similar phenomenon in the Platform Sūtra it is necessary to briefly review the existing scholarship on the Yan Hui enlightenment passages. Livia Kohn describes the zuowang 坐忘 passage as “sitting in oblivion”172 and links it explicitly with Guo Xiang’s thought and his program of “unlearning”, though she describes Guo Xiang's thought as more systematic, suggesting Zhuangzi is more vague and does not offer an explicit program, only “metaphorical stories, fables, and fictional dialogues”.173 She also makes the connection between this section and the xinzhai 心齋 passage, suggesting that they are instances of what Zhuangzi would consider the same phenomenon of

172 Kohn, p. 74. While I am generally satisfied by what Kohn has to say about the concept, I am not fond of the translation of wang 忘 as “oblivion”.
173 Ibid., 74, 79.
“reorganization of consciousness”\textsuperscript{174} Harold Roth links \textit{zuowang} \textsuperscript{坐忘} with mystical practice, especially breathing practice and inner cultivation.\textsuperscript{175} Lee Yearley seems to describe \textit{xinzhai} \textsuperscript{心齋} as a form of practice as well; or, more accurately, as a “process”,\textsuperscript{176} which he links with skill stories in the \textit{Zhuangzi}, such as the Woodcarver Qing story. He sees these mental fasting practices as prerequisite to being skillful, whether that skill be carving, cutting meat, swimming, or serving as an adviser to those in political power. The important point to take away from Yearley's analysis is that Yan Hui, in his “sudden” enlightenment story, can be thought of as still engaging in some sort of practice, albeit a very brief one.

All three stories exhibit what can be interpreted as containing \textit{both} insight and practice. In the “Fasting of the Mind” story Yan Hui is said to have understood Confucius' teaching precisely, as well as engaging sufficiently in the actual process of \textit{xinzhai} \textsuperscript{心齋}. In the passage relating Yan Hui's “Forgetting While Sitting” Yan Hui is shown as coming upon a practice, by which the description of Confucius gains insight. Finally, in the discussion of Liezi's enlightenment, we read that Liezi at some point came to a deeper insight, as well as engaged in some kind of behaviour that is advocated by Zhuangzi. This combination seems to be advocated in the \textit{Platform Sūtra}, but the enlightenment examples provided therein suggest that practice (in the form of meditation) is not crucial to insight.

\textsuperscript{174} Ibid., 79.
\textsuperscript{175} Roth, p. 18.
\textsuperscript{176} Yearley, p. 166.
III Platform Sūtra

III.I Awakening in the Platform Sūtra

Though different terminology is applied, the same basic model for ignorance exists in Buddhism and the Platform Sūtra specifically. The examples of deluded ones (miren 迷人) and awakening (wu 悟) are many, so let us examine a representative example and extrapolate from there. In section 30 we learn that,

緣在人中有愚有智。愚為小，故智為大。問迷人（迷人問）於智者，智人與愚人說法，令使愚者悟解深開。迷人若悟心開，與大智人無別。故知不悟，即佛是眾生。一念若悟即眾生是佛。

Within the realm of humans there exist foolish and wise. The foolish are unimportant, while the wise are great people; the deluded ones ask the wise ones, and the wise ones speak the Dharma to the foolish ones; this causes the foolish ones to awaken to understanding and deeply uncover, and with the great wise people there is no difference. Therefore know that if unawakened a Buddha is in fact a sentient being, and a being awakened in the manner of a single thought is in fact a Buddha.

The terms miren 迷人 and wu 悟 appear so frequently in the Platform Sūtra that is only reasonable to consider them the standard metaphor employed for being deluded and being aware in the text. We ought to establish some basic definitions for these terms in order to see how they correspond to those we find in the Zhuangzi. Taking wu 悟 first, a synonym for jue 覺 in Old Chinese, and as such carries the same metaphorical meaning as the latter does in the Zhuangzi. The word mi 迷 is found in the chapter ren jian shi 人間世, where Confucius hears Kuang Jieyu 狂接輿 use the word in a lamentation, where it means something like “misguided [person]”. The term is also found in other related texts, such as the Liezi chapter Zhou mu wang (“King Mu of Zhou”), where again it can be

---

177 For 少, following Yampolsky.
178 Following arrangement made by Yampolsky.
179 The Dunhuang version has 不是佛, I have followed the suggestion made by Yampolsky.
180 Taking yuan 界 as “border, edge”.
181 “Sentient being” comes from 種生, which has been interpreted as both “all living beings” and “everything” (i.e., even inanimate objects, said in some literature to possess Buddha nature - see for example the Nirvana Sūtra. See this entry in Muller's Digital Dictionary of Buddhism, http://www.buddhism-dict.net/cgi-bin/xpr-ddb.pl?88.xml+id('b8846-751f') ). For the purposes of this translation it is not crucial to make this distinction.
taken as meaning something like “misguided” or “delusion”.

