In Conclusion

Many of the suttas of the Pāli canon are like novels, or at least like short stories. They are source books for psychologists and contain case histories. The serious study of these case histories can further our understanding of the history and the development of Buddhism as I have shown here, and as I show in the following case history.

La Conversion   Joy Manné

CASE HISTORIES FROM THE PĀLI CANON II:[1]

SOTĀPANNA, SAKADĀGĀMIN, ANĀGĀMIN, ARAHAT –
THE FOUR STAGES CASE HISTORY
OR
SPIRITUAL MATERIALISM AND THE NEED FOR TANGIBLE RESULTS

Robert H. Sharf has argued in a recent article called *Buddhist Modernism and the Rhetoric of Meditative Experience* that "while some adepts may indeed experience "altered States" in the course of their training, critical analysis shows that such states do not constitute the reference points for the elaborate Buddhist discourse pertaining to the "path". Rather, such discourse turns out to function ideologically and performatively -- wielded more often than not in the interests of legitimation and institutional authority."[2] In Section VI of his article Sharf is concerned with the contemporary rivalry between teachers of *samatha* and *vipassanā* and with their disputes between whether attainments are to be defined as *jhāna* or *sotāpanna*.[3] Sharf says, "private episodes [i.e. as

---

[2] Numen, forthcoming.
[3] Sharf, (forthcoming): section VI.

potentially transformative experiences do not constitute the reference points for the elaborate discourse on meditative states found in Buddhist scholastic sources. In other words, terms such *samatha*, *vipassanā*, *sotāpanna* and *satori* are not rendered sensible by virtue of the fact that they refer to clearly delimited "experiences" shared by Buddhist practitioners. Rather, the meaning of such terminology must be sought in the polemic and ideological context in which Buddhist meditation is carried out." A study of one of the most famous case histories in the Pāli Canon will show that this has always been the case and will force us to further lose some illusions.

Buddhist case histories are treated in two quite opposite ways. Scholars treat them in one way, and contemporary meditation teachers and teachers of Buddhism treat them in another. Often the great scholars treat the case histories in a summary manner, pronouncing verdicts upon them which rest more upon the scholar's authority than upon the hard work of providing the proof demanded by an interested and enquiring colleague. A lineage of scholars then simply believes and quotes these authorities, but, once again, no evidence is brought forward. The modern monks and lay teachers of Buddhism and meditation, too, do not question these case histories, but take them for granted as representing a true description of the results of meditation at the time of the Buddha, and therefore of the potential results of meditation for the modern practitioner today. A detailed study of these case histories provides a mine of interesting and surprising information and forces us to separate from our projections and fantasies about the contents of the texts and the results of the practice of meditation.

THE FOUR STAGES HYPOTHETICAL CASE HISTORY - SPIRITUAL MATERIALISM AND THE NEED FOR TANGIBLE RESULTS

1. INTRODUCTION

There are two suttas, the *Cūḷasīhanāda Sutta* of the MN (11) and AN II 238, §239, that permit the monks to roar a lion's roar on the subject of the existence of the four types of *samaṇa* in the Buddha's Teaching: the *sotāpanna* "the Stream Enterer", the *sakadāgāmin* "the Once-Returner", the *opapātika*[4] "the Non-Returner" and the Arahat. From the AN sutta we know that these terms designate sequential stages of development, i.e. that the sequence of types of *samaṇa* forms a HCH. Although these suttas have the assertion about *samaṇas* in common, they differ completely with regard to content and especially, neither of them provide either the defence of this aspect of the training or the support for it that the debate situation would require.[5] How are we to explain this anomaly? The answer is that it is unlikely that this HCH has an authentic connection with the debate tradition, but rather that it was imposed upon it in the course of the development of the religion. The following long analysis of the appearances of these stages in the four Nikāyas will show that the religion required this HCH on many grounds. First the lists of stages and their elaborations (§2) will be presented. Then what the texts say about the individual stages is examined where there is enough evidence to do so (§3). This information is then reviewed and discussed (§4). A section presents the ways in which the texts use and abuse this hypothetical case history (§5). Finally the Four Stages hypothetical case history is discussed as a systematising and organising structure (§6), the

---

[4] An alternative name for this stage is *anāgāmin*.

[5] Manné, forthcoming.

statement that the religion required this sequence of stages is justified and the grounds are provided.[6]

As I said, this sequence of types of *samaṇa* forms a sequence of stages of development or a hypothetical case history (HCH). I call this HCH the Four Stages HCH. The Four Stages HCH occurs in many different contexts besides these debate contexts. It demonstrates one of the Buddhists' various attempts to provide and to sustain a theory of stages, viz., the theory that Liberation is achieved through attaining in sequence different stages of development, and that these stages can be defined in a way that makes them recognisable in themselves and discernible from each other.

The distinguishing feature of this hypothetical case history is that, unlike the stages of the *Sāmaññaphala Sutta* HCH[7] which take place over one life-time only, the developments it encompasses take place over more than one life-time. Two mutually connected Buddhist ideas require such a case history. One of these is the idea of transmigration, *saṃsāra*, the endless cycle of birth and death during which one is not necessarily always reborn as a human being but may be reborn as an animal, or in hell, or even in heaven, all of these types of rebirths being temporary by nature.[8] It is this long series of existences which involve beings in suffering.[9] The other, related idea is comprised in the term *karma*: "a causal relationship (that exists) between the present life and the next, or, more generally speaking, between one life and the following, the determining factor of which is held to be one's actions in the present

life."[10] These connected ideas required a case history extending over more than one lifetime not only logically, but also at the very least to give hope to the practitioner who despairs of making it "this time round".[11]

The most important occurrences of this hypothetical case history are in the DN,[12] MN,[13] SN and AN, and so these texts form the basis of

---

[6] For a different approach to these four stages see Horner (1936), Chapter VI; Masefield (1986), Chapter I.

[7] See 'Case Histories from the Pāli Canon I.

[8] Takasaki, 1987 : 128. Cf. Lamotte, 1958 : 34ff.

[9] Lamotte, 1984 : 41.

[10] Takasaki, 1987 : 129. Cf. Lamotte, 1958 : 36ff. Cf. also Gombrich (1984 : 12), "The Buddha declared *karman* to be purely an ethical matter, of thought, word or deed; and the quality of a *karman*, good or bad, virtuous or evil, lay solely in the intention behind it. The quality of an act depended only on the motive, regardless of who did it." See also Gombrich (1984 : 11f) on the relationship between the Buddhist interpretation of the concept of *karman* and its meaning in the context of brāhman ideology.

[11] Horner, 1936 : 211f.

[12] In 8 DN Suttas: the *Mahāli Sutta* (DN 6), the *Mahā-Parinibbāna Sutta* (DN 16), the *Jana-Vasabha Sutta* (18), the *Mahā-Govinda Sutta* (19), the *Sakka-Pañha Sutta* (21), the *Sampasādanīya Sutta* (28), the *Saṅgiti Sutta* (33) and the *Dasuttara Sutta* (34). Three are debates: the *Mahāli Sutta* (DN 6), the *Lohicca Sutta* (12), and the *Sampasādanīya Sutta* (DN 28); three are Fantasies (this category was not defined in Manné, 1990; it comprises those stories and accounts about various non-human beings which are not usually considered believable: they are fantastic; it includes all Stories, Legends, Myths, and accounts of previous lives of the Buddha): the *Jana-Vasabha Sutta* (18), the *Mahā-Govinda Sutta* (19), and the *Sakka-Pañha Sutta* (21); the remaining two, the *Saṅgiti Sutta* (33) and the *Dasuttara Sutta* (34), are Sermons, and can be further categorised as Abhidhammic.

[13] In full in 4 Majjhima suttas: the *Akaṅkheyya Sutta* (MN 6), the *Cūla Gopālaka Sutta* (MN 34), the *Naḷakapāna Sutta* (MN 68) and *the Ānāpānasati Sutta* (MN 118); in the form of the list of stages and fruits in the *Dakkhiṇavibhaṅga Sutta* (MN 142); in part in seven suttas: *the Cūḷasīhanāda Sutta* (MN 11 here by implication as none of the stages are named; the *Aṭṭhakanāgara Sutta* (MN 52, the stages *āsavānaṃ khayaṃ pāpunāti* and *opapātika*); the *MahāMāluṅkya Sutta* (MN 64, the *opapātika*); the *Tevijja-Vacchagotta Sutta* (MN 70, *aññā* and *anāgāmitā*); the *MahāVacchagotta Sutta* (MN 73, stages (3) and (4) of the standard version); the *Brahmāyu Sutta*, (MN 91, *opapātika*); and the *Dhātuvibhaṅga Sutta* (MN 142, *opapātika*). Seven of these suttas are Sermons (MN 6, 11, 34, 64, 68, 118, 140), two are

this study. The texts of the *Khuddaka Nikāya* and the *Vinaya Piṭaka* show minimal interest in this sequence of four stages and have been excluded on this ground, while the *Puggalapaññatti* and the *Kathāvatthu* of the *Abhidhamma Piṭaka*, which do occupy themselves extensively with it, have been excluded on the ground that they are late texts.

2. THE LISTS OF STAGES AND THEIR ELABORATIONS

2.1. The lists of stages

The Four Stages HCH occurs in independent, sequential lists of stages or in sequential lists of stages associated with a particular practice. It has a standard version,[14] Version A below, a brief version of the standard version, Version B, below, and a brief version with fruits, Version C, below. There are also elaborations on individual stages which involve the insertion of substages. In presenting the material I will not be cataloguing all the minor textual variations.

Version A. The standard version.

1.   *Idha .. bhikkhu tiṇṇam saṃyojanānaṃ parikkhayā sotāpanno[15] hoti avinipāta-dhammo niyato sambodhi-parāyano.* "At this stage a bhikkhu, through the disappearance of the three fetters, becomes a Stream-Enterer, characterised by freedom from (falling back to) lower existences, restrained, having Enlightenment as his goal."

Consultations (MN 52, 73 begins as a consultation and changes to a Debate), and one is a Debate (MN 91). I am not able to categorise MN 142.

[14] "Standard" because this is the version that occurs most frequently in the texts. This in no way implies that I think it is the original version of this HCH.

[15] Lit. "he who has attained the stream". See also Masefield 1986, 130 - 136 for a discussion of the etymology of this term.

2.   *Puna ca paraṃ .. bhikkhu tiṇṇam saṃyojanānaṃ parikkhayā rāga-dosa-mohānaṃ tanuttā* **sakadāgāmī** *hoti, sakid eva imaṃ lokaṃ āgantvā dukkhass' antaṃ karoti.* "After that, a bhikkhu, through the disappearance of the three fetters, and through the reduction of passion, hatred and delusionment becomes a Once-Returner: having returned once only to this world, he makes an end of suffering."

3.   *Puna ca .. bhikkhu pañcannaṃ orambhāgiyānaṃ saṃyojanānaṃ parikkhayā* **opapātiko** *hoti tattha parinibbāyi anāvatti-dhammo tasmā lokā.* "And then, through the disappearance of the five fetters binding to the lower states, a bhikkhu becomes an Opapatika, and in that form he attains extinction; he is characterised by non-returning from that world."

4.   *Puna ca paraṃ .. bhikkhu āsavānaṃ khayā anāsavaṃ ceto-vimuttiṃ paññā-vimuttiṃ diṭṭhe va dhamme sayaṃ abhiññā sacchikatvā upasampajja viharati.* "And then, through the destruction of the intoxicants, he lives in the emancipation of mind and insight[16] that are free from intoxicants, having experienced it himself in this very lifetime through his own higher knowledge. (DN 6 I 156; cf. e.g. DN 18 II 200, 19 III 251f; MN 73 I 490, Stages 3 & 4 only; SN V 346, 356-360, etc; AN I 231f; II 88f; 238; IV 12; etc.).

(1) - (4) above comprise the most frequent version of this HCH.

The exact fetters, *saṃyojanas*, meant in (1), (2) and (3) must be inferred from various suttas; they are never specified in the *Nikāyas* either in the context of the Four Stages HCH or in the context of one particular stage. Where three fetters (*saṃyojanas*) are mentioned in these texts,

---

[16] See C. A. F. Rhys Davids, Dhs. tr. p.16f.

these are "personality belief" (*sakkāyadiṭṭhi*), "sceptical doubt" (*vicikicchā*), and "clinging to mere rule and ritual" (*sīlabbata-paramāsu*). Where five fetters (*saṃyojanas*) are mentioned in the texts, "sensuous craving" (*kāma-rāga*) and "ill-will" (*vyāpada*) are added. These five are called the "fetters binding to the lower states" (*orambhāgiya-saṃyojana*. DN III 234, vii; MN I 432; SN V 61; AN IV 459; etc.).

The stage *opapātika* may also be called the stage *anāgamin* (see versions B, C, and D below). These two terms are discussed in detail in §3.4. The relationship between *opapātika* and *anāgamin* has been totally overlooked by the CPD.

Variations in the MN.

MN has particular variations. Stage 4 may appear as:

4.i   *bhikkhū arahanto khīṇāsavā vusitavanto katakaraṇīyā ohitabhārā anuppattasadatthā parikkhīṇabhavasaṃyojanā samma-d-aññā vimuttā*. "Bhikkhus who are Arahats, in whom the intoxicants are destroyed, who have fulfilled their lives, done what they had to do, put down their burdens, who have attained their own well-being, in whom the fetters to existence are destroyed, who are possessed of the highest knowledge, liberated" (MN 34 I 226),[17] or

4.ii   *āsavānaṃ khayaṃ pāpuṇāti* - "One who reaches the extinction of the intoxicants" (MN 52 I 350, 64 I 436, stages 3 and 4.ii only), or

4.iii   *aññāya saṇthahīti* - "One who is established in the highest knowledge." (MN 68 I 466)

Stages (4) and (3) may be followed by the stage:

sāvako gihī odātavasano kāmabhogī sāsanakaro ovādapatikaro tiṇṇavicikiccho vigatakathaṃkatho vesārajjappatto aparappaccayo satthusāsane viharati. "(A) layfollower who is a disciple, a householder clothed in white, and who, (though) an enjoyer of sense-pleasures, is a doer of the instruction, one who accepts the exhortation, who has crossed over doubt and, perplexity gone, fares in the Teacher's instruction, won to conviction, not relying on others". (MN I 491)

This citation shows that this stage is specific to lay followers.

Version B. The brief version

The standard version occurs occasionally in the brief form:

1.   *sotāpanna*, "the Stream-Enterer"
2.   *sakadāgāmin*, "the Once Returner"
3.   *anāgāmin*, "the Non-Returner"
4.   Arahat. (SN III 168, V 200, 202; AN V 85 stages (1) - (3) only.)[18]

---

[17] See Erghart, 1977.

[18] The brief version, as far as I have been able to ascertain, does not occur in either the DN or the MN. Each of the DN, MN, SN and AN contain both the standard version, and the brief version with fruits.

Version C. The brief version with both stages and fruits

The brief version with both stages and fruits occurs more frequently than the brief version. In this HCH each of the stages of the brief version is attributed with a "fruit".

1   *sotāpanna*

1.i   *sotāpatti-phala-sacchikiriyāya patipanna* - "one who has attained to the realisation of the fruit of stream-entry";

2   *sakadāgāmī*

2.i   *sakadāgāmi-phala-sacchikiriyāya patipanna* - "one who has attained to the realisation of the fruit of the Once-Returner";

3   *anāgāmī*

3.i   *anāgāmi-phala-sacchikiriyāya patipanna* - "one who has attained to the realisation of the fruit of the Non-Returner";

4   *arahā*

4.i.a   *arahattāya patipanna* - "the attainment of Arahatship",[19] or

4.1.b   *arahattaphalasacckhikiriyāya patipanna* - "one who has attained to the realisation of the fruit of arahatship".
(MN III 254)

Version D. The brief version with fruits only

This may occur in the form of a list expressed as in 1.i, 2.i, 3.i, 4.i.b above (AN I 44f) or in the form: 1.i *sotāpatti-phalam*, 2.i *sakadāgāmi-phalam*, 3.i *anāgāmi-phalam*, 4.i *arahatta-phalam*. (DN 33 III 227, §xv, 34 III 277, §x; SN V 25)

The stages may be listed with or without their fruits. They may be listed with the stages preceding the fruits as above, or in the opposite order: with the fruits preceding the stages.[20] The fruits may be listed independently of the stages.[21] The "fruits" may be presented as belonging to the person: *sakadāgāmi-phala, anāgāmi-phala.* "the fruit of the Once-Returner", "the fruit of the Non-Returner" (2.i and 3.i above), or as belonging to the attainment: *sotāpatti-phala, arahatta-phala.* "the fruit of the attainment of stream-entry" or "the fruit of arahatship" (1.i and 4.i above).

2.2 The Elaborations

The Four Stages HCH in the standard version and its variations contains a minimum of information. The expressions for the stages are a code, expressions in brief with whole concepts comprised in single words or in terse phrases. The AN and SN are concerned with elaborations of this HCH. There are two principle elaborations, the elaborations of the stage *sotāpanna* and the elaborations of the stage *anāgāmin*. The lists of stages sometimes contain "pre-stages", and it sometimes contains expressions for Liberation or Arahatship which vary from the standard version.

---

[19] DN 33 III 255 *aṭṭha puggala dakkhiṇeyyā*, cf AN IV 292 *aṭṭha puggala āhuneyyā pāhuneyyā dakkhiṇeyyā*; AN IV 204; SN V 202, § 18(8), here linked with the Five Indriyas, see section 2.3.1.i below; etc.