Thus the model, while similar, is not quite identical. Because the metaphor system for ignorance in this instance is straightforward we will simply describe it in a sentence, rather than an elaborate conceptual metaphor diagram: “awakening is knowing”. This is frequent in the Platform Sūtra, as can be found in the enlightenment stories in part 4 of this paper. It is also not unique or original to the Platform Sūtra, but is in fact a common word used for enlightenment in the translation of Buddhist texts to Chinese. The other half of the model, “delusion is sleeping (and by extension, dreaming)”, however, is only implied in the Platform Sūtra, and not explicit as in the Zhuangzi. Mi 迷 here is not a word for dreaming, though the model of delusion (although not represented by a dreaming metaphor) contrasted with an awakening metaphor remains. In both texts being unaware is likened to being in a dreaming consciousness (designated as such either explicitly or through extrapolation of the complementary metaphor, as in the case of the Platform Sūtra where no explicit dream metaphor occurs), in contrast to being aware, which is conceptualized as being awake.

III.II Knowing in the Platform Sūtra

“Sky” (tian 天) metaphors, infrequent but present in the Zhuangzi discussion of ming 明, make a reappearance in the Platform Sūtra, and in this instance it brings a great deal of related imagery with it. The basic premise is the same: the luminous objects in the sky can cast light upon the earth and reveal its features, just as knowledge can cast light upon reality and show its nature. The metaphorical structure, as found in section 20, is presented in this manner:

日月常明182，只為雲覆蓋，上明183下暗，不能了見日月西辰。忽遇慧184風吹散卷雲霧，萬像森185羅，一時皆現。世人性淨，猶如清天，惠如日，智如月。智惠

---

182 The Dunhuang version has ming 名. I have followed the suggestion made by Yampolsky, as I do in subsequent notes. 183 See above note. 184 The Dunhuang version has 惠. 185 The Dunhuang version has 參.
常明，於外著境，妄念浮雲蓋覆自性不能明。
The sun and moon are eternally bright, and are only by clouds covered and concealed; above it is bright and below it is dark, and one is not able to see the sun, moon, and stars. Suddenly, it occurs that the wind of intelligence blows, completely scattering and rolling away the clouds and fog, and the myriad forms and interconnected things at one moment all appear. The world's people have a pure nature, like the clear sky; knowledge is like the sun, wisdom is like the moon. Wisdom and knowledge are eternally bright, but if one clings to external perceptual objects, reckless thoughts will like floating clouds cover and conceal your self-nature, and it will not be able to illuminate.

Our diagram for this scheme follows:

<table>
<thead>
<tr>
<th>Meteorological Phenomenon (Source Domain)</th>
<th>Awareness and Delusion</th>
</tr>
</thead>
<tbody>
<tr>
<td>sun</td>
<td>wisdom</td>
</tr>
<tr>
<td>moon</td>
<td>knowledge</td>
</tr>
<tr>
<td>sky</td>
<td>self nature</td>
</tr>
<tr>
<td>clouds</td>
<td>false perceptions</td>
</tr>
<tr>
<td>wind</td>
<td>intelligence</td>
</tr>
<tr>
<td>brightness</td>
<td>knowing</td>
</tr>
<tr>
<td>darkness</td>
<td>not knowing</td>
</tr>
</tbody>
</table>

Beginning with the least complicated, let us examine what these metaphors are meant to convey.