[20] MN III 254f *cuddasa kho pan'im', Ānanda, pāṭipuggalikā dakkhinā*; AN IV 372 *nava .. puggalā* (this list includes the *puthujjana* in the ninth place, see below); AN IV 373 *nava .. puggalā āhuneyyā pāhuneyyā dakkhiṇeyyā* (this list includes the *gotrabhū* in the ninth place, see below). Cf. AN IV 292 where the stages and fruits appear in the opposite order.

[21] SN V 25. DN 33 III 227 §xv, 34 III 277 §x. The list of the fruits alone occurs in both of these suttas in their sections on Fours but neither section contains a list of the Four Stages. The section on Eights in DN 33 III 255, quoted above) contains a list of both stages and fruits.

2.2.1 Elaborations of the pre-stages

A variety of pre-stages are attached to the lists of the stages and fruits. A pre-stage may be simply the stage of *puthujjana* "ordinary man",[22] or there might be further divisions:

0.a   *bāhiraka kāmesu vītarāga* - "one who is beyond, and without attachment to sense-pleasures"

0.b   *puthujjana-sīlavat* - "an ordinary person of moral habit"

0.c.   *puthujjana-dussīla* - "an ordinary person of poor moral habit"

0.d.   *tiracchānagata* - "an animal." (MN III 255)[23]

Pre-stages may comprise two types of followers, the *dhammānusārin* "one who lives in accordance with the dhamma" and the *saddhānusārin* "one who lives in accordance with faith" (SN V 200f, 12-15)[24] or simply the *gotrabhū* "a member of the religious community"[25] (AN IV 373), or the bhikkhu who is *sutavā*, "learned in religious knowledge" (SN III 167f).

2.2.2 Elaborations of the stage of Stream-Enterer, *sotāpanna*

The stage of *sotāpanna* is divided as follows:

1.a   *So tiṇṇaṃ saṃyojanānaṃ parikkhayā **sattakkhattuparamo** hoti sattakkhattuparamaṃ deve ca mānuse ca sandhāvitvā saṃsaritvā dukkhassa antaṃ karoti.* `Through the

---

[22] SN V 202; AN IV 372.

[23] Tr. Horner, MLS III 303. The subject of this sutta is the relationship betwen the worth and merit of an offering and the worth and merit of its recipient.

[24] The first precedes the second in this list. These two stages occur in a different HCH in the *Tevijja Vacchagotta Sutta*, MN 70.

[25] BHSD, s.v. *gotrabhū.*

disappearance of the three fetters, he becomes one who will not be born more than seven more times; after transmigrating and being reborn seven more times among gods and men, he makes an end of suffering.'

1.b   *So tiṇṇaṃ saṃyojanānaṃ parikkhayā **kolaṅkolo** hoti dve vā tīṇi vā kulāni sandhāvitvā saṃsāritvā dukkhassa antaṃ karoti.* `Through the disappearance of the three fetters, he becomes one who will go from clan[26] to clan; after transmigrigrating and being reborn in two or three more clans, he makes an end of suffering.'

1.c   *So tiṇṇaṃ saṃyojanānaṃ parikkhayā **ekabījī** hoti ekaṃ yeva mānusakaṃ bhavaṃ nibbattetvā dukkhassa antaṃ karoti.* `Through the disappearance of the three fetters, he becomes one possessed of only one more seed (one more potential for rebirth) and once he has completed one rebirth among humankind, he makes an end of suffering.

1.d=2   *So tiṇṇaṃ saṃyojanānaṃ parikkhayā rāga-dosa-mohānaṃ tanuttā **sakadāgāmī** hoti, sakid eva imaṃ lokaṃ āgantvā dukkhass' antaṃ karoti.* "After that, a bhikkhu, through the disappearance of the three fetters, and through the reduction of passion, hatred and delusionment becomes a Once-Returner: having returned once only to this world, he makes an end of suffering." (AN I 233)

The last expression is the *sakadāgāmī* formula as in Version A (2). The list may appear in the abbreviated form: *sattakkhattoparama, kolaṃkola, ekabījī* (AN V 120).

The grammar of this passage gives equal weight to each of these four expressions. Further no past participles are used to indicate a

---

[26] BHSD, s.v. *kula*, "good family", "high social grade".

sequential development through these attainments. This passage, therefore, cannot be taken to describe three kinds of *sotāpanna* plus the *sakadāgāmin*, or three different transitional stages between *sotāpanna* and *sakadāgāmin*. Rather, it describes four different possibilities contingent upon the disappearance of the three fetters (*tiṇṇaṃ saṃyojanānaṃ parikkhaya*) a phrase which we must take as a synonym for the term *sotāpanna*. As most usually the disappearance of the three fetters is presented as the characteristic of the *sotāpanna*, and this attainment coupled with the reduction of *rāga, dosa* and *moha* is presented as the characteristic of the *sakadāgāmin* (Version A), this passage points to a time when these two attainments were not yet clearly differentiated into separate and discrete stages of attainment. The question is, which of these two terms is the older? In §4.3,4 it is argued that the term *sotāpanna* is the older term.

2.2.3 Elaborations of the stage of Non-Returner, *opapātika/anāgāmin*[27]

There are no elaborations for the stage *opapātika*.

The stage of *anāgāmin* is divided into two or into five substages. The two types of *anāgāmin* are defined thus:

i   *So aññataraṃ santaṃ cetovimuttiṃ upasampajja viharati* - "He experiences the peace of mind which has a certain calm."

ii *So kāmānaṃ yeva nibbidāya virāgāya nirodhāya paṭipanno hoti* - "He has followed a method leading to aversion towards,

absence of desire for, and cessation of sensual enjoyments." (AN I 64)

The five types of *anāgāmin* are defined thus:

3.e *antarāparinibbāyin* - "one who has passed into Nibbana before the term, i.e. before having passed the first half of life".[28]

3.d *upahacca-parinibbāyin* -"one who attains Nibbana more than half-way through his next existence".[29]

3.c *asaṃkhāra-parinibbāyin* - "one who attains Nibbana devoid of the (*skandha*) *saṃkhāra*"[30]

3.b *sasaṃkhāra-parinibbāyin* - "one who attains Nibbana with the (*skandha*) *sakhara*".

3.a *uddhaṃsoto ākiniṭṭhagāmin* - "one whose stream of life tends upwards to the Akiniha heaven". (DN 33 III 237, xviii; SN V 201 §15, 16; 202 §17; 204 §24; AN I 233; IV 13f, 145f; 380)[31]

Both of these definitions into types of *anāgāmin* occur in the AN. To the best of my knowledge the first is unique to AN.

2.2.4 Elaborations of the stage Arahat

The following expressions for the attainment of the stage Arahat may precede the stages and fruits elaboration.

---

[27] See Masefield, 1986 : 105 - 130 for an attempt to explain these terms, using both Canon and commentaries. This attempt is deemed magistral by Harrison (1987 : 262).

[28] CPD, s.v. *antarāparinibbāyin*. The CPD for the most part follows the Kathavatthu.

[29] CPD, s.v. *upahacca-parinibbāyin*, following Ñaamoli, Pj I translation, p.199.

[30] CPD, s.v. *asaṃkhāra-parinibbāyin*.

[31] CPD, s.v. *uddhaṃsoto Akiniṭṭhagāmin*. In the DN there is no indication whether the list begins with the highest or the lowest of these stages. This may be taken to indicate that the DN has incorporated this list from another source.

2.3.1 The SN

Elaboration 1

4++	the Tathāgata,
4+	the Paccekabuddha. (MN *Dakkhiṇavibhaṅga Sutta* 142 III 254)

Elaboration 2

4.i	*dittheva dhamme paṭihacca aññam ārādheti* - "in this lifetime, before death (*patihacca?*) he attains knowledge"[32]
4.ii	*maraṇakāle aññam ārādheti* - "he attains knowledge at the time of his death". (SN V 237 §66)[33]

2.3 The different interests of the DN, MN, SN and AN[34]

In the DN the elaborations occur in the *Saṅgīti* (33) and the *Dasuttara Suttas* (34). The MN contains elaborations only in the *Dakkhināvibhaṅga Sutta* (142). In the SN and AN the elaborations of the individual stages frequently occur where the Four Stages HCH is imposed upon another independent HCHs. These two Nikāyas are independent in this respect.

---

[32] See Katz, 1982 : 19-20 for a discussion of the meaning of this term.

[33] The context here is the Indriya HCH, see 2.3.1.i below.

[34] Gethin has interesting things to say about these texts in the context of the *bodhipakkhiyā dhammā*.

i The Indriyas HCH[35]

The stages are defined in relationship to an independent implied HCH based upon the progressive development of the *indriyas* - "qualities" of faith (*saddhā*), energy (*viriya*), mindfulness (*sati*), concentration (*samādhi*) and wisdom (*paññā*). When these qualities are completely developed the stage attained is that of Arahat. If the attainment is somewhat weaker various attainments in sequential order of weakening are offered. These may be the other three stages of *anāgāmin*, *sakadāgāmin* and *sotāpanna*, followed by certain pre-stages (*dhammānusārin* and *saddhānusārin* SN V 200f, §§12, 13, 14), or the stage of *anāgāmin* may be replaced by the list of the five varieties of *anāgāmin* (SN V 201f §§15, 16, 17), or the sequence may be comprised of the brief version with fruits (SN V 202, §18), or the stage of *sotāpanna* of Version A may be replaced by the three types of *sotāpanna* (SN V 204 §24).

Either the function of this connection in the texts is to make the progressive development of the *indriyas*, i.e. the Indriya HCH, of increased importance by connecting it with the Four Stages HCH, or the *indriyas* were already important and the Four Stages HCH gained importance by being imposed upon their progressive development. The latter is the more likely (see §4.2.ii below). The fact that the *puthujjana* occurs as a pre-stage in this section of the SN (V 202) seems important. He is defined as one in whom the *indriyas* are completely absent, while both of the other pre-stages mentioned above have some degree of attainment with regard to these. For this reason the *puthujjana* stands outside (*bahira*) all attainment. The development of the *indriyas* seems then to have been a possible criteria for deciding whether or not a person had entered upon the path or Stream.

---

[35] See Gethin, 1992 : Chapter IV for a full study of the *indriyas*.

ii. The Seven Factors of Awakening HCH

Two stages of Arahat (elaboration 2 in §2.2.4 above) and the elaborations of the stage of *anāgāmin* occur at SN V 69, within a HCH based on the seven factors of awakening (*bojjhanga*).

iii. The Seven Fruits of Mindfulness regarding the Breathing HCH

Two stages of Arahat (elaboration 2 in §2.2.4 above) and the elaborations of the stage of *anāgāmin* occur also at SN V 314, §5, where these stages are described as "the seven fruits of (the practise of) mindfulness regarding in- and out-breathing" (*Evaṃ bhāvitāya kho bhikkhave ānāpānasatiyā evam bahulīkatāya ime satta phalā sattānisaṃsā paṭikankhā ti*).

2.3.2. The AN

The AN is so constructed that "each section (*nipāta*) contains *suttas* dealing with subjects in some way connected with the number of the section".[36]

i The Three Trainings HCH. (AN I 233f)

The sequence of stages here is not influenced by its context (the Book of the Threes), which is the Three Trainings (*tisso .. sikkhā*): viz., the higher morality (*adhisīla*), the higher thought (*adhicitta*), and the higher insight (*adhipaññā*):[37] the sutta is rather an attempt to relate the theory of stages to this context. The Three Trainings are presented as a HCH in their own right. Stage one is the full development of the higher morality (*adhisīla*), with the other forms of training developed to a certain

---

[36] Norman, 1983 : 54.

[37] Tr. Hare, GS I 211.

measure. The four attainments which are possible at this stage are the elaborations of the stage of *sotāpanna* (§2.2.2 above). The condition for the second stage is that the higher thought (*adhicitta*) should be developed in full. The attainments which are possible at this stage are the elaborations of the stage of *anāgāmin*. The condition for the third stage is that the higher insight (*adhipaññā*) should be developed in full. What is attained at this stage is Arahatship as in Version A, 4.

ii The Three Categories of Fetters HCH. (AN II 134)

The stages are here defined in terms of an HCH based on a sequence of three discrete categories of fetters: (1) the fetters (binding) to the lower states (*orambhāgiya*); (2) the fetters binding to the taking up of rebirth (*uppattipaṭilābhika*); and (3) the fetters binding to the taking up of existence (*bhavapaṭilābhika*). The stages of development offered are that of the *sakadāgamin* where none of these fetters are eliminated, and that of two types of *anāgāmin*: the *uddhaṃsota akaniṭṭhagāmin* (3a) where the fetter to the lower states (*orambhāgiya*) is eliminated, the *antāra-parinibbāyin* (3e) where both the fetter to the lower states (*orambhāgiya*) and the fetter to the taking up of rebirth (*uppattipaṭilābhika*) are eliminated, and that of the *Arahat* where all of these fetters are eliminated (Cf. AN II 160).

The Anguttara Nikāya is a highly coded treatise. It emphasises aspects of the Teaching according to a numerical rule. To do this it is highly selective with regard to what it presents. Does it assume that stages 1 and 2 of the standard version of the Four Stages HCH will all be understood to be included by implication in the definition of the *sakadāgamin* and similarly that the other four of the elaborations of the stage *anāgāmin* are comprised in the definition of the *uddhaṃsota akaniṭṭhagāmin*? To the best of my knowledge the system of coding in the AN has not yet been fully studied, so it is impossible to say what may be implied in any particular case.

iii The HCH of the Three Trainings and the Three Categories of Fetters. (AN IV 13f, 145f)

This variation combines the Three Trainings and the Three Categories of Fetters HCHs. It's context is gift-worthiness, and it presents the stages as follows: the Arahat, as in 4 of the standard version, another variety of Arahat,[38] and the elaborations of the stage of *anāgāmin*.

iv The Nine Types of Person HCH. (AN IV 379-381)

This variation, based on nine types of person in conformity to its situation in the AN Book of Nines. The basis for the discrimination between types here is the monk's degree of achievement with regard to moral practice (*sīla*), concentration (*samadhi*) and insight (*paññā*). The list of stages it offers comprises the elaborations of the stage of *anāgāmin*, and the four elaborations of the stage of *sotāpanna*. Each of these stages is categorised:

> *sa-upādisesā kālaṃ kurumānā parimuttā nirayā parimuttā tiracchānayoniyā parimuttā pittivisayā parimuttā apāyaduggativinipātā.* "(they) when they die with some attached remainder, are altogether freed from hell, rebirth in the womb of an animal, the realm of ghosts, the untoward way ... lower existences."[39]

Either this is an expansion of the phrase *avinipāta-dhamma* - "characterised by freedom from (falling back to) lower existences" which

---

[38] *Tassa apubbaṃ acarimaṃ āsavapariyādānañ ca hoti jīvitapariyādānañ ca.* "For him the cankers' ending and life's ending are at the same time, not one before and one after." Tr. Hare, GS IV 9. The various types of Arahat are not studied in this work.

[39] Tr. Hare, GS IV 252f.

---

defines the stage of *sotāpanna* in Version A (1) or *avinipāta-dhamma* is an abbreviation of this phrase. In either case, by implication, all of these are *sotāpanna*.

3. THE INDIVIDUAL STAGES

Individual stages receive individual treatment. They may be defined separately from, or in the context of other stages. This, however, happens only with the four stages of the standard version. It does not happen with any of the elaborations. This section presents these individual treatments. The individual stages are presented under the following headings:

1   **Formulas relative to the stage, including attainment formulas.**

Attainment formulas are particularly important because they indicate a relationship between the declaration of the attainment of a stage and the challenge of the debate tradition. Attainment is frequently declared before the public of the Saṅgha, as well as before the Buddha or an important disciple. It may be challenged: monks will report to the Buddha that someone has proclaimed the attainment of a stage and ask for his verification. It may be defended.[40]

2   **Attainments.**

3   **The advantages concomitant on the attainment of the stage.**

4   **The method for the attainment of the stage.**

---

[40] It is possible that the declatation of Arahatship was the equivalent of announcing that one has some "esoteric secret knowledge". Cf. Witzel, 1987 : 410 and Manné, 1990 : 2.1, iii.

5   The relative frequency of the attainment of the stage.

6   The subdivisions of each stage.

For reasons that will be evident, some of the stages require further headings. A review and discussion follow in §4.

3.2. The stage of Stream-Enterer, sotāpanna[41]

The *sotāpanna* is defined in terms of his beliefs and practices, his behaviour, his attitudes, his knowledge, his attainments, and his advantages. Methods which lead to the attainment of this stage are provided. This stage is attributed with two attainment formulas.

3.2.1. Formulas that define the stage of sotāpanna

There are, besides the formula in Version A, three formulas that define the *sotāpanna*. These formulas describe his behaviour, A below, his beliefs and practices, B below, and his guaranteed attainment of Awakening, *sambodhi*, C below. Two of these formulas, B and C, are attainment formulas.

Two different sets of constituents, *angāni*, are attributed to the stage of *sotāpanna*. They may be called either *sotāpattiyangāni* "the constituents of the attainment of the stream", or *sotāpannassa angāni* "the constituents of the Stream-Enterer". The distinction between these two expressions is not tightly maintained in the texts although they are not strictly synonymous. This absence of distinction suggests that what was implied in attaining the stream, "the constituents of the attainment of the stream", and the nature or "constituents of the person who had attained the stream", may once have been distinguished. Although neither of these terms is specific to, or dominates, a particular Nikāya, the

different sets of constituents are text-specific. What I have called the Behaviour Formula, (A), occurs only in the DN and the SN while what I have called the Belief and Practice Formula (B), occurs only in the DN, SN and AN. It cannot be excluded that two separate schools of thought existed, for one of which it was the constituents of Stream-entry - *sotāpattiyangāni* that were important, while for the other it was the constituents of the Stream-Enterer - *sotāpannassa angāni.* The constituents in each group are rather general, and, rather self-evidently, comprise the qualities that any religion would require of its followers. The elements of A cover behaviour and require a more active dedication to the practice, whereas those in B form a sort of *Credo*: followers were encouraged to convert their friends and family to the faith, expressed in that way (SN V 364, §16). The *Credo* is the formula that occurs most frequently.

A. The Behaviour Formula

Sappurisa-saṃsevo, saddhamma-savanaṃ, yoniso-manasikāro, dhammānudhamma-paṭipatti - "He is one who associates with the good, hears the true Teaching, pays proper attention, and practices the Teaching in its completeness." (DN 33 III 227, §xiii. Cf. SN V 347, 404, etc.)[42]

I will refer to this expression as the Behaviour Formula because it describes what the *sotāpanna* does. Although this formula is rather vague, and none of its terms refer to specific practices, it indicates that practice was considered important.

---

[41] See Masefield, 1986 : 134f for a discussion of the etymology of this term.

[42] Unless I have overlooked it, this expression does not occur in MN nor in the AN in this connection, although it does occur in the AN [II 245] in a different context.

B. The Belief and Practice Formula - a *Credo*

This is an attainment formula. The belief system and moral practice of the *sotāpanna* is described in a different set of four constituents, the first three of which concern his faith while the last is concerned with his moral practice. These features comprise not only the attainments of the *sotāpanna*, but also one of his attainment formulas, expressions which when uttered in the first person identify the speaker as a *sotāpanna*.

Cattāri sotāpannassa angāni,

1   Idh'āvuso   ariya-sāvako   Buddhe   avecca-ppasādena samannāgato hoti – "Iti pi so Bhagavā arahaṃ Sammā-Sambuddho vijjā-caraṇa-sampanno sugato loka-vidū anuttaro purisa-damma-sārathi satthā devaā-manussānaṃ Buddho Bhagavā ti"

2   Dhamme avecca-ppasādena samannāgato hoti – "Svākkhāto Bhagavatā Dhammo sandiṭṭhiko akāliko ehi-passiko opanayiko paccattaṃ veditabbo viññuhīti."

3   Saṃghe avecca-ppasādena samannāgato hoti – "Supaṭipanno Bhagavato sāvaka-Saṃgho, uju-paṭipanno Bhagavato savaka-Saṃgho, ñaya-paṭipanno Bhagavato sāvaka-Saṃgho, sāmīci-paṭipanno Bhagavato sāvaka-Saṃgho yadidaṃ cattāri purisa-yugāni, aṭṭha purisa-puggalā, eso Bhagavato sāvako-Saṃgho āhuneyyo pāhuneyyo dakkhineyyo añjali-kāraṇīyo anuttaraṃ puñña-kkhettaṃ lokassāti."

4   Ariya-kantehi sīlehi samannāgato hoti akhaṇḍehi acchiddehi asabalehi akammāsehi bhujissehi viññuppasatthehi aparāmaṭṭhehi samādhisaṃvattanikehi.
"The four constituents of the Stream-enterer: In this connection, friends, the Ariyan disciple has absolute faith in: (1) in the Buddha: "So he too, the Exalted one, is Arahant, supremely enlightened, full of wisdom and goodness, Blessed One, world-knower, peerless driver and tamer of men, teacher of devas and men, Buddha, Exalted One!" (2) the Teaching: – Well proclaimed by the Exalted One is the Teaching, effective in this life, immediate, open to all, leading us onward, to be known personally by the wise. (3) the Order: – Well-practised is the Order of the Exalted One's disciples, living uprightly, practising right conduct and the proper course, which is the four pairs of persons; the eight classes of individuals; the view that this Order of the Exalted One's disciples is worthy of veneration, of offerings, of gifts, of reverent greetings, (and that it is) the unsurpassed field of merit of the world. (4) Endowed is he with moral practices lovely to the noble, fully observed, faultless, unspotted, unblemished, making men free, commended by the wise, uncorrupted, conducive to concentration.'(DN 33 III 227, §xiv. Also at AN IV 406; SN V 343f, 345 etc.)[43]

I will refer to this expression henceforth as the Belief and Practice Formula because "1" - "3" above express the *Credo* of the *sotāpanna* and "4" his moral practice (*sīla*).

The moral practice requirement, "4" above, suffers several adaptations. Some of the adaptations may be regarded as creative (oral-)literary inventions, as poetic license or as mistakes, made in good faith, caused by the way the Teaching was promulgated. Other types of adaptations, by contrast, simply introduce other features of the Teaching where it seems that they did not originally belong. A further group of

---

[43] Unless I have overlooked it, this expression is not found in MN in connection with the *sotāpanna*. These beliefs may appear under the name of "Four Dhammas" (SN V 342f, 346f, 351, 356, etc.), "Four Results of Merit: Four Skills" (*puññābhisandha kusalābhisanda*, SN V 391f), or "Four Deva-paths to the Devas". (Tr. Woodward, KS V 337. *devānaṃ devapadāni*. SN V 392ff.)

adaptations, however, are evidently purpose-serving in the worst possible sense of the term. These function in ways that help the institutionalised religion to control its lay-followers through a system of spiritual rewards. The adaptations all occur in the *Sotāpattisaṃyutta*, SN V 342-413.

One adaptation is simply synonymous. It introduces a condition based on the rules of the training for laymen. After hearing a sermon on the importance of conforming to the *aṅgāni* above, Anāthapiṇḍika, the house-father (*gahapati*), declares, in brief, that he conforms to conditions "1" - "3" and adds:

4.i   *Yāni cimāni bhante Bhagavatā gihisāmīcikāni sikkhāpadāni desitāni nāhaṃ tesaṃ kiñci attani khaṇḍaṃ samanupassāmī ti* - ".. as to those obligations binding on a housefather, pointed out by the Exalted One, I see not a single one of them which is broken in me." (SN V 387)[44]

Upon hearing this, Ānanda praises Anāthapiṇḍika and acknowledges him as a *sotāpanna*. The obligations binding on the housefather and on all laymen, are to abstain from killing any living being (*pāṇātipāta*), from stealing (*adinnādāna*), from unlawful sexual intercourse (*kāmesu micchācāra*), from lying (*musāvāda*), and from the use of intoxicants (*surāmerayamajjapamādaṭṭhāna*). These obligations are also known as the five *sīla*. As the standard fourth feature of this utterance concerns the *sīla*, this expression must be regarded as a variation upon it.

One evidently purpose-serving variation promotes generosity towards the monks. Here (SN V 348-352) the Buddha is in discussion with some chamberlains, functionaries of some position in the royal household.[45] When he tells them under which conditions a person is a *sotāpanna*, instead of "4" above, he proposes:

---

44 Tr. Woodward, KS V 333.
45 Tr. Woodward, KS V 303, see especially explanatory footnote no.1.

4.ii   *vigatamalamaccherena cetasā agāram ajjhāvasati / muttacāgo payatapāṇi vossaggarato yācayogo dānasaṃvibhāgarato.* "He lives at home with heart free from the taint of stinginess. He is open-handed, pure-handed, delighting in self-surrender, one to ask a favour of, delighting to share charitable gifts," (SN V 351. Cf. SN V 392, 397).[46]

and further on in the sutta:

4.iii   *Yaṃ kho pana kiñci kule deyyadhammaṃ sabban taṃ appaṭivibhattaṃ sīlavantehi kalyāṇadhammehi.* "In your family, whatever gifts of charity there be, are shared fully and impartially by the virtuous and the good." (SN V 352)[47]

---

46 Tr. Woodward, KS V 306. In SN V 397 the questioner asks about the "the advanced (*ariya*) disciple in whom the the constituents of the attainment of the stream do not exist" (*ariyasāvakassa cattāri sotāpattiyaṅgāni ...natthi*. The literal translation for *ariyasāvaka* is "the noble/exalted disciple", but I think that phrase is misleading in English and not really true to the Pali, being too literary and missing the sense.) The reply is that such a person (*yassa*) stands outside [all attainments] and is designated an "ordinary man" (*puthujjana. Bāhiro puthujjanapakkhe ṭhito ti vadāmi*). In the explanation that follows, however, the term *ariyasāvaka* is repeated without the qualification *cattāri sotāpattiyaṅgāni*. It is easy to construe the text as if the term *ariyasāvako* is meant to pick up and be synonymous with expression *ariyasāvakassa cattāri sotāpattiyaṅgāni*. I think that that is what the redacters want of their audience, and indeed I have followed it in my analysis. I have doubts, however, and I wonder whether an examination of this type of literary construction, namely the dropping of the qualifying phrase in a response, could provide some evidence that, for example, the phrase *cattāri sotāpattiyaṅgāni* is in fact a later insert: it would prove it if the texts usually picked up the whole expression in these cases.
47 Tr. Woodward, KS V 306.

This freedom with the fourth condition did not escape remark by the inquiring minds of the time, and there is evidence that there was an unresolved question whether there were in fact three conditions, "1" - "3" above, or four conditions, "1" - "4" above, before one could be called a *sotāpanna* (SN V 371ff), i.e. whether faith was enough or whether some degree of practice was necessary. I say "unresolved", because the Buddha provides no solution in the sutta in which this problem comes up.[48]

Despite this general blithe tendency to open the stage of *sotāpanna* to all and sundry through simplifying the required attainment to that of faith alone, one sutta contains a warning. When asked if a disciple who possessed "the constituents of the attainment of the stream", the *sotāpattiyaṅgāni*, could ever be described as "One who lives in indolence" (*pamādavihārī*), the Buddha replies that indeed he could as long as he was content with these attainments and made no further effort (SN V 398).

C. The *sotāpanna* attainment formula

I refer to this attainment formula as the "*sotāpanna* attainment formula", simply because the term *sotāpanna* occurs within it and with no implication that it is more or less important than the Beliefs and Practices attainment formula. The existence of an attainment formula relates the attainment of stages to the Debate tradition where the assertion of one's religious expertise designates what one is willing to be challenged upon and to defend in public.[49] Just as there are various attainment formulas that may be formally recited upon becoming an Arahat or which when formally recited indicate that the speaker is an

Arahat,[50] there are attainment formulas which, when recited, indicate that the speaker has attained *sotāpanna*. One of these is the Beliefs and Practices Formula, B above. The other is:

khīṇanirayo 'mhi khīṇatiracchānayoni khīṇapittivisayo khīṇāpāyaduggativinipāto, sotāpanno 'ham asmi avinipātadhammo niyato sambodhiparāyano. "Gone, for me, is (a future existence in) hell, gone the realm of animals, gone the realm of spirits (*peta*), gone is suffering in the realms of misery; I am a Stream-Enterer, characterised by freedom from (falling back to) lower existences, restrained, heading for Enlightenment." (AN IV 405; DN 16 [II 93]; SN V 387, etc.)[51]

This is the great advantage of the attainment of becoming a *sotāpanna*. These conditions correspond to the attainments in the standard version of the Four Stages formula.

These two *sotāpanna* attainment formulas are quite different in content: one concerns faith and practice while the other concerns rebirth in hell. Although the Beliefs and Practices formula has no reference to this freedom from low rebirths and this assuredness of awakening, at least one attestation links the attainments expressed in these two formulas: the SN says that once the four beliefs and practices, here called *dhammas,* are attained, "There is no terror, there is no panic, there is no fear of death in terms of (fearing) what belongs to the next world." (*na hoti uttāso na hoti chambittattaṁ na hoti samprāyikaṁ maraṇabhayan t.* SN V 387)

---

[48] Or the answer has been lost, or was inconvenient and so intentionally left out.

[49] See Witzel, 1987 : 374, Manné, 1990.

[50] See e.g. Erghart, 1977 for those in the MN.

[51] There is an indication at SN V 361f that this Buddhist attainment of liberation from rebirth in a hell is linked to brahmin beliefs concerning the importance of attaining rebirth in heaven: in this sutta the Buddha ridicules brahmin practices which purportedly lead to being reborn in heaven.

3.2.2 The attainments of the stage of *sotāpanna*

The attainments of the *sotāpanna* may be comprised in terms of the elements of Version A.1 of the Four Stages HCH, in terms of the formulas that define the *sotāpanna*, in terms of conditions for uttering the attainment formulas, or in terms of the attainment of specific skill in, or understanding of features of the Training.

The behaviour, the belief system and the moral practices of the *sotāpanna* are his general attainments: they are levels of conduct and thought that he has achieved. Whereas the Behaviour Formula is not much exploited by the texts and does not serve as an attainment formula, the Beliefs and Practices Formula is defined as an attainment formula and is extensively exploited. The conditions under which it may be uttered are specifically defined. Sometimes these conditions relate directly to the Beliefs and Practices formula, sometimes they relate to it indirectly. The conditions for uttering the *sotāpanna* attainment formula overlap with those for uttering the Beliefs and Practices formula.

The most obvious condition for pronouncing the Beliefs and Practices formula is that the disciple is possessed of the Beliefs and Practices in the formula (cf. also SN V 357). The conditions may also be defined under the poetic name of the Fivefold Guilty Dread (*pañca bhayāni verāni*, SN II 68f).[52] The Fivefold Guilty Dread comes about if the moral requirements (*sīla*, the fourth condition of the Beliefs and Practices Formula), are not fulfilled. This is a "behaviour" condition. According to some suttas this formula may be pronounced on the sole condition that the Fivefold Guilty Dread is removed (AN IV 405 and SN II 68ff, V 387ff).

The formal requirements that permit the utterance of the *sotāpanna* attainment formula overlap extensively with those for uttering

---

[52] Tr. Woodward, KS II 47.

the Beliefs and Practices formula but are defined in a somewhat different way. The conditions are not always consistent.

The requirement of behaviour may here also be expressed as the removal of the Fivefold Guilty Dread. The requirement of belief and moral practice may be tautologically defined as the possession of the beliefs and moral practices of the *sotāpanna* (here called *sotāpattiyaṅgāni*). Further, a requirement of knowledge called "the noble rule, well-seen and well-penetrated by insight" (*ariya ñāya*), may be added (*ariyo cassa ñāyo paññāya sudiṭṭho hoti supaṭividdho*. SN II 70; cf. SN V 387ff). The attainment *ariya ñāya* is a specific, rather than a general attainment and refers to a particular aspect of the Teaching. It means thoroughly and systematically giving the mind to "dependant origination" - *paṭiccasamuppāda*: "This being, that comes to be; this not being, that does not come to be. From the arising of this, that arises; from the ceasing of this, that ceases" (*Iti imasmiṃ sati idaṃ hoti / imasmiṃ asati idaṃ na hoti / imassuppādā idam uppajjati / imassa nirodhā idaṃ nirujjhati*). The processes that depend sequentially upon each other for their coming into existence are: "ignorance, activities, consciousness, name and form, the six sense-modalities, contact, feeling, craving, clinging, becoming, rebirth, and death" *(avijjā, saṅkhārā, viññāṇa, nāmarūpa, saḷāyatana, phassa, vedanā, taṇhā, upādāna, bhava, jāti, maraṇa)*.[53]

Further conditions for the utterance of the *sotāpanna* attainment formula may be expressed in terms of the attainment of "seven good practices and four desirable states" *(sattahi saddhammehi samannāgato ...catuhi ākaṅkhiyehi ṭhānehi*. SN V 352-356). The seven good practices are divided into two in the form of purity in bodily conduct: not taking life and not stealing; one in the form of purity in personal conduct in terms of abstaining from wrong practices in respect of sense desires (the example in this sermon is based on not committing adultery); and four in

---

[53] For a study of this process see Johansson, 1979.

the form of purity of speech: avoiding lying, slandering, harshness and aimless chatter. Both personal purity and abstention are required, as is encouraging like behaviour in others. The four desirable states are the contents of the Beliefs and Practices formula. These conditions amount to the moral requirements (*sīla*), with the exclusion of the condition regarding intoxicating substances. They are particularly offered to lay people who describe themselves as materially ambitious - wanting houses, children, perfumes and money, and who have among their desires the wish to be reborn in heaven.

3.2.3 Attainments defined in terms of specific skills in, or understandings of the Teaching

The attainments of the *sotāpanna* are defined according to many different features of the Teaching. The suttas containing these further aspects are very much a feature of the *Sotāpattisaṁyutta*, SN V 342-413, although they are not limited to this textual location.

A definition of the constituents of Stream-Entry (*sotāpattyaṅgāni*. SN V 347f) in terms of the Noble Eightfold Path - *aṭṭhaṅgika magga* is attributed to Sariputta. In this sutta the Buddha and Sāriputta may be said to be in a game of definitions or riddles. Sariputta defines these constituents thus: *sota* is the Noble Eightfold Path which comprises right view, right aspiration, right speech, right conduct, right livelihood, right effort, right mindfulness and right concentration (*ariya aṭṭhaṅgika magga: sammā-diṭṭhi, -sankappa, -vācā, -kammanta, -ājīva, -vāyāma, -sati, samādhi*), and the *sotāpanna* as someone who has achieved that path. This is a problem because a classical aspect of the attainments of the Arahat is that he has completely followed and fully achieved the path leading to the extinction of the *āsavās*, which is precisely this Noble Eightfold Path (MN I 55; etc.). Later in this chapter of the SN the Buddha praises Sāriputta for his ability to divide the *sotapattiyaṅgāni* in ten ways. It is not clear what is meant as Sāriputta

has enumerated aspects "1" - "4" of the beliefs of the *sotāpanna*, the factors of the Noble Eightfold Path (as above), right knowledge (*sammāñāṇa*) and right release (*sammāvimutī*). Perhaps on this occasion the Buddha did not count individually the elements of the *sotāpanna* beliefs, or did not count them at all.