Clouds represent ignorance and delusions to which we cling, and which prevent us from having accurate knowledge. In this rendering wisdom (\textit{zhi}) and knowledge (\textit{hui}) are presented as separate phenomenon (metaphorically) from intelligence (\textit{hui}); wind is by any manner of categorization a different kind of phenomenon from the sun or the moon. \textit{Hui} does not appear in the Dunhuang version of the text: this usage is an editorial suggestion proposed by Yampolsky.\footnote{Yampolsky translates both \textit{hui} and \textit{hui} as wisdom. Muller, in the Digital Dictionary of Buddhism, \textit{(http://www.buddhism-dict.net/cgi-bin/xpr-ddb.pl?60.xml+id('b60e0')} ) demonstrates that this is not a unique definition for 森羅 taken from Muller's Digital Dictionary of Buddhism, \textit{http://www.buddhism-dict.net/cgi-bin/xpr-ddb.pl?68.xml+id('b68ee-7f85')}.} If we...
follow his line of reasoning, the phenomena remain distinct. If we decide to follow the text as it is, we
are presented two different metaphors for hui 惠 which, in our appraisal of the metaphor, does not
have a significant impact. Following Yampolsky, it is a related but different attribute that removes false
perceptions from which illuminates; following the text, it is is the same.

An important element of this metaphor scheme is the likening of self-nature to the “pure sky”.
If we follow the logic of this metaphor, we find that zhi 智 and hui 惠 are in fact located in one's self
nature (zixing 自性). It is here we find a divergence with the ming 明 metaphors of the Zhuangzi.
Though the sources of illusion are similar in both models - accumulations of dust or clouds,
representing false views, which serve to impede light - the sources of illumination are different. In
Zhuangzi we have tian 天 not as a physical source domain metaphor, but as a metaphysical concept
(Heaven). It is the ultimate source of illumination, though it must be reflected by the xin 心. In the
Platform Sūtra we have zhi 智 and hui 惠 as our illumination sources, which are properties of zixing
自性, self nature (itself a property of emptiness), not Heaven. As well, zhi 智 and hui 惠 are
responsible for clearing away false views, the role of the Sage in Zhuangzi's model.

It is impossible to discuss points of divergence and commonality in the Zhuangzi and the
Platform Sūtra without addressing the famous verses on the mind attributed to Shenxiu 神秀 and
Huineng 惠能. According to the story, Hongren 弘忍, the fifth patriarch, has asked his students to
present a verse on the mind. Shenxiu offers his verse by writing it on the wall of a meditation hall in
the dead of night, but is told (when Hongren discovers he is the author) that his understanding is
deficient. Huineng overhears the verse being recited and, in the Dunhuang version of the text, has an
acolyte write191 his two responses for their master to read. Shenxiu's verse is found in section 6, while

191 Huineng is known in Chan literature in part for his inability to read or write, and thus must have someone else record
his verse.
Huinen's are presented together in section 8.

Body is the Bodhi tree
The *xin* is like a bright mirror and stand
At all times work diligently in brushing and wiping
And never cause dust and grime to gather

Bodhi originally lacks a tree
The bright mirror also lacks a stand
Buddha nature is eternally clear and pure
In what way could it have dust and grime upon it?

Xin is the Bodhi tree
The body is the bright mirror and stand
The bright mirror is originally clean and pure
In what way could dust and grime defile it?

Following the program of putting these metaphors into a diagram, we arrive at the following configuration:

<table>
<thead>
<tr>
<th>Mirror (Source Domain)</th>
<th>The <em>xin</em> (Target Domain)</th>
</tr>
</thead>
<tbody>
<tr>
<td>mirror and stand</td>
<td><em>xin</em></td>
</tr>
<tr>
<td>wiping dust</td>
<td>effort required to keep <em>xin</em> pure</td>
</tr>
</tbody>
</table>

Shenxiu's verse, which we are to understand does not fully grasp the truth, likens the body to the *bodhi* tree and the *xin* to a mirror with a stand. No further conclusions are drawn from the *bodhi* tree metaphor, but we are told that the mirror (and therefore the *xin*) must be diligently cleaned in order to keep it pure. Dumoulin interprets this as referring to the practice of meditation, as was a preference of

---

192 The Dunhuang version has 佛.
193 The Dunhuang version has 佛姓常清淨.
the Northern School.\textsuperscript{194} Purity here is ultimately a concern for the \textit{xin}.