A stipulation is made in SN III 203, 23 that when doubt regarding six[54] points has been abandoned and also when doubt about suffering, the arising of suffering, the ceasing of suffering and the path to the ceasing of suffering has been abandoned, then the person can be called a *sotāpanna*.[55] The six views, as the MN (I 135f) explains so much more clearly, are that whatever depends on (1) physical form (*rūpa*), (2) feeling (*vedanā*), (3) perception (*saññā*), (4) conditioned states (*saṁkhāras*), (5) consciousness (*viññāna*) or (6) a mental activity[56] is impermanent (*anicca*) and suffering (*dukkha*) and is liable to change (*viparināmadhamma*). A person who is not clinging to what is impermanent, suffering and liable to change will not take up various defined wrong ideas. These wrong ideas - a truly marvellous compendium of them - are, in brief:

- "Winds do not blow, rivers do not flow, pregnant women do not bring forth, moon and sun neither rise nor set, but (all) are stable as a pillar" *Na vatā vāyanti na najjo sandanti na gabbhiniyo*

---

[54] The Burmese text has *ca* here, so it is possible that the expression means doubt about the points made in the sermon. Woodward comments, "It is hard to know how six are made out". (KS III 165, fn.1)

[55] *sotāpanno avinipātadhammo niyato sambodhiparāyano ti.* SN III 203, and in each of the suttas in this chapter of the SN.

[56] *Yam pidam diṭṭhaṁ sutam mutam viññātam pattam pariyesitam anuvicaritam manasā* "what is seen, heard, sensed, known, attained, sought after, thought out by the mind". See Gombrich, 1990 : 15f for the relationship between these views and Yājñavalkya's views in BaU.

vijāyanti na candimasūriyā udenti vā apenti vā esikaṭṭhāyiṭṭhitā ti.[57]

- "This is mine, this is me, this is my self" *Etam mama eso ham asmi eso me attā ti*.[58]

- "This is the self, this is the world, this I will be after death: permanent, lasting, eternal, not liable to change" *So attā so loko so pecca bhavissāmi nicco dhuvo sassato aviparināṇadhammoti.*

- "I would not be, and it would not be mine; I shall not be, and it shall not be mine" *No cassaṃ no ca me siyā na bhavissāmi na me bhavissatīti.*[59]

- The annihilationist doctrine that there is no fruit of good or evil deeds, not beings who have attained perfection, nor life after death.[60]

- The heresy that there is neither evil nor merit.[61]

- The accidentalist heresy that there are neither conditions nor causes.[62]

- Another wrong way of viewing the world including ideas of permanence, and ideas that there are no causes.[63]

- "The world is eternal" *sassato loko ti*.

- "The world is not eternal" *asassato loko ti*.

- "The world is limited" *antavā loko ti*.

- "The world is unlimited" *anantavā loko ti*.

- "The soul is the body" *Taṃ jīvam taṃ sariran ti*.

- "The soul is one thing, the body is another" *aññaṃ jīvam aññaṃ sariranti*.

- "The Tathāgata exists" *hoti tathāgato*.

---

[57] Tr. Woodward, KS III 164.

[58] Tr. Gombrich, 1990 : 15.

[59] Tr. Woodward, KS III 48.

[60] The doctrine of Ajitakesakambala, cf. DN I 55, § 23.

[61] The view of Pūraṇa Kassapa, cf. DN I 52, § 16.

[62] The heresy of Makkhali-Gosāla, cf. DN I 53, §19.

[63] That of Pakkudha Kaccāyana, cf. DN I 56, § 26, combined with that of Makkhali-Gosala, cf. DN I 53f, § 20.

- "The Tathāgata does not exist" *na hoti Tathāgato*.

- "The Tathāgata both exists and does not exist" *hoti ca na ca hoti Tathāgato*.

- "The Tathāgata neither exists nor does not exist" *neva hoti na na hoti Tathāgato*. (SN III 202-216)

The attainment of the *sotāpanna* in this respect is that he has no **doubt** that bodily form and mental processes are impermanent (*anicca*), suffering (*dukkha*) and liable to change (*aviparināmadhamma*), and is hence free of the wrong views above, although is not yet liberated. The SN here, as in the previous example, opposes the *sotāpanna* with the Arahat. It points out that the person who is liberated, the Arahat, has **turned away from** (*nibbindati*) all of these processes (SN III 224, §20).

There are also conditions based on the attainment of certain qualities, *indriyas*.[64] Several variations on the definition of the *sotāpanna* each with a new condition for the attainment of this stage, and a different Arahat formula from the one that usually occurs in this context (Version A, 4) occur further on in the SN in a series of four suttas in a chapter on *indriyas* (SN V 193f ii-v). Instead of being defined in terms of the more usual Three Fetters condition, the *sotāpanna* is defined in terms of a Five Indriya condition:

Yato ... ariyasāvako imesam pañcannam indriyānaṃ samudayañca atthagamañca assādañca ādīnavañca nissaraṇañca yathābhūtam pajānāti / ayam vuccati bhikkhave ariyasāvako sotāpanno avinipāta-dhammo niyato sambodhi-parāyano ti. "A noble disciple, brethren, is called "A noble disciple, a Stream-Enterer, characterised by freedom from (falling back to) lower existences, restrained, having

---

[64] This term may refer to qualities of conduct or to the six sense faculties.

Enlightenment as his goal,' when he understands as they really are, the rising, the disappearance, the satisfaction, the danger, and freedom from these Five Qualities."[65]

Here the five qualities (*indriyas*) are faith (*saddhā*), energy (*viriya*), mindfulness (*sati*), concentration (*samādhi*) and insight (*paññā*).[66] Once again the stages of *sotāpanna* and Arahat are contrasted with each other. The stage of Arahat[67] is attained by "seeing" (*viditvā*) the five *indriyas* above, whereas the activity or attainment of the *sotāpanna* is "understanding" (*pajānāti*)them.

Further new definitions for the attainments of the stage of *sotāpanna*, which use the same formula as above, are expressed in terms of a Six Sense-Faculty condition, (also *indriyas*):[68] the faculties of the eye, the ear, the nose, the tongue, the body, and the mind (*cakkhundriya, sotindriya, ghānindriya, jivhindriya, kāyindriya, manindriya*. SN V 205 para 26.(5)) and a different five *Indriya* condition: happiness, suffering, joy, dejection, and equanimity (*sukh-, dukkh-, somanass-, domanass-* and *upekhindriya*. SN V 207, §32.(2)).[69]

In this section of the SN, *indriyas* of all sorts are very important.

3.2.4. The advantages of having attained the stage of *sotāpanna*.

The advantages of having attained the fruit of Stream-Entry are, of course, implied in all of the attainments and all of the formulas above. They will not be repeated here. The texts, however, also specify them in this way: the *sotāpanna* has: (i) certainty as to the True Teaching, (ii) no tendency to diminution (of attainment, presumably), (iii) none of the suffering of a limited person, and (iv) endowment with uncommon knowledge; (v) he has both understood the cause and the dhammas that have come about through the cause (*saddhammaniyato hoti, aparihānadhammo hoti, pariyantakatassa dukkhaṃ na hoti, asādhāraṇena ñāṇena samannāgato hoti, hetu c'assa sudiṭṭho hetusam-muppannā ca dhammā*. AN III 441, XCV). The *sotāpanna* has gone beyond simply hearing the Teaching and having faith in it: he has entered upon certainty. There is no mention of freedom from rebirth in this list.

Summary of §§3.2.1-4

What we have observed is that the Beliefs and Practices formula fulfils several functions. It both expresses and defines *sotāpanna* attainments, it functions as an attainment formula and it expresses the conditions under which a person may declare himself a *sotāpanna*. These conditions are to a certain degree uncertain. Even if the requirements of this formula are fulfilled, further conditions may be added. Attainment may be declared through this or through a different formula. The conditions under which this formula may be declared are similarly not always consistent. Neither formula mentions freedom from rebirth though this aspect may occur in a sutta that contains the formula.[70] We have further observed that attainments may also be expressed according

---

[65] SN V 193 § 3, cf. SN V 193, § 2 which omits *samudayañca attangamañca*. The last part of this formula appears in the formula through which the attainment of *sotāpanna* is declared. See 3.2.5 below.

[66] Tr. Woodward, KS V 169.

[67] Here this stage is described by a different arahat formula from that which usually occurs in this context ((4) above), *arahaṃ khīṇāsavo vusitavā katakaraṇīyo ohitabhāro anuppattasadattho parikhīṇabhavasaṃyojano sammadaññā vimutto.*

[68] Tr. Woodward, KS V 181.

[69] In both of these cases the subsequent sutta defines the arahat in terms of these *indriyas*, and uses the formula *Yato ... ariyasāvako ...* above.

[70] See e.g. SN V 387. I have not searched for more examples.

to many different features of the Teaching. The essential attainment of the *sotápanna* is the moral code, *sīlas*, more or less strictly adhered to. The inclusion of other attainments is unconvincing. One is left with the impression of attainments in search of a named stage, the stage being a definable measurement.

3.2.5 The method for attaining the stage of sotāpanna.

Several methods are provided for attaining the stage of *sotápanna*. These methods are expressed in two ways: what must be thought or done specifically for attaining this stage; and what must be done in terms of a particular element of the Teaching which, through being cultivated, will lead to Stream-Entry and to each of the other three stages progressively. Methods may be specified or implied. The *sotápanna* formula in Version A implies a method which leads to the disappearance of the three fetters. The basic method for attaining this and the other stages is the cultivation of the moral requirements (*sīla*, AN I 231f). It is further necessary to aim to fulfil the qualifications of the Behaviour formula and the Beliefs and Practices formula, to be generous and charitable to the monks; to understand dependent origination (*paṭiccasamuppāda*); and to conform to certain *indriya* conditions.

Some suttas specify that the method for development through the stages depends on more practice of the same thing. For example, in order to attain this stage and the three further stages one needs to develop progressively the practice of "mindfulness centred on the body" (*kāyagatā-sati* AN I 44). The correct contemplation of the five grasping groups (*pañcupādānakkhandā*), in order to be able to see them as "impermanent, suffering, a disease, an abcess, a sting (arrow), a pain, an affliction, alien, decaying, empty, and without self" (*anicato dukkhato rogato gaṇḍato sallato aghato ābādhato parato palokato suññato anattato yoniso manasi kattabbā*. SN III 167f, §122) will also lead to this attainment. Instead of the initial requirement that the monk be

well-taught (*sutavā*), the requirement that he have his moral practice in order (*sīlavā*) may be found (SN III 167f, §123).

The method for attaining the fruit of Stream-Entry is defined in terms of the Behaviour formula: it requires the development and the practice of these behaviours (SN V 410f).

Conditions that preclude the attainment of this stage and, obviously, of any of the others, are also described. This implies that training to avoid these specified conditions forms an aspect of the method for attaining the stage. Thus a bhikkhu who perceives permanence in the conditioned states (*saṅkhāras*) cannot achieve the appropriate intellectual receptivity[71] for attaining any of the four stages. So he must train himself in the direction of perceiving impermanence (AN III 441, XCVI).

There is no record in DN, MN, AN or SN of an individualised or personal instruction for the attainment of this stage.

3.2.6 The Relative Frequency of the Attainment of the stage of sotāpanna.

With regard to relative frequency of attainment of the four stages, there is only one sutta, SN V 406 (§§ 6-8), that gives any information. This sutta says that there are few (*appakā*) monks who are arahats, more (*bahutarā*) who are *opapātikas* (§ 6), even more who are *sakadāgamins* (§ 7) and even more who are *sotāpannas* (§ 8). The stage of *sotápanna* is, thus, the most frequently attained stage.

3.2.7 Types of *sotāpanna*

i The Once-Returner (sakadāgamin) as sotāpanna

The lists of §2.2.2 offered four types of *sotápanna* defined according to the number of rebirths each could expect, *sattakkhattuparama*, 7

---

[71] BHSD, s.v. *anulomikā khanti*.

rebirths; *kolankola*, 2 - 3 rebirths; *ekabījin*, one seed or potential; *sakadāgāmin*, 1 rebirth. The structure of this passage shows that it regarded the *sakadāgāmin* as a type of *sotāpanna*.[72]

ii The Non-Returner (anāgamin) as sotāpanna

An AN sutta (V 120) defines five *sotāpannas*, who are perfected here on earth (*idha niṭṭhā*): the *sattakkhattuparama*, the *kolankola*, the *ekabījin*, the *sakadāgamin*, and one who is an Arahat in this lifetime (*yo ca diṭṭhe' eva dhamme arahā*); and a further five Stream-Enterers who, having abandoned this place, i.e. the earth, *(idha vihāya)*, are perfected: the *antarāparinibbāyin*, the *upahaccaparinibbāyin*, the *asankhāraparinibbāyin*, the *sasankhāraparinibbāyin*, and the *uddhaṃsota akaniṭṭhagāmin* (see §2.2.3. Cf. also AN V 119f). As the latter group attain their liberation from a different world from this one, they are *anāgāmin*.

iii The Arahat as a sotāpanna[73]

The *sotāpatti-saṃyutta* (SN V 342-413) shows that the category *sotāpanna* could be very wide, and that the Arahat too could fall within it. An AN sutta (V 120) is clear about this. In it the Buddha is says, "All those who have perfect faith in me are Stream-Enterers" (*ye keci bhikkhave mayi aveccappasannā, sabbe te sotāpannā*). In any case it makes sense that each advanced stage of development includes the attainments of the previous less advanced stage.

---

[72] The arguments in favour of this position can be found in §§ 2.2.2 and 4.3.4.
[73] See Bareau, 1955 : 261.

3.3. The stage of Once-Returner, *sakadāgāmin*

Although this stage has considerable importance in the AN elaborations of the brief standard version, I have barely been able to find a passage that makes a more individual reference to it and its contingent qualities and attainments. Hence most of the headings which I proposed in the introduction to this section are empty.

3.3.1 Formulas that define the stage of *sakadāgāmin*

The only formula attached to this stage occurs in Version A of the Four Stages HCH. This stage has no attainment formula.

3.3.2 The Attainments of the stage of *sakadāgāmin*

Besides the attainments of reducing passion, hatred and delusion (*rāgadosamohānaṃ*), expressed in the standard formula, this stage is not attributed with clear conditions under which its attainment can be ascertained. Only at SN V 411 does this stage appear at all individually. There four dhammas are proclaimed which when developed lead to the attainment of the fruit of this stage. The sutta stops there. The repetitive nature of this part of SN must mean us to understand these dhammas to be the same as the four constituents of the *sotāpanna* (3.2.1.B), and specified in the preceding sutta (SN V 410f), and to apply to the fruits of the attainment of the stage of *anāgāmin* and Arahat (see SN V 411, the following suttas). It may be that the text wants in this way to make the point that each attainment includes the accomplishments of the previous attainment. If this is the case, it is not very clearly put. In any case, at this point in this part of the SN, everything seems to be the same as everything else and all distinctions seem to be falling away.

3.3.3 The advantages of having attained the stage of *sakadāgāmin*.

The advantages contingent upon the attainment of this stage are not set forth in the texts under study beyond their appearance in the standard version of the Four Stages HCH. By implication, and as the etymology of the name indicates, the great advantage to this stage was that only one reincarnation was required before liberation would be attained.

3.3.4 The method for the attainment of the stage of *sakadāgāmin*.

There is no method given in these texts for moving up to this particular stage from the stage of *sotāpanna* besides that to be inferred from the standard formula, namely, effort towards the attainment of the diminution of passion, hatred and delusion ment (*rāga, dosa* and *moha*).

3.3.5 The Relative frequency of attainment of the stage of *sakadāgāmin*.

The stage *sakadāgāmin* is more frequently attained than the stages *arahat* and *opapātika*, and less frequently attained than *sotāpanna*. (SN V 406, cf. §3.2.6)

3.3.6 Types of *sakadāgamin*

Rather than there being types of *sakadāgamin*, the lists of §2.2.2 suggest that the *sakadāgamin* was a type of *sotaāpanna*. (See §3.2.7.)

3.4 The stage of Non-Returner, *opapātika/ anāgāmin*

This stage presents us with two particular problems: (1) its terminology, as this stage is known under two names; and (2) the way it is defined. In defining this stage, the central issues that the texts are involved with are the difference between a Returner and a Non-Returner, the different types of Non-Returners, and the difference between the Non-Returner and the Arahat. Passages devoted to defining the psychology or the mental state of the *anāgāmin* him- or herself are rare, and there are none devoted to defining that of the *opapātika*.

In this section I will begin by considering the terminology. After that the headings will conform to those of the previous sections. The issue of the difference between a Returner and a Non-returner will be treated in the section on attainments (§3.4.2). The issue of the difference between the Non-Returner and the Arahat is treated in its own section, after a brief section on the Arahat (§3.5).

The Terminology

This stage is designated by two terms: *opapātika* and *anāgāmin*. The term *opapātika* is rather precise and comes from what we might call a biological context, but which in terms of ancient India is probably more accurately considered philosophical; it means "born by spontaneous generation". The word *anāgāmin* means simply "not coming back". These terms are not used interchangeably in the same expressions; rather, each one has its own territory. The term *opapātika* is standard where all four stages are expressed in the standard version of this case history, where the attainment of this stage is expressed separately from the other stages but in terms of the standard expression (MN ii 146), and in debate and mythical contexts. In formulas related to psychological aspects, including attainments, but with the exception of the standard version, the

term *anāgāmin* is used. Neither of these terms appear in the elaborations of this HCH.

i The term "opapātika".

Both the contexts and the formulas within which the term *opapātika* occurs independently of its connection with the other stages, suggest that it is an ancient term. The context is either a Debate or it is connected with mythology.