Before interpreting the verse attributed to Huineng, some review of the history of this exchange is necessary. First, there is the puzzle of there being two verses. Both McRae\textsuperscript{195} and Yampolsky\textsuperscript{196} note this odd phenomenon, speculating that the editor could not decide which verse was better. McRae, limiting his discussion only to the received version of the verse, which is derived from the first verse but with an altered third line (“Originally there is no single thing”)\textsuperscript{197}, denies that these represent the “gradualism” of Shenxiu and the “suddenness” of Huineng, but are in fact a reflection of a form of discourse found in the writings of the Oxhead School of Chan Buddhism.\textsuperscript{198} To briefly summarize his argument, he suggests that Shenxiu's mind verse is the “formal terms” for the teaching, while Huineng's builds upon it by applying the concept of śūnyatā or emptiness. Taken together a third, complete doctrine is formed, which advocates a formal structure but acknowledges its ultimate emptiness. This, McRae asserts, is a pattern clearly visible in texts associated with Oxhead School.\textsuperscript{199} While this observation may be true, it must be noted that McRae does not address the second Huineng verse found in the Dunhuang text. His argument, if correct, can only go so far as to explain the relationship between Shenxiu's verse and Huineng's first verse (which is almost identical to the verse in the received version). Huineng's second verse still requires elaboration.

Both of Huineng's verses deny the suggestions made by Shenxiu, but in their denials of the original verse they each contradict the other, and arrive at different conclusions. The first begins by splitting apart the elements of the source domain offered by Shenxiu. He does not include the body (\textit{shen} 身) or the \textit{xin} (心), but splits \textit{bodhi} from the tree, and suggests the mirror does not have a stand.

This does not provide any information for the metaphor scheme we arrive at subsequently; it merely

\textsuperscript{194} Dumoulin, p. 139.
\textsuperscript{195} McRae, p. 62.
\textsuperscript{196} Yampolsky, p. 132, in a note referencing HU Shi 胡適.
\textsuperscript{197} 本来無一物
\textsuperscript{198} McRae, p. 65.
\textsuperscript{199} McRae, p. 58-60.
serves to undercut Shenxiu's basic premises. He introduces a concept Shenxiu did not address - Buddha nature (foxing 佛性) - and seems to implicitly link it with the stand-lacking mirror (the existence of which he does not explicitly deny) by asking where dust and grime could gather if it were eternally pure (recall that the mirror was the object on which the dust and grime gathered in Shenxiu's verse). This results in a metaphor scheme suggesting that Buddha nature does not require effort or practice to be recognized.

Huineng's second verse also denies Shenxiu's, but not by denying the constituent elements of the source domains. We find all the pieces there - the body, the xin, the bodhi tree, etc., - but their roles rearranged. Taking source domain of the mirror and stand, which for Shenxiu represented the xin, we find the following scheme:

<table>
<thead>
<tr>
<th>Mirror (Source Domain)</th>
<th>The xin 心 (Target Domain)</th>
</tr>
</thead>
<tbody>
<tr>
<td>mirror and stand</td>
<td>shen 身</td>
</tr>
<tr>
<td>wiping dust</td>
<td>effort required to keep shen 身 pure</td>
</tr>
</tbody>
</table>

Huineng here associates the body with the mirror and stand, and the xin with the bodhi tree. Like Shenxiu's version, we find no further developments with the bodhi tree scheme. However, in this version of the verse, Huineng makes an assertion that it is the body, and not Buddha nature, that does not require effort to be made pure. Finally, in contrast to the dust metaphors of the Zhuangzi, “dust” here is a fundamental illusion that all people experience, and not only a linguistic problem that can be surmounted. For Zhuangzi, “illusion” does not suggest that there is not a reality, just that it is misperceived; in the Platform Sūtra, as in Buddhism in general, the idea that anything exists (i.e., is not fundamentally “empty”) is the illusion with which one is to come to terms.

Here, one may be tempted to interpret shen 身 as “self” rather than “body”, which initially seems plausible using the variety of meanings found in Classical Chinese. This however, would be a
mistake: central in all Buddhist thought is the concept of anātman, the basic denial of the existence of the self. We would remain on the correct course if we continued to think of shen 身 as body, perhaps meaning the same as Sanskrit rūpa. What are to make of this verse? I can only offer a tentative and admittedly speculative suggestion. Perhaps the author of this verse was more concerned with arguing against Shenxiu's attribution of primacy of xin over the body rather than expounding on the doctrine of śūnyatā. By promoting the body over the xin the author may be trying to shock the reader into re-examining their viewpoint, not unlike the manner in which Zhuangzi promotes the infirm and morally dubious in the Inner Chapters. Perhaps it is unsurprising that this particularly perplexing verse was dropped in later versions of the text.