The debate context concerns the wrong view: "There is no gift, no offering, no sacrifice; there is no fruit or ripening of deeds well done or ill done; this world is not, the world beyond is not; there is no mother, no father, no beings spontaneously reborn (*opapātika*); there are no recluses and brāhmins in the world who have gone right, who fare rightly, men who by their own comprehension have realised this world and the world beyond and thus declare."[74]

A similar expression occurs in the *Brahmajāla Sutta* (DN 1 I 27). Here the "evasive arguer" (*amarā-vikkhepika*) will avoid giving an answer to a number of points including whether the *opapātika* exists, does not exist, both exists and does not exist, neither exists nor does not exist (*Atthi sattā opapātikā? N'atthi sattā opapātikā? Atthi ca n'atthi ca sattā opapātikā? N'ev' atthi na n'atthi sattā opapātikā*), whether deeds have results (*sukaṭadukkaṭānaṃ kammānaṃ phalaṃ vipāko*), whether a world beyond exists - *paraloka*, and whether the Tathāgata exists. Further there is Kassapa's argument in the *Pāyāsi Sutta* (DN 23): the

---

[74] *natthi dinnaṃ natthi yiṭṭhaṃ natthi hutaṃ, natthi sukaṭadukkaṭānaṃ kammānaṃ phalaṃ vipāko, natthi ayaṃ loko natthi paro loko, natthi mātā natthi pitā natthi sattā opapātikā, natthi loke samaṇabrāmaṇā sammaggatā sammāpaṭipannā, ye imañ ca lokaṃ parañ ca lokaṃ sayaṃ abhiññā sacchikatvā pavedenti ti*. AN V 265 (tr. Woodward, GS V 178) and variously. This expression occurs in each of DN, MN, AN and SN. See CPD, s.v. *opapātika*. The relationship between *opapātika* and *anāgāmin* has been overlooked by the CPD.

whole of this sutta is a debate about this view. One of Kassapa's points in this argument is that the world beyond, *opapātikas*, and the results of deeds cannot be seen by the physical eye (*maṃsa-cakkhu*), but only by a sufficiently trained person who has developed the Divine Eye (*dibba cakkhu*).

The term *opapātika* occurs also in contexts which demonstrate that it formed part of contemporary mythology, although at the time it might have been believed to express a biological fact. One occurrence is concerned with defining types of birth: "There are four types of birth: oviparous, viviparous, from moisture, spontaneously" (*Catasso yoniyo. Aṇḍaja-yoni, jalābuja-yoni, saṃsedaja-yoni, opapātika-yoni*. DN 33 III 230. §xxvi; MN 12 I 73; SN III 240-5. That this context is mythical is shown in the SN (III 240-246), which concerns *Nāgas*, who are mythical beings. Their birth is described as being of four types as above, with the *opapātika* being the best type. Each of these types of *nāga*, however, is equally keen to keep the sacred days in order to achieve rebirth in heaven. The following book of this volume (SN III 246-9) occupies itself with the relationship between the Supaṇṇa, a mythical bird, and the Nāga. Supaṇṇas too are subject to these four kinds of birth. A further mythological context occurs where the *opapātika* appears among beings that one might come across teaching the Dhamma in a celestial state (*devanikāya*) if one was reborn there (AN II 186).

The contexts in which the term *opapātikā* occurs suggests that this is an ancient term and indeed also an old issue. The debate contexts connect Buddhism with a more ancient Indian tradition.[75] If we accept them as evidence, then the issue of whether or not a being that comes into existence without the occurrence of a sexual act exists was debated. This would imply that different groups held different views about it and that the Buddhists were themselves required to take up a position. This notion

---

[75] See Witzel, 1987; Manné, 1990.

therefore cannot be taken to be a Buddhist invention. The fact that this term has a mythological context also supports this view. It too entitles us to think that this concept was not original to Buddhism. From the character of these contexts the likely history of the term *opapātika* is that it was imported by the Buddhists into the context of stages of development from mythical and philosophical or biological contexts. Through the consistent use of *opāpātika* in the standard version of this HCH, which is also its most frequent expression, it is possible that *opāpātika* is an older term than *anāgāmin*. It's possible history within Buddhism is that it was originally a metaphor which later became a technical term.

ii The term *anāgāmin*: the issue of the difference between the Returner and the Non-Returner

The etymology of this term shows that it designates a state of not returning, of not coming back. The issue of the difference between a "Returner" and a "Non-Returner" is particularly an AN preoccupation.

The difference between a "Returner", and a "Non-Returner", is defined: the grounds for discrimination are whether their fetters (*samyojana*) are internal (*ajjhatta*) or external (*bahiddhā* AN I 63ff). Both the Returner and the Non-Returner "live (in obedience to) the moral practices, restrained with the restraint of the obligations; proficient in following the practice of right conduct, (they) see danger in the slightest faults: (they) take up and train (themselves) in the rules of morality" (*sīlavā hoti pātimokkha-samvarasamvuto viharati ācāra-gocara-sampanno anumattesu vajjesu bhayadassāvī samādāya sikkhati sikkhāpadesu.* AN I 63). Each finds himself in a certain company of gods after death (*so kāyassa bhedā param maraṇa aññataram devanikāyam uppajjati.* ibid.). The *āgāmin*, however, on leaving that existence, comes back to this world (*so tato cuto āgāmī hoti āgantā itthattam.* ibid.). He suffers this fate because his fetters are personal or internal.

3.4.1 Formulas, including attainment formulas

The *anāgāmin*, like the *sotāpanna* and the *arahat*, has his attainment formula:

> *Yāni cimāni bhante Bhagavatā pañcorambhāgiyāni samyojanāni desitāni nāham tesam kiñci attani appahīnam samanupassāmi* "Moreover, as to those five fetters of the lower sort shown by the Exalted One, I do not see a single one of them in myself that is not abandoned." (SN V 177f)[76]

This formula, however, exists only in the SN, and is declared only by the *gahapati*s, (Sirivaḍḍha (V 177) and Mānadiṇṇa (V 178). Although it is acknowledged by the Buddha to indicate their attainment of the stage of *anāgāmin*, one cannot attach any weight to its existence. There is not enough evidence to believe that this *anāgāmin* attainment formula was ever used in a debate situation.

3.4.2 *anāgāmin* attainments

The standard definition of this stage of attainment under the designation *anāgāmin*, and the key condition for its attainment, as the standard version shows, is the abandoning of the five lower fetters (*orambhāgiyāni samyojanāni*, cf. SN V 159f), and the diminution of the destructive emotions of passion, hatred, and delusionment. Various texts describe the five lower fetters (see under Version A, §2.3) but these specifications are never given in the context of the *anāgāmin*. From this one may conclude that abandoning the five lower fetters was a recognised stage of development that existed prior to the invention of the *anāgāmin* and that it got attributed to the him after he was invented.

---

[76] Tr. Woodward, KS V 156f.

Beyond the above there is very little further information about this stage. One sutta defines conditions for the attainment of the fruit of this stage. Unless one has given up six things: "disbelief, shamelessness, recklessness, indolence, forgetfulness in mindfulness and foolishness" (*assaddhiya, ahirika, anottappa, kosajja, mutthasacca, duppaññatā.* AN III 421)[77] one cannot realize its fruit. Depending on whether or not one follows suttas that place the fruit before the stage (§2.1, Version C) the *anāgāmin* either has, or is developing these qualities.

Other attainments are implied, especially that the *anāgāmin* has all the *sotāpanna* attainments but at a higher level. This is sometimes specified: e.g. the *anāgāmin* will have progressed further with regard to his comprehension of the five grasping groups (*pañcupādānakkhandā*), than have the earlier stages (SN III 167f, §122).

I have found no information regarding the behaviour and beliefs attained by those who have attained the stage of *anāgāmin*.

3.4.3 The advantages of having attained the stage of *anāgāmin*

The advantage in attaining this state is the assurance of non-returning.

3.4.4 Methods for the attainment of the stage of *anāgāmin*

A method is given to attain this stage. This is the method to transcend the five fetters which belong to the lower world. This can be achieved by becoming clear about the teaching, "Were I not then, it would

---

[77] Tr. Hare, GS III 297.

not now be mine. It shall not be, and mine it shall not *be (No cassa no ca me siyā na bhavissati na me bhavissatīti.* SN III 56).[78]

3.4.5 Relative frequency of attainment

This stage is rather frequently attained either in its own right (AN I 64, II 160, IV 63 etc.), or as one possibility among the first three stages of this HCH (AN V 86), or specifically in opposition to Arahantship.[79] It is more frequently attained than the stage *arahat*, but less frequently than the other two stages (See also §§ 3.2.6 and 3.3.5).

3.4.6 Types of *anāgamin*

The texts may divide the *anāgāmin* into two types or into five types (see §2.2.3). Both of these definitions into types of *anāgāmin* occur in the AN. To the best of my knowledge the division into two types is unique to AN while DN, SN and AN support the division into five types. The relationship between the two types and the five types of Non-Returner described here, is neither made explicit through clarification in the suttas nor indicated implicitly through an overlap of vocabulary between substages.

In general none of the substages of the *anāgāmin* receive any further clarification, except on one occasion in the AN (IV 70-74). Here a bhikkhu has achieved certain attainments: he has reached the idea: "If it were not, it would not be mine; it shall not become, for me it shall not

---

[78] Tr. from Woodward, KS III 48; see also fn* for reading of text. SN III 205, quoted under "*Sotāpanna* attainments", above has *no cassam.*

[79] *dvinnam phallānam aññataram phalam pāṭikaṅkhaṃ dittheva dhamme aññā sati vā upādisese anāgāmitā.* DN II 315; MN I 63, etc; AN III 82, 143, etc.; SN V 129, 181, 285. "of two fruits one may be expected in this very life, to wit: realization, or, if there be any substrate left, the state of non-return." Tr. Woodward, KS V 159.

become; what is, what's become, that I abandon" *(no c'assa, no ca me siyā, na bhavissati, na me bhavissati, yad atthi yam bhūtam, tam pajahāmī ti* (AN IV 70);[80] the first part of which is the method for attaining this stage, he has obtained equanimity *(upekkhā)* and, "He is not attached to rebirth or to birth; he has seen through the highest insight the peace which is the path to the greatest advantage Nibbāna, but he has not seen this path completely, and he has not completely abandoned the tendencies to pride, to lust for rebirth, and to ignorance" *(So bhave na rajjati, sambhave na rajjati, atthuttarim padam santam sammapaññāya passati; tañ ca khvassa padam na sabbena sabbam sacchikatam hoti, tassa na sabbena sabbam mānānusayo pahīno hoti, na sabbena sabbam bhavarāgānusayo pahīno hoti, na sabbena sabbam avijjānusayo pahīno hoti.* AN IV 70). Once the five fetters binding to the lower states disappear, he becomes one of the five types of *anāgāmin*. Here, these different types are distinguished by means of the simile of an iron slab which is heated and beaten, and gives off fragments which take different amounts of time to cool down, and whose cooling down has different effects on the environment. A fragment may simply cool down, or cool down having risen up into the air, or cool down without harming the ground: this is comparable with the substage *antarāparinibbāyin.* A fragment which cools down having harmed the ground, is comparable with the substage *upahaccaparinibbāyin.* A fragment which falls on and sets fire to a small heap of grass and sticks which, for want of fuel, becomes extinguished when this is used up is comparable with the substage *asankhāraparinibbāyin.* A fragment which falls on a large heap is comparable with the substage *sasankhāraparinibbāyin* and a fragment which sets fire to a large heap of fuel and whose fire spreads to the surrounding shrubland and woodland and so forth before cooling down, is comparable to the *uddhamsoto akiniṭṭhagāmin.* The final paragraph is devoted to explaining *anupādā parinibbāna* -"Nibbāna that does not take

up any more fuel". This is done by means of an arahant formula, but not that of the Four Stages HCH *(āsavānam khayā .. pe .. sacchikatvā upasampajja vihariti.* AN IV 74). This simile is based on the way the Buddhists understood the etymology of the word *nibbāna,*[81] which provides the metaphor of the going out of a fire. It's use here is beautiful and poetic, and enhances the idea of "extinguishing", which is used to explain Nibbāna, by providing an illustrative image, but it provides no real facts or standards for discriminating between the different types of *anāgāmin.*

3.5 The Arahat.

An adequate study of the variety of descriptions of this stage in the context of Case Histories would require a very long book of its own, and no efforts in this direction will be made here. The authenticity of this stage is not, I think, in question - at least the word is not disputed as an epithet for the person who has attained liberation, the ultimate goal in Buddhism. What is interesting in this context is the vague and undefinable line between Arahat and *anāgāmin* that is so often evident in AN and SN, and that occurs in DN also.

3.6 *anāgāmin* vs Arahat.

It is evident that at a certain point in the history of Buddhism there was a confusion between the stages of Arahat and *anāgāmin,* and a problem in separating them, and the issue was their individual attainments. This confusion shows up primarily in the AN. Thus, one who develops five dhammas which are the constituents of psychic power *(idhipadhāna)*: the concentrations on will, mind, effort and investigation *(chanda-, citta-, viriya-* and *vīmamsā-samādhi)* will attain either the fruit

---

[80] Tr. Hare, GS IV 40f.

[81] PTSD, s.v. *nibbāna.*

of *aññā* (a synonym for Arahantship as §2.2.4, 4.i and 4.ii above show[82]), in this very life-time (*diṭṭh'eve dhamme*) or, should there be any remainder (*upādisesa*), the state of non-returning (*anāgāmitā*, AN III 82. Cf also SN V 129-133, 236 § 65 (5); MN I 481 above). There is no information regarding the conditions under which a remainder would exist, and thus no explanation why one stage rather than another should be attained. Similarly, when the mind of a bhikkhu is encompassed about his going forth according to rule and evil, unskilled dhammas that have arisen do not occupy his mind, and it is encompassed about the concepts of impermanence (*anicca*), non-self (*anatta*), the repulsive (*asubha*) and danger (*ādīnava*), and about knowing the equal and the unequal (*sama, visama*) and the production and annihilation (*sambhava, vibhava*) and the creation and destruction of the world (*samudaya, aṭṭhaṅgama*), and about abandoning (*pahāna*), absence of passion (*virāga*) and cessation (*nirodha*), then he will either have attained *aññā* or *anāgāmitā*, as above (AN v 108). Further it is said that the attainment of any of the four *jhānas* will result either in the attainment of the stage Arahat, or in that of the stage *anāgāmin*, both stages expressed in conformity with the standard version (AN V 343). No reasons are given why one of these stages rather than the other should be the result of any *jhāna*.

In general, the difficulty of recognising stages was recognised in the AN. It addresses itself also to the difficulty of identifying stages in relation to attainments. Three great sages of Buddhism, Saviṭṭha, MahāKoṭṭhita and Sāriputta, discuss which is the most excellent, persons with the attainment of *kāyasakkhī, diṭṭhippatta* or *saddhāvimutta*. Each has a different preference, and so, to decide the matter, the Buddha is consulted. The Buddha's response is that it is not easy to tell: any among them could be either a *sotāpanna*, a *sakadāgāmin* or a *anāgāmin* (AN I 118).

---

[82] See Katz, 1982.

4 REVIEW AND DISCUSSION

This discussion will begin with a consideration of the authenticity and the history of the list of the stages with their fruits. It will then go on to treat the elaborations of this list of stages. After that the authenticity of the individual stages will be considered, and finally the differences between the DN, MN, SN and AN will be examined. Section 5 concerns the way this hypothetical case history is used, and abused, in the texts. section 6 will consider how this HCH came about.

4.1 The stages and their fruits

The most regularly occurring variation of this HCH is that of the stages and their fruits. The relative frequency with which this version occurs poses the question whether it is a variation of the Four Stages HCH or whether it is an elaboration of the brief version which it came to replace. Two particular features show that it is indeed an elaboration. The first is its inconsistency: as was said above, sometimes in this listing the stage will precede its fruit, and sometimes the fruit will precede its stage. The second shows also the cause of these irregularities: it lies in the structure of the original expression. The Pāli phrase which most ususally introduces this formula: *sotāpanno sotāpattiphalasacchikiriyāya paṭipannno* (DN III 255 = AN IV 204 = AN IV 292 = SN V 202, §18(8)), can be translated, "the Stream-Enterer, who has entered upon", or "obtained", or "who regulates his life by, the experience of the fruit of stream-entry", in other words, the phrase *sotāpattiphalasacchikiriyāya paṭipannno*, may be construed to qualify the term *sotāpanno*. In this case why take the phrase to indicate two distinct stages? The reason is both because certain texts give these specifically as separate stages (MN III 254), and because others indicate in their introductory phrases that this list contains eight items (AN IV 292). But are they right? I think not. It makes sense that if one has attained something, one will, by definition,

enjoy its fruit, i.e. the reward for one's efforts, afterwards, and that the fruit of some action cannot be obtained before the completion of the action, i.e. the attainment of the purpose or goal. Both the grammar of the formula and the inconsistency of the ordering of the stages and their fruit indicate that the division into stage and fruit is spurious.

This list may have came into the tradition in the following way. During the process of evolution of this HCH, it became necessary to attribute a stage with bringing certain benefits, and, obviously, if stages exist, they must indeed do so. In a passion for categorising, i.e. making dhammas of, everything, the rather intangible benefits became transformed into the rather tangible fruits. This process was assisted by the misconstruing of the structure of a phrase. The artificiality of this procedure is evident in the confusion of the texts with regard to what comes first: the stage or its fruits. This elaboration, therefore, cannot be taken to refer to genuine stages in a process of development. This is despite the attempt to authenticate it in the AN, where the Buddha is attributed with each of these fruits (AN I 23). This attempted authentication is not carried as far as the chief disciples who, to the best of my knowledge, are never attributed in the DN, MN, SN or AN either with any of the stages lower than Arahat, or with their fruits, with the exception of *sotāpanna*. We can thus see that both the list of stages and fruits and the list of the fruits alone are the result of a misunderstanding of an expression. This misunderstanding has created a tradition.