Shenxiu's mirror metaphor seems to be much more like the metaphor Zhuangzi uses than Huineng's usage. Both Shenxiu and Zhuangzi see the mirror as representing the xin 心, and both implore the reader to exert effort in order to keep the mirror clean. Huineng, in his two verses, has us either associate the mirror with Buddha nature or the body, and tells us there is no polishing necessary. The difference between the verses attributed to Shenxiu and Huineng should then be interpreted as an indirect criticism of Zhuangzi's thought: just as Shenxiu's conceptualization of xin is deficient, so too is Zhuangzi's. Both Shenxiu and Huineng's verses lack any explicit references to the mirror's attribute of "responding", which is so vital in Zhuangzi's thought. However, the "pureness" or "brightness" used in these instances qualify as an adequate correlation - in what way is a mirror pure or bright if not in reflecting light? Our source of light in these verses is not identified, but we can look to our complementary metaphor involving meteorological phenomena for a possibility - zhi 智 and hui 惠, the "sun" and the "moon". As Shenxiu's verse is presented as deficient, it should not be analyzed in the context of other positive Platform Sūtra doctrines. However, when we turn to Huineng's first verse, which was eventually the winning interpretation, things become increasingly complicated. If our
understanding of Buddha nature being implicitly represented by a mirror (still without a stand) holds true, then the light it reflects comes from wisdom and knowledge, contained in self-nature (zixing 自性) - which is ultimately the same Buddha nature possessed by all people. Thus the source and reflector of the light is the same in the Platform Sutra metaphor scheme. This is the most striking difference between these two texts on the topic of real knowledge: Zhuangzi maintains that the external source which illuminates for us (tian 天); the Platform Sutra claims that the ultimate source of illumination is our own self-nature (zixing 自性), which is a property of emptiness.

III.III “Encounter Dialogue” in the Platform Sutra

We find an instance of “sudden” enlightenment in the Platform Sutra as early as the second section, in which Huineng, as a youth, overhears the recitation of the Diamond Sutra and attains insight:

惠能一聞，心明200便悟。
I (Huineng), upon once hearing it, had an illuminated xin and was immediately awakened.

The metaphors for “illumination” and “awakening” are no doubt familiar to us now. What is interesting in this instance is that Huineng's awakening (at least to the meaning of the Diamond Sutra) is immediate and not contingent on practice. In this manner it is parallel to Yan Hui’s “sudden enlightenment”. It is also crucial to note that, unlike the long-winded description of xinzhai 心齋 we get in Yan Hui's “sudden enlightenment” story, we are not privy to what in the recitation awakened Huineng. The potential for awakening through this text is not exhausted in this episode, however, and in section 9 Hongren expounds on the Diamond Sutra for the benefit of Huineng, who had just recently had his verses publicly criticized (but privately confirmed). The quotation is mostly parallel to the one previous:

200 For ming 名, following Yampolsky.
惠能一聞，言下便悟，其夜受法。
I (Huineng), upon hearing the words spoken once, was immediately awakened. That night I received the Dharma.

Whatever the reason Huineng was unable to receive the Dharma after his initial awakening, its conditions have now been met in this encounter. Again we are not privy to what exactly Huineng heard, in contrast to the stories we find in the Zhuangzi. Huineng's enlightenment experiences are not the only to be found in the Platform Sūtra, so let us now turn to the accounts of those enlightened by Huineng.

Section 40 alleges that Shenxiu, apparently curious and possibly envious of Huineng's ability to expound the Dharma, sends his eager disciple Zhicheng to inquire about Huineng's teachings under false pretenses. The text tells us that “Zhicheng heard the Dharma, and the words immediately awakened him; at once he was in contact with his original xin.” Again we are in the dark as to what specifically Huineng spoke. But as a result of Zhicheng's awakening he renounces his former teacher and devotes himself to Huineng.

Immediately following the text's discussion of Zhicheng, which continues into and is finalized in section 41, we encounter the practitioner Fada, an adept in the recitation of the Lotus Sūtra. Section 42 explains that he was still not awakened to the cardinal meaning of the text and had not realized the true Dharma, but in an encounter with Huineng he was eventually awakened. In this case, we in fact do have the contents of what Huineng spoke - an elaborate discussion of the meaning of the Lotus Sūtra. The discussion is much too long and involved to include here, and its contents have little impact on the present discussion. In summary, Huineng encourages Fada to pursue only the one true

---

201 For wu 伍, suggested by Yampolsky based on the rendering in the Koshoji edition.
202 This, however, is only true of the Dunhuang text. Yampolsky (p. 133, n. 41) informs the reader that the Koshiji version does in fact specify which passage of the Diamond Sūtra in particular awakens Huineng. Though this is a fascinating point of intersection between the texts (at least, in their received versions), our discussion here deals only with the Dunhuang version, as we have it.
203 志城聞法，言下便悟，即契本心... Yampolsky substitutes 誠 for 城.
“vehicle” (sheng 乘) of Buddhism; the tripartite system of vehicles presented in the \textit{Lotus Sūtra} is merely \textit{upāya}, or skillful means, employed for the benefit of deluded beings.