4.2 The Elaborations

As was shown in §2, these standard versions suffer various elaborations. These elaborations, or parts of them, occur as integral parts of AN and SN, but are evidently imported into the DN via its Abhidhammic-style suttas (DN 33 and 34), and do not occur at all in MN.

4.2.1 Elaborations of the stages sotāpanna and anāgāmin, and of the pre-stage: the Buddhist interest in measuring attainment

The elaborations seem to have come about through a fascination with measuring attainments. This had led to two of the original stages, the stage of *sotāpanna*, and the stage of *anāgāmin*, receiving subdivisions (see §2.2.2 and 3). The subdivisions take place according to specific criteria. One important criterion for the division of the stage of *sotāpanna* is the number of rebirths to be expected, rebirths which take place in this world, and which are human incarnations.

The stage *anāgāmin* is divided in different ways. One of these ways is in terms of the location and period of the rebirth that will be obtained: among various kinds of gods, for various lengths of time, and under various conditions.[83] Other criteria may seem to be highly technical as in *sasaṅkhāra-*, *asaṅkhārā-*, the state of the *sankhāras*, and *upahacca-* or *antarā-parinibbāyī hoti*, the exact moment of attaining Nibbāna. There is also the metaphor of the fragments of the iron slab which illustrates the very fine nuances between the divisions of this stage (§3.4.6).

The wish to create a system of measurable attainments extends to the stage prior to entry into the stages of this HCH. This pre-stage may be called that of the Ordinary Man, (*puthujjana* MN, SN), or of the disciple "who lives in accordance with the *dhamma*", (*dhammānusārin*), or "who lives in accordance with faith" (*saddhānusārin* - SN), or of the person who is "beyond, and without attachment to sense-pleasures", (*bāhiraka kāmesu vītarāga*), or at its lowest level, an animal (*tiracchānagata*). The three terms *dhammānusārin*, *saddhānusārin* and *bāhiraka kāmesu vītarāga* attest to a certain minimal level of attainment (§2.2.1).

---

[83] See Horner, 1936 : 246 - 251.

4.2.2 The elaborations connected to other aspects of the Teaching

The SN connects this HCH with the Indriyas HCH, the Seven Factors of Awakening HCH, and the Seven Fruits of Mindfulness on the Breathing HCH (§2.3.1). The AN connects this HCH with the Three Trainings HCH and the Three Categories of Fetters HCH (§2.3.2). The questions that have to be asked here are: (1) How can we be certain that these are indeed elaborations of the Four Stages HCH rather than separate HCHs, or stages intrinsic to the other HCH? and (2) How can we be certain that it is the Four Stages HCH which is imposed and the other HCH which "receives" this imposition, and not vice versa? The answer to the first question is that this can be inferred from the texts through their use of a particular vocabulary, including synonyms, and also through their structure, that these elaborations belong to the Four Stages HCH. The answer to the second question is that if all reference to the Four Stages HCH were omitted from any of the "receiving" HCH, these HCHs would still stand as independent HCHs. I think there can be no doubt in these cases that the various attainments existed in the form of independent HCHs, and that the concepts and terminology of the developing Four Stages HCH were imposed upon them.

4.3 The individual stages

4.3.1 The Arahat

I do not put this stage in question, nor do I put in question the use of this term to designate the stage of the attainment of Enlightenment or Liberation. It was in general use in this sense among various groups who sought liberation.[84] Its usage throughout the Canon is consistent. It always occurs in the expression for the Buddha's credentials in the debate tradition.[85] It is very frequently used in many other circumstances in phrases qualifying the term "Buddha". It is used to designate the attainment of the monk who has achieved Nibbāna, the goal of the Buddha's teaching. On all of these grounds, I take the view that it is an early term, in use at the time of the Buddha himself, and with this meaning.

4.3.2 The stage of the Non-Returner, *opapātika/anāgāmin*

The attainments of the stage of Non-Returner are rather cursorily given and not much attention is paid to the method for obtaining them (§3.3.4).

I suggested that the term *opapātika*, "born by spontaneous generation", was a metaphor which became a technical term and a synonym for "Non-Returner" (§3.4). This idea is precisely expressed in the term *anāgāmin* whose etymology leaves nothing to be guessed, and which, as in the case of the Once-Returner, *sakadāgāmin*, shows that it was invented to cover one particular situation: that of having escaped the

---

[84] "... this same term (or its equivalent ...) was also used by the Jainas, and perhaps the Ājīvikas ... to designate those who have reached the highest stage possible while still embodied as human beings." See Bronkhorst, 1986 : 6.

[85] Manné, 1990 : 2.1.ii.b, quote 16.

destiny of coming back. What could have been the issues that gave rise to the need for this notion? It is generally agreed that the Buddha taught that Enlightenment could be attained in this very lifetime (*ditth'eva dhamme*).[86] That leaves a rather problematic issue: what would happen if the practitioner nearly became an Arahat in this very lifetime - but not quite. If there was a possibility of losing all that one hoped to have gained in pursuing a goal whose attainment could not be guaranteed, what could persuade or encourage more than the minimum amount of ardent disciples - almost certainly not enough of them to sustain the religion - that the effort was worth it. The notion of rebirth was very likely available and elegantly solved the problem. It therefore seems likely that the notions and terms Once-Returner (*sakadagāmin*) and Non-Returner (*anāgamin*) were incorporated into Buddhism at a time when the Buddhists needed to emphasise the effectiveness of their practice, whether death intervened or not.[87] The important feature with regard to the promulgation the Teaching at that time was that it lead, not only to the high goal of Arahatship, but also, as the names show, to *not coming back*.

The attention paid to the issue of the difference between the *anāgāmin* and the Arahat, and the lack of clarity and precise definition suggests that the invention of the notion of *anāgāmin* created difficulties in this direction.

---

[86] See Bronkhorst, 1986 : 93.

[87] I do not wish to give the impression that this was the only reason and means through which the notion of Liberation after death entered Buddhism. See Bronkhorst, 1986 : 94f for several interesting textual examples of the tendency in Buddhism to postpone liberation until after death. These examples show that this notion was coming into Buddhism in many different ways.

4.3.3 The stage of the Once-Returner, *sakadāgāmin*

Of all of the four stages of this HCH, the stage of *sakadāgamin*, receives the least attention in the texts. The etymology of this word shows that the stage was invented to cover one particular situation: that of having as one's destiny only one more occasion of rebirth. Behaviour, beliefs, advantages connected with this stage, methods for its attainment, and an attainment formula are all sadly missing, with the exception of the contents of the phrase in the standard Variation 1A. That expression tells us that the *sakadāgāmin* potentially destructive emotions of anger, hatred and delusionment are diminished, and that he will only be reborn one more time.

4.3.4 The stage of the Stream-Enterer, *sotāpanna*

The attestations in §3.1 show that the primary characteristic of the *sotāpanna*, his chief attainment, is his faith (the Beliefs and Practices formula, §3.2.1.B) although attention was also drawn to the possibility that originally practice was important (the Behaviour formula, §3.2.1.A). The adaptability of the fourth condition of the Beliefs and Practices formula, especially when used as an attainment formula, provides evidence that the reward of this stage of attainment was offered for supporting the Sangha. Occasionally more difficult attainments were required for this stage, for instance achieving the Noble Eightfold Path (§3.2.2) which is often represented as the attainment of the Arahat, or applying one's mind to the Causal Law - *paṭiccasamuppāda* (§3.2.2). Sometimes going beyond doubt with regard to certain aspects of the Teaching was a required attainment, or attainments are required with regard to certain *indriyas* (§3.2.3). These additional requirements, however, can safely be regarded as late as, first of all, they do not appear in either of the attainment formulas, and besides that they occur only in

the SN. They may be evidence of an attempt to raise standards (at least among the followers of the SN tradition).

The multiplicity of the information regarding the *sotāpanna*, and its many contradictions, suggests that this notion is an early element in the development of Buddhism which has evolved and been intensely elaborated in the course of time. With regard to the designation of the stage of *sotāpanna*, at least in the view of AN, all of the other stages of this HCH are simply types of *sotāpanna*. (AN V 120) This passage provides an important key to our understanding of this stage. I argued above (§4.3.1) that the stage of Arahat may be taken to have existed from the beginning of Buddhism. I have argued too (§4.3.2) that the stage *anāgāmin* solves the problem of what would happen if the practitioner nearly became an Arahat - but not quite, by offering a sort of guarantee, a saving clause for the promise that enlightenment was attainable during this lifetime. The stage *anāgāmin* contradicts the basic[88] Buddhist teaching that Enlightenment is attainable in the present lifetime. This discrepancy shows that this stage was invented later, and most likely after the time of the Buddha. The same must be said about the stage of *sakadāgāmin* which is so minimally developed in the texts. The close comparison between the etymological structure of these two terms suggests that they came into being together to serve the same purpose. This brings us to the question of the stage of *sotāpanna*. What is the origin of the stage of *sotāpanna*? The answer is that it was originally the stage, or perhaps more accurately the *state* of **convert**.[89] The *sotāpanna* was originally no more and no less that someone who had converted to Buddhism. Convert ing means having faith, conforming to a certain belief

---

[88] See Bronkhorst, 1986 : 93f.

[89] See Rhys Davids DB I 200, where he translates *sotāpanna* with "a converted man". Cf. Masefield, 1986 : 135 who equates the *sotāpanna* with the *sāvaka* and the *diṭṭhisampanna*. Masefield is more interested in showing homogeneity than in investigating differences and therefore follows the first methodological approach that Schmithausen (1990) has defined.

system and following a minimum number of rules of morality (*sīla*). The *sotāpanna* does all of these things. Originally, then, at the time of the Buddha, there were converts, and Arahats - practitioners who had attained Liberation. The invention of the stages of *anāgāmin*, and *sakadāgāmin*, however, necessitated the elaboration of the state of being a convert into the stage of *sotāpanna*. In this way the four stages HCH came about. This being the situation, there is no surprise in the fact that the texts present the *sakadāgāmin* as a type of *sotāpanna*, as they do the *anāgamin* and the Arahat (AN V 120). There is also no surprise either in the fact that *sotāpanna* is the most frequently attained stage (SN V 406).

In this way the four stages HCH came about.

4.4 The difference in interest in this HCH between the DN, MN, SN & AN

4.4.1 The standard version, the brief version and the elaborations.

The standard version of this HCH and the brief version with fruits occur consistently in all of the four Nikāyas of this study except for the brief version which appears to be absent in the DN and the MN. Other elaborations occur minimally in the DN and MN and then only in texts that are undoubtedly late additions to these collections. Only the MN has variations within the context of this HCH of the expression for the fourth of the Four Stages, the Arahat.

It is the SN and the AN which are most interested in the elaborations of this HCH. In general these texts agree on the elaborations as they appear in the lists. There are, however, interesting differences between them. One concerns the pre-stages, another concerns the sub-stages of the stage of *sotāpanna*, and a further difference concerns the fact that with regard to the elaborations connected to other aspects of the Teaching, the SN (§2.3.1) and AN (§2.3.2) contain completely

different and unrelated information. With regard to the first point, the SN offers two pre-stages which are undoubtedly designed to accommodate two types of followers, those who live in accordance with the *dhamma-* (*dhammānusārins*) and those who live in accordance with faith (*saddhānusārins*), while the AN offers no pre-stages. This may be taken to indicate that the SN reciters were more in touch with their lay followers, and more required to please and to accommodate them, than their AN colleagues. This position is supported by the SN's generally greater interest in the stage of *sotāpanna* (see below). With regard to the second point, the substages of the stage *sotāpanna* occur only as a list of terms in the SN, while the AN explains the terms. This suggests that the AN may have originated these ideas or at least that the SN took them over from the AN. With regard to the third point, this gives the impression that the SN and the AN had a somewhat different view of the Teaching.

4.4.2 The individual stages

i The stage of Stream-Enterer, sotāpanna.

The Nikāyas show distinct and different interests in the individual stages. MN shows no interest in defining the *sotāpanna*, nor in attributing qualities to him. It contains only the standard version and the brief version with fruits. The DN contains both the Behaviour Formula and the Beliefs and Practices formula, but both of these occur only in the Sangīti Sutta (DN III 227). It contains the *sotāpanna* attainments, but these occur only in the Mahāparinibbāna Sutta (DN II 93), which is also a particular case.[90] The AN contains the Beliefs and Practices Formula (AN IV 406) and the condition for uttering it (the Fivefold Guilty Dread condition AN IV 405). It contains the *sotāpanna* attainments, and it alone contains a list of advantages on the attainment of

---

[90] See Manné, 1990 : footnote 1.

the stage of *sotāpanna* (AN III 441). It contains certain recommendations regarding the method for attaining all of the stages (AN I 44; 231f). It incorporates all the other stages into that of *sotāpanna*, by dividing *sotāpannas* up into 10 types and subsuming the various types of *anāgāmin* into this stage, and by taking the view that all those with faith in the Buddha are *sotāpanna* (AN IV 120). It is the SN, however, that is really interested in the *sotāpanna*. It contains the Behaviour formula (SN V 347, 404, etc.), the Beliefs and Practices formula (SN V 343f, 345, etc.), and the conditions for uttering these formulas (SN II 68f; V 387f). It contains the variations on this formula that adapt it for laymen (SN V 387) or that adapt it in the direction of generosity towards the monks (SN V 352), as well as the doubts about these adaptations (SN V 371; 398). It adds qualifications beyond those of the Behaviour, and the Beliefs and Practices formulas, such as application to the causal law, *paticcasamuppāda* (SN V 387), the attainment of seven good practices and four desirable states (SN v 352-356), a condition based on views (SN III 202-224), and two five *indriya* conditions (SN V 193f; SN V 207), and a six *indriya* condition (SN V 205). it proposes methods, such as contemplating the five grasping groups, *pañcupādānakkhandhā*. It is concerned with the differences between the Stream-Enterer (*sotāpanna*) and the Arahat (§3.2.3).

ii The stage of Once-Returner, sakadāgāmin

When it comes to the *sakadāgāmin*, none of the texts have a particular interest.

iii The stage of Non-Returner, opapātika / anāgāmin.

On the subject of the *opapātika / anāgāmin* there is once again difference and specialisation between SN and AN, while, as in the case of the *sotāpanna*, DN and MN contain only the standard expressions. SN, however, contains an attainment formula. It emphasises the condition for the attainment of this stage of abandoning the five lower fetters (SN

V 177f), and offers a method for this (SN III 566). It demands further progress than the *sotāpanna* with the five grasping groups, *pañcupādānakkhandhā*(SN III 167f). AN says where, i.e. in which heaven, one might encounter an *opapātika* (AN II 186). It is concerned with the difference between a Returner, and a Non-Returner, discriminating between these two stages through a conditions based on fetters (AN I 63), qualifying the non-Returner through his mental capacities (AN I 64), or through a simile (AN IV 74). It offers a method for attaining this stage, and says that this stage is rather frequently attained (AN I 64, II 160, IV 63, etc). It is aware of the difficulty of distinguishing between stages (AN I 118). This specialisation shows that of the two Nikāyas which interested themselves most in the Four Stages HCH, the SN was primarily concerned with the stage of *sotāpanna*, while the AN was primarily concerned with the stage of *anāgāmin*.

Only AN is concerned with the problem that each stage could seemingly be attained in a variety of ways. It asserts that all *sotāpannas* are equal, as are all *sakadāgāmins*, *anāgāmins* and Arahats (AN IV 364).

5 THE USE - AND ABUSE - OF THE FOUR STAGES CASE HISTORY

I said in the introduction to this chapter that the concepts *saṃsāra* and *karma* required a HCH that extended over more than one lifetime. The original purpose of this HCH may have been to provide this, but its appearance in the texts shows how manifold its utility was. In this chapter we will look at how the DN, MN, SN and AN use, and abuse, this case history. In order to facilitate the comparison, common headings will be used. These will be:

1   The Use of the Four Stages HCH in Debates: the Four Stages HCH as the main reason for following the Buddha's Teaching.

2   The Four Stages HCH and the promotion of the efficacity of the Buddha's Teaching: the need for measurable and definable attainments.

3   The Four Stages HCH as conferring status and rewards.

4   Attempts to relate the Four Stages HCH to other aspects of the Teaching:

    i   the attempt to relate it to other sequences of development.

    ii   the attempt to relate it to technical aspects of the Teaching.

5   The abuse of the Four Stages HCH.

6   Actual CH's.

7   The differences between the Nikāyas in their treatment of the Four Stages HCH.

5.1 The Use of the Four Stages HCH in the Debates: DN, MN, AN:
The Four Stages HCH as the main reason for following the Buddha's Teaching

The Four Stages HCH is connected with the debate tradition in two ways: (1) it is proposed as a means for winning a debate, and (2) it has attainment formulas connected to some of its stages.

In the *Mahāli Sutta* (DN 6), replying to a challenge, the Buddha says that the reason for following his Teaching is in order to attain the four stages (expressed as in Version A).[91] On two other occasions it is claimed that it is precisely the existence of these four stages that differentiates the Buddha's system from other systems, and that this is the

---

[91] This sutta has been discussed in Manné, 1990 : 4.1.

basis for an assertion (a lion's roar)[92] in a debate. However determinedly the importance of the Four Stages HCH is proclaimed, it never *wins* a debate! Debates are won on the Sāmaññaphala Sutta hypothetical case history.[93] This fact rather detracts from the force of the assertions in the suttas cited above.

5.2 The Four Stages HCH and the promotion of the efficacity of the Buddha's Teaching: the need for definable and measurable attainments

This case history shows that it was necessary and important for the Buddhists to have definable and measurable attainments. In this way they were true psychologists! The Four Stages HCH is used to prove that the Buddha's method works. There is an emphasis that everyone who practises, attains. The Buddha says, "There is indeed in this Order of monks no doubt or misgiving in a single monk as to the Buddha, the Order, the Dhamma, the Way or the Practice. Of these five hundred monks here, Ānanda, the most backward is a Stream-Winner, one saved from the Downfall, assured, bound for Enlightenment" (AN II 80). Similarly, the Buddha states that simply by following his method for a day and a night, one of the stages: that of either the *sakadāgāmin*, the *anāgāmin*, or the *sotāpanna*, would be attained (AN V 86).

The attainment of stages is used to quantitatively demonstrate the effectiveness of hearing a sermon preached by the Buddha. In the SN, thirty monks who still have fetters (*saṃyojanā*) come to see the Buddha for help. The Buddha recognises their state, and, in order for them all to

---

[92] Cūlasīhanāda Sutta (MN 11); AN II 238; see Manné, forthcoming (a). Also in the AN the stages and their fruits are called the 8th *marvel (aṭṭha accariyā abbhutā dhammā)* of the Buddha's dhamma and discipline (*dhammavinaya*). AN IV 204.

[93] See Manné, forthcoming (a), 2.1.

attain release, preaches a sermon. They all duly attain release (*bhikkhūnam anupādāya āsavehi cittāni vimuccimsu.* SN II 187ff). The instant freeing from intoxicants (*āsavas)* by means of a sermon preached by the Buddha is most characteristically a SN feature, although it occurs in other texts (SN II 187ff, III 68, 132; IV 20, etc.).

The four stages HCH is imposed on other HCHs (§2.3), thus providing for them a terminology capable of making vague notions of progress measurable.

5.3 The Four Stages used to confer status and rewards

There is a certain innocence in the way the texts exploit this aspect of the utility of the Four Stages HCH. The Four Stages are mentioned in three fantasy suttas:[94] the *Jana-Vasabha Sutta* (DN 18),the *Mahā-Govinda Sutta* (DN 19), and the *Sakka-Pañha Sutta* (DN 21). In the *Jana-Vasabha Sutta* (DN 18), the Buddha's affirmation that there are large numbers of people in a certain region, Nādika, who have attained one or other of the first three stages after death is of central importance. Ānanda immediately realises that if such attainments are confirmed for the faithful of one area, politics and good public relations require that they had be confirmed for the faithful of another. The issue is corrected by means of a fantastical story. The sutta emphasises the importance of the possession of a named, defined stage of attainment.

The *Mahā-Govinda Sutta* (DN 19), the second of these Fantasy suttas, asserts that every disciple has attained one of these four stages: it is comparable in function with the suttas in the previous section. This sutta's position on the Four Stages HCH is that merely becoming a disciple is enough to be rewarded with the stage of *sotāpanna*. This

---

[94] See fn.12.

suggests that this sutta has its origins at a time when the term *sotāpanna* meant simply "convert".

Only the stage *sotāpanna* is mentioned in the third of these fantasy suttas, the *Sakka-Pañha Sutta* (DN 21), and here it is the god Sakka who lays claim both to being a disciple of the Buddha and to having attained this stage. It forms part of his credentials[95] when he presents himself to the Buddha and in this way demonstrates the link between stage and status. This sutta demonstrates that a stage could convey status. A god must have some measurable attainment!

The innocence with which the texts exploit this HCH is somewhat betrayed, however, in the *Naḷakapāna Sutta* (MN 68). This sutta explains why the Buddha uses the 4 stages .. "the Tathāgata does not have the purpose of defrauding people nor the purpose of cajoling people not the purpose of gains, honour, fame and material advantages, nor the thought: 'Let people know me thus' when he explains the uprisings[96] in which are disciples who have deceased and passed away, saying: "Such a one has uprisen in one, such a one has uprisen in another."[97] But there are, .. young men of family who have faith and are of great enthusiasm, of great joyousness and who, having heard this, focus their minds on suchness. .. this will be for their weal and happiness for a long time" (MN I 465).[98] The text that follows shows clearly that the "uprisings" spoken about are the four stages. This explanation suggests that the four stages are an invention whose purpose was to inspire dedication to the practice and to endow it with a tangible result.

The *Tevijja-Vacchagotta Sutta* (MN 70) is forthright in offering stages as rewards. It proclaims, "For a disciple who has faith in the

---

Teacher's instruction and lives in unison with it, monks, one of two fruits is to be expected: profound knowledge here and now, or, if there is any basis (for rebirth remaining), the state of no-return" (MN I 481).[99] The second option can only be attested by the Buddha or another of like capacities, who can see the arising of beings as they transmigrate from life to life. When it comes to faith and practice, this categorisation ensures that there are no losers.

Finally, in the *Dakkhiṇavibhaṅga Sutta* (MN 142), the four stages are used explicitly to grade the reward concomitant upon the giving of gifts. The higher the stage of the recipient, the greater his status and the greater the reward for the donor.

5.4 Attempts to relate the Four Stages HCH to other aspects of the Teaching

5.4.1 The Four Stages HCH in relationship to other sequences of development

Several examples of this from the SN and the AN have been presented in §2.3. Although the two abhidhammic suttas of the DN, 33 and 34 may be said to be doing this, their organisation seems more random than structured. The same applies to the list of the monks attainments and practices in the Ānāpānasati Sutta (MN 118), quoted below, as the exposition in the sutta has little relationship to this list. The difference between the MN, whose examples I will quote below, and the AN and SN, whose examples were given in §2.3, is that the MN is trying to collate as many as the elements of the Teaching as possible,

---

[95] See Manné, 1990 : 2.1.ii.

[96] *upapatti* "rebirths". the translator is capturing the play on words in the Pali.

[97] `Qui s'excuse s'accuse.' Obviously this utterance has been made in defense against just such an accusation.

[98] Tr. Horner, MLS II 138.

[99] Tr. Horner, MLS II 156. *Saddhassa bhikkhave sāvakassa satthu sāsane pariyogāya vattato dvinnaṃ phalānaṃ aññataraṃ phalaṃ pāṭikaṅkhaṃ: ditthe va dhamme aññā, sati vā upādisese anāgāmitā ti.* Note the term *anāgāmin* is used here.

while the SN and AN are imposing the Four Stages as a system of measurement upon other HCHs, or sequences of development.

An attempt to locate the four stages in a larger developmental schema is described in the Akaṅkheyya Sutta (MN 6). Its stages are touchingly expressed in the form of a sequence of aspirations a monk may have. These are:

i   "May I be agreeable to co-practitioners and pleasant to them, esteemed and respected" *(sabrahmacārīnaṃ piyo c'assaṃ manāpo garu bhāvanīyo cāti.* MN I 33).

ii   "May I be one who receives the requisites of robes, almsfood, lodgings, and medicines for the sick" (*lābhī assaṃ cīvara-- piṇḍapāta-senāsana-gilāna-paccaya-bhesajja-parikkhārānan ti).*[100]

iii   "May the services of those from whom I enjoy (the above) be of great merit, of great advantage".[101]

iv   `May the benefit be great for those of my kith and kin who are spirits who have passed on, and who are aware of it with peaceful minds" *(ye me ñātisālohitā petā kālakatā pasannacittā anussaranti tesaṃ taṃ mahapphalaṃ assa mahānisaṃsan-ti)*

v   "May I be one who overcomes aversion and liking, and may aversion not overcome me, may I fare along constantly conquering any aversion that has arisen" *(aratiratisaho assaṃ na ca maṃ arati saheyya, uppannaṃ aratiṃ abhibhuyya vihareyyan-ti)*[102]

vi   "May I be one who overcomes fear and dread, and may fear and dread not overcome me, may I fare along constantly conquering any fear and dread that has arisen" *(bhayabheravasaho assaṃ*

na ca maṃ bhayabheravaṃ saheyya, uppannaṃ bhayabheravaṃ abhibhuyya abhibhuyya vihareyyan-ti).*[103]

vii   "May I be one who at will, without trouble, and without difficulty is possessed of the four *jhānas*, which are dependent on the clearest state of consciousness and which are the abodes of happiness in this very life-time" *(cattunnaṃ jhānānaṃ ābhicetasikānaṃ diṭṭhadhammasukhavihārānaṃ nikāmalābhī assaṃ akicchalābhī akasiralābhī ti).*

viii   "Those incorporeal deliverances which are calmed, transcending forms, may I fare along having realised them while in the body" *(ye te santā vimokhā atikkamma rūpe āruppā te kāyena phassitvā viharreyyan-ti).*[104]

ix   As *sotāpanna* description, Version A (1).

x   As *sakadāgāmī* description, Version A (2).

xi   As *opapātika* description, Version A (3).

xii   As SPS-HCH, Stage III, iii *(iddhis).*[105]

xiii   As SPS-HCH, Stage III, iv (clair-audience).

xiv   As SPS-HCH, Stage III, v (understanding the heart and mind of others).

xv   As SPS-HCH, Stage III, vi (knowing the details of one's former lives).

xvi   As SPS-HCH, Stage III, vii *(dhamma-cakkhu).*

xvii   As the formula for the fourth stage, §2.1, Version A, 4.

In the *Aṭṭhakanāgara Sutta* (MN 52) there is an attempt to relate Stages 3 and 4 to the *jhānas*, the *brahmavihāras* and three of the four

---

[100] Tr. Horner, MLS I 41.
[101] Tr. ibid.
[102] Tr. Horner, MLS I 42.

[103] Tr. ibid.
[104] Tr. ibid.
[105] See Manné (forthcoming b) §3, 6.

āyatanas (*ākāsānañcāyatana, viññānañcāyatana, ākiñcaññāyatana*).[106] A refrain occurs at each stage in the sequence: "Firm in this he attains the destruction of the intoxicants. If he does not attain the destruction of the intoxicants then by this attachment to *dhamma*, by this delight in *dhamma*, by the destruction of the five fetters binding to this lower (shore), he is of spontaneous uprising, one who attains nibbāna there, not liable to return from that world."[107] The refrain suggests that this attainment could happen at any time the *jhānas*, the *brahmavihāras* and the three *āyatanas* were being experienced. This close relationship between the attainment of the 3rd and the 4th stage occurs frequently in MN (52, 64, 70, 73), SN and AN.

In the *Ānāpānasati Sutta* (MN 118) there is a list of attainments of the Order of monks which starts with the Four Stages as its first members, and then continues with various practices:

i	Arahat
ii	*opapātika*
iii	*sakadāgāmin*
iv	*sotāpanna*
v	"the four applications of mindfulness" (*cattāro satipatthānā*)
vi	"the four right concentrations of mind" (*cattāro sammāppadhānā*)
vii	"the four bases of psychic power" (*cattāro iddhipādā*)
viii	"the five controlling faculties" (*pañca indriyāni*)
ix	"the five powers" (*pañca balāni*)
x	"the seven links in awakening" (*satta bojjhangāni*)
xi	"the Noble Eightfold Path" (*ariya atthangika magga*)
xii	"friendliness" (*mettā*)
xiii	"compassion" (*karunā*)
xiv	"sympathetic joy" (*muditā*)
xv	"equanimity" (*upekhā*)
xvi	"on the unpleasant" (*asubha*)
xvii	"perception of impermanence" (*aniccasaññā*)
xviii	"mindfulness on in-breathing and out-breathing" (*ānāpānasati*).[108]

This list does not make a lot of sense as an ordered sequence of development. It is followed in the sutta by a detailed exposition of the practice of "mindfulness on in-breathing and out-breathing" (*ānāpānasati*, no. xviii. above), which, we are informed, is the practice that causes the complete development of the four applications of mindfulness (no. v. above), which practice, in its turn, causes the complete development of the seven links in awakening (no. x. above). No link between these practices and the Four Stages HCH is offered. Although this process of this development forms an interesting HCH in itself, there is no link between its features and the sequence of practices listed in the earlier part of the sutta. The Four Stages HCH is here attached to an already existing list.

5.4.2 The Four Stages HCH in relationship to technical aspects of the Teaching

While DN and MN do not concern themselves with this, SN and AN show a large concern for the technical aspects of the Teaching.

---

[106] Cf. the *MahāMālunkya Sutta* (MN 64) which links Stages 3 an 4 with the *jhānas* as above and with two of the *āyatanas*.

[107] Tr. Horner, MLS II 15. Horner translates the term *āsava* by "canker". I have replaced this with the term "intoxicant" for the sake of consistency within this article. *So tattha thito āsavānam khayam pāpunāti; no ce āsavānam khayam pāpunāti ten' eva dhammarāgena tāya dhammanandiyā pañcannam orambhāgiyānam samyojanānam parikkhayā opapātiko hoti tatthaparinibbāyī anāvattidhammo tasmā lokā.* MN I 350.

[108] This list is exhaustively studied in Gethin, 1992.

They introduce features that are not found in the other Nikāyas, they add further conditions for the attainment of certain of the stages and propose methods for the attainments of others. Examples occur in Section 3.

5.5 The abuse of the Four Stages HCH

There are no examples of this in DN, but MN has several. With reference to the utterance cited above, "the Tathāgata does not have the purpose of defrauding people nor the purpose of cajoling people not the purpose of gains, honour, fame and material advantages, nor the thought: `Let people know me thus' when he explains the uprisings in which are disciples who have deceased and passed away, saying: "Such a one has uprisen in one, such a one has uprisen in another," one must be forgiven for saying again what was first said in a footnote (see §5.3), "Qui s'excuse s'accuse!" There are examples in MN, SN and AN which show how this system was abused in just the way denied above.

The use of the Four Stages HCH to provide measurable attainments seems honest enough, as does their capacity to confer status. The use of Stages 3 and 4 as rewards, as in the *Tevijja-Vacchagotta Sutta* (MN 70, see §5.3), comes close to manipulation. Certain suttas show an inventive abuse of this system of attribution and classification of attainments.

The attribution of the attainment of the stage *opapātika* in the *Dhātuvibhaga Sutta* (MN 140) is the Buddha's way of getting out of a fix. The monk Pukkusāti has received lengthy instruction from the Buddha without guessing the identity of his teacher until the end of the discourse. Pukkusāti apologises for this transgression and asks for ordination, and the Buddha sends him away to fulfil the requirements with regard to bowl and robe. Unfortunately, while trying to obtain these, Pukkusati is killed by a cow. The monks who report this to the Buddha, refer to Pukkusati in their report as "(that) young man of family who the Lord (just) instructed by means of a brief instruction," and ask to be

informed of his future condition of rebirth. Obviously in this situation the Buddha has to say something. Pukkusati's earnest commitment to the Teaching, which forms the substance of this sutta, requires some recognition. Nevertheless, the Buddha's words in the situation seem to indicate that he finds the question tiresome. He prefaces his response with this description of Pakkusati, "Pakkusati, the young man of family, was wise; he entered the path of application to the *dhamma*; he did not plague me with disputatious questions about the *dhamma*," and goes on to confer the state of *opapātika* upon him (MN III 247).

The situation is resolved the same way upon the death of the brahman Brahmāyu, who was of immense importance and very highly venerated, and who became a lay disciple (*Brahmāyu Sutta*, MN 91). The texts use the same formulaic expression in both cases (MN II 146 = MN III 247). This stage is regularly conferred on sick bhikkhus who die after hearing a discourse from the Buddha. It is the only stage that is conferred after the death of the disciple (e.g. MN 91, 140; SN V 346 Dhīgavu). The practice of conferring the stage of *anāgamin* on an ailing bhikkhu who has died after hearing a discourse from the Buddha is attested also (AN III 381). This attests to the power of the Buddha and his Teaching.

People's fears were played upon in order to entice them to convert. Followers are especially encouraged to convert their friends and family, to ground them in the *Credo* (SN V 264f), especially in order that they escape from the fear of all evil destinies (rebirths) and states of punishments.

There are rewards in terms of the Four Stages HCH simply for being a lay disciple. Dhammadinna, a lay disciple, tells the Buddha that he does not have time to learn the Buddha's discourses, because he lives a householder's life, has a family, and indulges in luxuries like perfumes and money, and asks the Buddha for a different way. The Buddha recommends that he train himself as in the Beliefs and Practices formula. Dhammadinna claims that he already fulfils these conditions. The Buddha acknowledges him, "It is an advantage for you, Dhammadinna, it is a

benefit for you, Dhammadinna, that the *sotāpattiphala* has been explained."[109] (SN V 407f)

The most flagrant example of the abuse of this system is at the same time not without its charm. This is the occasion where the Buddha proclaims that the monk, Sarakāni, who had died, had become a *sotāpanna* (SN V 375ff). This proclamation is seriously questioned and challenged by the other monks. "A strange thing indeed! A wonder indeed! Nowadays anyone may become a stream-winner. Sarakāni failed in the training and took to drink!" they say, evidently disgusted (SN V 375). The Buddha replies, "How could a lay disciple who had for a long time taken refuge in the Buddha, the Dhamma and the Sangha go to hell?" The reason the Buddha takes up this position becomes clear in the following sutta (SN V 378): it is because the Teaching is correctly taught by a Sammāsambuddha that it always leads to results, just as well-sown seeds always grow into plants. Obviously in the case of failure, the credibility of the Buddha is in question and must be defended.