There is one phrase, indicated by a note in the original text, that is designated the “True Dharma” (zhengfa 正法), which is a quotation from the \textit{Lotus Sūtra}. The sixteen character phrase reads:

諸佛世尊唯汝一大事因緣故、出現於世
The Buddhas and World-Honoured One, for only the sake of one great cause\textsuperscript{204}, appeared in the world.

We are alerted to the fact that “Fada, upon once hearing these words spoken [referring to the lecture in general, not solely the “True Dharma” selection], was awakened greatly”\textsuperscript{205}. Thus we do, eventually, find an explanation of what type of instruction can serve to enlighten in the \textit{Platform Sūtra}.

It would certainly be a discredit to the intellectual and didactic tradition of Buddhism to suggest that this method of instruction through fictionalized but profound dialogues between adepts and seekers was in whole derived from the \textit{Zhuangzi}, or merely a veneer used to make this foreign religion more palatable to potential Chinese converts. It would also be wrong: this form of didactic tool predates the expansion of Buddhism into China, and one only need read the \textit{Vimalakirti Sūtra} for a single confirmation of this assertion. Yet there does exist an important role for the “encounter dialogue” in both Chan Buddhism and indigenous Chinese thought, perhaps to the extent that other forms of instruction through parable are marginalized. And in this, Chan may be said to “owe a debt” to Chinese thought; not for the creation of the tool, but perhaps for the frequency and intensity with which it is used in the subsequent Chan tradition.

Jeffery Broughton, in his efforts to articulate a lineage of Chan texts, suggests that this tradition

\begin{footnotes}
\item[204] The gloss for 大事因緣 is taken from Muller's Digital Dictionary of Buddhism (http://www.buddhism-dict.net/cgi-bin/xpr-ddb.pl?59.xml+id('b5927-4e8b-56e0-7de3')).
\item[205] 法達一聞、言下大悟...
\end{footnotes}
can be traced back in the Chinese tradition to the *Lunyu* 论語, or *Analects*, of Confucius.\(^{206}\) After an assertion such as this, the idea that the thinkers in this formative stage of Chan would be influenced by the thought of *Zhuangzi* - which, for some, was indicated as an area of mastery\(^{207}\) - is not too bold of a claim. This line of progression is not only able to be traced backward in time, however - John McRae suggests that the dialogues found in the *Platform Sūtra* are the template for the later emergence and flourishing of *gongan* 公案 (Japanese *kōan*) that becomes so distinctive of Chan thought in subsequent periods.\(^{208}\) Perhaps it is most fitting to say only that both the *Zhuangzi* and the *Platform Sūtra* are critical points in the development of the “encounter dialogue”, equally as profound to their readers and hearers as to the readers and hearers of those “encounter dialogues” they precede.

---

206 Broughton, p. 107.
207 Dumoulin mentions Shenxiu as an adept in dealing with important indigenous Chinese works such as the *Zhuangzi* (p. 109), as well as Shenhui in a similar fashion (p. 111); Yampolsky addresses Shenhui's abilities in this aspect as well (p. 26).
208 McRae, p. 66.
IV Conclusion

The picture given to us by the *Zhuangzi* of deluded individuals is that of a “dreamer” - one who has a false perception of reality, but is so caught up in this perception that they do not recognize it to be false. The reader also learns of those who are “awake”, and can recognize reality as it truly is. These metaphors are explicit, and are used with frequency in the text. Those who are dreaming are caught up in false distinctions - seeing things as a “this” or a “that” - and are rigidly attached to these views. Those who are awake can view things as they are, and are flexible in their perceptions. Part of the dreamers' delusion is a misplaced confidence in language, which Zhuangzi derides. This does not mean, however, that he does not have an idea of accurate knowledge; he only encourages his readers to give up their inflexibility and embrace an adaptive means of knowing the world.

A portrait of what knowing is like is present in the *Zhuangzi*. We are instructed both to make our *xin*, or heart-mind, like a mirror, and told that those who see clearly have already adopted this advice and consistently respond to the world this way. This response metaphor - in the case of a mirror, reflection is even more appropriate - goes hand in hand with the concept of adaptive understanding in place of stubborn adhesion to false views. The mirror metaphor is completed with the addition of light metaphors, especially in the context of illumination - casting “light” to reveal the truth of a situation. Here the metaphors become more complex: the light can be that which is produced or reflected by the *xin* (especially as seen in Yan Hui's “fasting of the mind” passage), as well as simply the illumination that is produced by *tian*, or Heaven, an anthropomorphic force which grants an accurate picture of reality. In either case, however, light is contrasted with darkness, just as knowledge is contrasted with ignorance.

The *Zhuangzi* also gives the reader a narrative depiction of the process of going from dreaming to wakefulness, from darkness to light. We have two stories of Yan Hui talking with his mentor Confucius, as well as the realization of Liezi, to serve as examples of this phenomenon. In these cases there
is a definite moment of realization, an instant where one character of the story has an insight and truly sees reality as it is (or at least as the Zhuangzi suggests it is). However, the text does seem to suggest there is more to the process than just this instant. Yan Hui must undertake a process of “fasting of the mind”, which requires a degree of action on his part, although it does seem to impart an instant discovery. In another story he engages in the act of “sitting in forgetfulness”, which seems to include a series of losing connections which the body and sensations. Liezi, as well, seems to undergo a process of change, though it is unclear whether this is to produce enlightenment or a result of it. Taken together, there is a distinct hint that more is involved than simply hearing the words of a teacher - an unsurprising assertion from a thinker so pessimistic about the power of language.

The Dunhuang edition of the *Platform Sūtra* does not make use of the same “dream” metaphor as the *Zhuangzi*, but it does employ the idea of “awakening” as knowledge, an idea that is common in Buddhism even before its arrival in China. It does, however, adapt the metaphor of the mirror for its own purposes. The *xin* as a mirror is suggested in the mind verse of Shenxiu and refuted by the mind verses offered by Huineng; both the version that is received with minor alteration, and the version that was lost until the discovery of the Dunhuang manuscript. Here the *xin* is unable to perceive the true nature of reality - ultimate emptiness of all phenomena - because of the “dust” or delusion that has accumulated upon it. Shenxiu suggests that this is to be removed by “wiping”, while Huineng suggests that there is nowhere for dust to actually gather. Shenxiu's insistence on diligent practice is, in the text, obviously inferior to Huineng's greater insight into the nature of emptiness. The light metaphor is also present, and is used in much the same way: we learn that light is like knowledge and darkness is ignorance. However, the ultimate source for this light, as found in the metaphor scheme of the *Platform Sūtra*, is *zixing* or self-nature, and not the anthropomorphic principle of *tian*.

Perhaps due to the intellectual climate of the time there is no focus in the *Platform Sūtra* on practice. In every scene depicting insight there is no related description of practice - all accounts of insight
occur spontaneously when the student hears the correct words spoken by the master. This sets the text apart from the Zhuangzi, where there is at least a suggestion that some form of practice must be engaged in in order to become fully aware of the nature of reality. This should not be taken indicative of the Chan school in general, however; we know from its extensive history that there was indeed a focus on meditative practice. This simply does not come to the forefront in the Dunhuang edition of the Plat-
form Sūtra.

Ultimately what we see in the Zhuangzi is the use of metaphor to deliver an understanding of complex concepts which the author, due to his linguistic skepticism, did not believe could be taught simply through direct instruction. This attitude is reflected in the Platform Sūtra, however metaphors of the same source domain are given new targets, and different value is placed upon different understandings of reality. Using conceptual metaphors to elucidate meaning in texts is immensely useful in the task of comparing and contrasting important texts and the messages they were written to convey.
WORKS CITED


Hansen, Chad. “A Tao of Tao in Chuang-tzu” in Mair, 1983.


Oshima, Harold H. “A Metaphorical Analysis of the Concept of Mind in the Chuang-tzu” in Mair, 1983.

66


Yearley, Lee H. “Zhuangzi's Understanding of Skillfulness and the Ultimate Spiritual State” in Kjellberg, et. al., 1996.