A further amusing example shows that the stages were treated as a means of promotion or demotion, in terms of the prestige which the acknowledged attainment of a stage automatically conferred. The disreputable bhikkhu Kokālika taunts the Brahmā Tudu who has come from his brāhma world out of compassion to pay him a visit, "Didn't the Buddha call you a Non-Returner? And now you have come back here! Look how far you have gone wrong!" *(Nanu tvam āvuso Bhagavatā anāgāmī byākato // atha *kiñcarahi idhāgato // passa yāvañca te idam aparaddhan-ti.* SN I 149 = AN V 171).[110]

5.6 Purportedly Actual Case Histories

There are none of these in the DN. The case histories of Pakkusati (MN 140) and Brahmāyu (MN 91) are purportedly real, that is, a named individual is attributed with making the transition from one stage to another. This type of case history must, however, be regarded as most doubtful. The circumstances which surround them show that this is simply a device to inspire conviction in the efficacity of the Buddha's Teaching.

There are purportedly actual case histories in the SN. One of these is that of the disciple Dīghāvu, who is ailing. This case history contains three steps: two comprise the Buddha's directions regarding his practice; the third comprises his attainment after death. In step one, the Buddha advises Dīghāvu to train himself in such a way as to become a *sotāpanna*, as in the Beliefs and Practices formula (SN V 344ff). Dīghāvu claims that he already has this attainment. In step two, the Buddha advises him to, "to dwell contemplating impermanence in all the activities, conscious of Ill in impermanence, conscious of there being no self in what is Ill, conscious of abandoning, of dispassion, of cessation" (*sabbasankhāresu aniccānupassī vihārāhi // anicce dukkhasaññī dukkhe anattasaññī pahānasaññī virāgasaññī nirodhasaññī ti.* SN V 345).[111] Dīghāvu claims that he already possesses this attainment. At this point Dīghāvu admits that he is worried about the state his father will fall into should he die. This shows some remaining attachment on his part. His father promptly reassures him, and directs him to follow the Buddha's teaching. Dīghāvu dies shortly after this.[112] In step three, Dīghāvu, posthumously, attains the stage of *anāgamin*: when the Buddha is

---

[109] I am grateful to Professor Dr. Oskar v. Hinüber for help with this translation.

[110] The more usual form is *carasi*.

[111] Tr. Woodward, KS V 400.

[112] For contemporary cases of death after parental permission see Levine, 1986; Siegel, 1986.

informed of his demise, and asked about his destiny, he confers it upon him.

A further purportedly real case history in the SN concerns the ailing monk Khemaka, whose self-diagnosis with regard to his own stage of development is that, "I do not say `I am' with regard to body, or feeling, or perception, or *saṅkhāra*, or consciousness, nor in relationship to what is different from any of these. But, friends, I still possess the 'I am' with regard to the five grasping groups" *(na rūpam asmīti vadāmi na pi aññatra rūpā asmīti vadāmi// Na vedanam/ Na saññam/ Na saṅkhāre/ Na viññānam asmīti vadāmi na pi aññatra rūpā asmīti vadāmi// Api ca me āvuse pañcasu upādānakkhandhesu asmīti adhigatam ayam aham asmīti ca na samanupassāmi.* SN III 130). Upon teaching how the last subtle remnant of the "I am" conceit can be got rid of, Khemaka gets rid of it himself, and, together with 60 of his audience, attains freedom from the *āsavās* (SN III 126-132). This teaching shows how to make the transition from *anāgamin*, expressed in the text as "*pancorambhāgiyāni saññojanāni pahīnāni*", to Arahat (SN III 130). The method prescribed is to "contemplate the rise and fall of the five grasping groups thus: this is body, this is the arising of body, this is the cessation of body; (and so forth for all the others)." This case history has unusual, non-stereotypical details.

The AN authenticates the Four Stages HCH by attributing the Buddha with the fruits of each of these stages, thus making them a part of his personal case history (AN I 23).

5.7 The differences between the Nikāyas in their treatment of the Four Stages HCH

These differences can be summarised if we take the original headings for this chapter and mark which categories are common to all of these Nikāyas. This is done in Table I below. This schema gives an indication of the differences of interest between the DN, MN, SN and AN. There are certain evident differences between the Nikāyas which have been referred to above, and which therefore only need mentioning here. This HCH appears in the DN mainly in lists or in debate suttas. Because there is nothing original in the DN's usage of this HCH, I conclude that the DN incorporated it because it existed in the material of the reciters of the other Nikāyas (or their early versions). With regard to the MN, however, I think the case is quite different: there is evidence of original usage of this HCH. I argued that the MN "was the collection which arose to serve the need to introduce new converts to the character of the Leader, the Buddha, and the important disciples, to integrate new converts into their values and their way of life, and to provide them with the fundamentals of the Teaching and the Practise."[113]

One important requirement of a text with this purpose would be to encourage the converts by providing them with attainable goals. MN does indeed encourage disciples in many ways that they can and will attain the stages during their lifetimes or in the worst of circumstances, after their deaths.

---

[113] Manné, 1990 : 4.3.

TABLE I. Categories common to these Nikāyas.

1. The Use of the Four Stages HCH in Debates: the Four Stages HCH as the main reason for following the Buddha's Teaching.			
DN	*MN*		*AN*

2. The Four Stages HCH and the promotion of the efficacity of the Buddha's Teaching: *the need for measurable and definable attainments.*			
DN	*MN*	*SN*	*AN*

3. The Four Stages HCH as conferring status and rewards.			
DN	*MN*	*SN*	*AN*

4. Attempts to relate the Four Stages HCH to other aspects of the Teaching:			
i. Its relationship to other sequences of development.			
DN	*MN*		
ii. Its relationship to technical aspects of the Teaching.			
		SN	*AN*

5. The abuse of the Four Stages HCH.			
	MN	*SN*	*AN*

6. Purportedly actual CH's.			
	MN	*SN*	*AN*

What we notice in MN is best shown in a table and appears as Table II. The stage number appears at the top of the table and corresponds to the stage as in the standard versions. The number in each column is the number of the sutta in which the stage appears. The table shows the preponderant concern for the final stages, stage 3 and stage 4. Stages 1 and 2 are named in only four suttas, MN 6, 68, 118, and 142.

TABLE II.

Stage	*(1)*	*(2)*	*(3)*	*(4)*
	6	*6*	*6*	*6*
			52	*52*
			64	*64*
	68	*68*		
			73	*73*
			91	
	118	*118*	*118*	*118*
			140	
	142	*142*	*142*	*142*

They are never referred to on their own, but only occur in the context of the Four Stages HCH. Stage 3, besides occurring in the four above, occurs in three other suttas, MN 52, 64 and 73, where it is named with stage 4, and two suttas, MN 91 and 140, on its own. There is no great

regularity in the naming of the final of the four stages which occurs in the four first named suttas with all of the other stages, and in four other suttas, MN 52, 64, 73 and 68, where it occurs with stage 3. Usually when all four of the stages are named the last stage is expressed as in (4) of Version A, but once, under these conditions, stage 4 is named *aññā* (MN 68). This preoccupation with stages 3 and 4 shows MN's concern to guarantee results with regard to the purpose of the Teaching: the end of rebirth.

Insofar as the SN and the AN are concerned, the large proportion of quotations from these texts in §§2 and 3 attest their attempts to understand and to make sense of the Teaching of the Four Stages HCH. These texts take an "academic" approach to the Four Stages HCH. Probably only intended for monks with a certain commitment and experience they do not need to make compromises. They study the system and the technical details. In adding further conditions they attempt to add detail and clarity. Although it contains its share of suttas abusing this system, the SN's inclusion of the case of Sarakāni shows a critical attitude not found on this theme in the other Nikāyas.

I have discussed the individual character of the DN and the MN (Manné, 1990) and none of the information here points to a need to change my position. This chapter does, however, permit us to modify the current view on the SN and the AN, especially with regard to their purpose, and the nature of their composers and reciters. Bronkhorst has said that these Nikāyas attained their peculiar shapes at "a time when efforts were made to distil from the tradition lists of items that could be considered to embody the essence of the teaching of the Buddha, being rearrangements of traditional utterances."[114] What kind of people were attempting to "distil from the tradition"? Who were these "distillers"? and were they really only "distilling"? We can infer from this study that the "distillers" were not ordinary practitioners, ordinary monks or followers,

---

[114] Bronkhorst, 1985 : 316.

but a highly specialised kind of practitioner: scholar-practitioners or practitioner-researchers: monks dedicated both to their practice and to preserving as accurately as possible the method and technique of their practice and the knowledge surrounding it. The questions they address are: "What is it?" "How is it done?" "How does it fit together?" These are questions worthy of any scholar. The SN and the AN show a much smaller interest in telling stories than do the DN and the MN. The interest of their compilers was in finding out as comprehensively as possible on a practical level what exactly the Buddha taught and how it worked.

6 HOW THE FOUR STAGES HCH CAME ABOUT

I have argued (§4.3) that the stages *sotāpanna* and arahat can be regarded as pertaining to early Buddhism. In the beginning, therefore, there were just two stages: that of convert and that of (full) attainer. How then did the other two stages and the Four Stages HCH come about? As the Four Stages HCH cannot be taken to form part of Original Buddhism it must be either an entirely new and independent invention or an organising structure for some original elements. The first possibility can be rejected. As Bronkhorst has said, religious traditions tend to be conservative and do not as a rule invent complete novelties.[115] This leaves us to explore the notion that the Four Stages HCH is an organising structure for original elements.

It is certainly an organising structure.

---

[115] Bronkhorst 1986 : xii.

6.1 The Four Stages HCH as a systematising and organising structure

The Four Stages HCH is first of all an organising structure for the number of rebirths awaiting the practitioner. The terminology indicates beyond any doubt that the terms *sakadāgāmin* and *anāgāmin* were created to express the attainment of having to suffer only one more, or no more rebirths in human form. The original, elemental version of the Four Stages HCH must have started as a way of defining soteriological attainment in terms of number of rebirths. See Table III.

TABLE III. Freedom from rebirth in terms of a diminishing number of rebirths.

sotāpanna	(7 rebirths)
sakadāgāmin	1 rebirth
anāgāmin/ opapātika	he is characterised by non-returning to this world
Arahat	no further rebirths.

Linked to the idea of escaping from rebirth in the Buddha's Teaching is the idea of the escape from suffering: The Buddha taught that his method led to the end of suffering. The standard version of this case history includes phrases that express this. See Table IV.

TABLE IV. Freedom from suffering.

sotāpanna	freedom from hell or from punishment
sakadāgāmin	after only one more rebirth he makes an end of suffering
anāgāmin/ opapātika	no rebirths in human form
Arahat	(end of suffering).

Once this terminology existed, however, its implications would have to be explored, in particular its relationship to other aspects of the Teaching. Certain attainments had already been defined, perhaps even by the Buddha himself. The compilers of the texts were faced with the problem of how these related to the newly existing Four Stages HCH. Very many different elements of the Teaching become united through being attributed to one of the stages (§2.3). The standard version includes also freedom from certain mental and emotional problems. See Table V.

TABLE V. Freedom from certain mental and emotional problems.

sotāpanna	the disappearance of 3 fetters *tiṇṇaṃ saṃyojanānaṃ parikkhayā*
sakadāgāmin	the diminution of passion, hatred and delusion *rāga-dosa-mohānaṃ tanuttā*
anāgāmin/ opapātika	the disappearance of the five fetters which belong to the lower world *pañcannaṃ orambhāgiyānāṃ saṃyojānaṃ parikkhayā*
Arahat	having seen for himself in this very lifetime, through his own higher knowledge, the release of heart and mind that is free from *āsavas* *anāsavaṃ cetovimuttiṃ paññāvimuttiṃ diṭṭhe va dhamme sayaṃ abhiññā sacchikatvā*

Evidently the tradition had handed down an attainment, or a sequence of attainments related to being free of certain fetters or bonds. There are several problems here for the contemporary researcher. One is that the original researchers, or distillers, did not specify consistently what the relationship was between these bonds and this case history: the bonds also appear independently in the texts or linked to other hypothetical case histories (e.g. that of the *dhammacakkhu* at AN I 242). There is the further problem that the concept of fetters (*saṃyojana*) is in

itself an organising or systematising concept, linking various ideas. The AN, for example, defines 10 of these: the five fetters which bind to the lower states (*orambhāgiya*)[116] and five which bind to the higher states (*uddhambhāgiya*): craving for fine-material existence (*ūparāga*,) craving for immaterial existence (*arūparāga*), conceit (*māna*,) restlessness (*uddhacca*), and ignorance (*avijjā*, AN V 17; SN V 61f).[117] The AN also has the three substantially different categories of fetters: those binding to the lower states, those binding to the taking up of rebirth (*uppattipaṭilābhika*) and those binding to the taking up of existence (*bhavapaṭilābhika*) which it relates respectively to the stages *sakadāgāmin*, *uddhaṃsota akiniṭṭhagāmin*, *antarāparinibbāyin* and Arahat (AN II 134; IV 13f, 145f). Besides this attainment in terms of fetters, as Table V shows, the tradition inherited the notion that soteriological evolution included the diminution of certain emotions: those of passion and hatred (*rāga-dosa*), and also diminution of the state of delusionment (*moha*). The evidence that the tradition found these aspects important and relevant is that it included them within the Four Stages HCH organising structure.

There were also other attainments, which seem to have been floating around, so to speak, and these were brought into this structure rather less coherently than the above examples by having it imposed upon them. Among these, particularly with regard to the *sotāpanna*, is morality in terms of training in the *sīlas*; familiarity with important aspects of the Teaching such as the Causal Law (*paṭiccasamuppāda*); the Eightfold Path (*aṭṭhaṅgika magga*); freedom from a number of wrong views; a vision of impermanence (*anicca*), suffering (*dukkha*) and liability to change (*aviparināmadhamma*); and the possession of qualities (*indriyas*) of various sorts; and with particular regard to the *anāgāmin* clarity about

---

[116] See §2.1. The first five fetters may also be called *nīvarana*, (AN III 63) or *upakkilesa* (AN III 16).

[117] Tr. Nyāṇatiloka, 1980.

the Teaching "If it were not, it would not be mine; it shall not become, for me it shall not become" (*no cassa no ca me siyā na bhavissāmi na me bhavissati*).

In summary, then, the Four Stages HCH probably came about as follows. Two categories of practitioner existed from the time of the Buddha. These were the converts, and those who had attained the goal. During the development of Buddhism the issue of rebirth came to be increasingly important, and with it, probably developing in parallel, the issue of whether Liberation was attained during this lifetime or after death. As it was part of the advantages of having attained the goal that the monk would be free from suffering and rebirth, questions began to be asked about progress towards that goal. Two further stages were defined in terms of the number of rebirths to be expected before the final liberation, and their location. The interest in the stages grew. They were further subdivided. The four stages became attributed with desirable developmental attainments which had already been defined in other contexts where the Buddhists were also faced with a need to qualify and to quantify stages of development. Eventually they reached the stage of definition in which we find them today. The Four Stages HCH offers a very tidy structure to the doctrine of Liberation in terms of sequence and progress.

AND TODAY?

I started off with Sharf's article and I will end with it.

Sharf refers to the four levels of Enlightenment twice in his article (section V) - "the fourth and final stage of sainthood (arahat)" and "*sotāpanna* – the first of four levels of enlightenment" - without comment, thus it may be that he takes the existence of these stages for granted. Sharf shows us in §VI that the use - and abuse - of at least one element of this case history continues today. Contemporary Buddhist

teachers of meditation are debating among each other - among other things - what *sotāpanna* is. They are debating indirectly, rather than publicly, each implying rather than saying too obviously, that the version of this state arrived at after practising their particular variation of Buddhist meditation is better than that of their rivals and leads to faster results. The impression conveyed is of people chasing after altered states of consciousness, as if they were material goods in the Harrods Xmas sale, each trying to get hold of the best one!

In a religion that preaches detachment, the spiritual materialism demonstrated by excessive attachment to measurable, qualifiable attainments is inappropriate. That is perhaps why muddle exists about all of the proposed stages both in the early texts and at the present time.

La Conversion　　　　　　　　　　　　　　　　　Joy Manné

ABBREVIATIONS

Texts as in Bechert, 1988.

DB = Dialogues of the Buddha (Rhys Davids, 1899)

GS = Gradual Sayings (Woodward & Hare, 1932-36).

KS = Kindred Sayings (C.A.F. Rhys Davids & Woodward).

MLS = Middle Length Sayings (Horner, 1954).

BHSD = Buddhist Hybrid Sanskrit Dictionary.

CPD = Critical Pāli Dictionary.

PTSD = Pāli English Dictionary.

tr. = translation

TRANSLATIONS

Horner, I.B. (1954-1959), *Middle Length Sayings*, tr. of *Majjhima Nikāya*. 3 Vols. London : Pali Text Society.

Rhys Davids, C.A.F. (1900, 1922), *A Buddhist manual of psychological ethics*, tr. of *Dhammasaṅgaṇi*. London : Pali Text Society.

Rhys Davids, C.A.F. and F.L. Woodward (1917 - 1930), *Kindred Sayings*, tr. of *Saṁyutta Nikāya*. London : Pali Text Society.

T. W. and C.A.F. Rhys Davids (1899 - 1921), *Dialogues of the Buddha*, tr. of the *Dīgha Nikāya*. London : Pali Text Society.

Woodward, F.L. and E.M Hare (1932 - 1936), *Gradual Sayings*, tr. of the *Aṅguttara Nikāya*. London : Pali Text Society.

Woodward, F.L. (1922 - 1930), *Kindred Sayings*, tr. of the *Saṁyutta Nikāya*. Vols. III - V. London : Pali Text Society.

BIBLIOGRAPHY

Bareau, A. (1955), *Les Sectes bouddhiques du Petit Vehicule*, Paris : École française d'Extrème-Orient.

Bareau, A. (1970, 1971), *Recherches sur la biographie du Buddha dans les Sūtrapiṭaka et les Vinayapiṭaka anciens*. Vols. I and II. Paris : École Francaise d'Extrème-Orient.

Bechert, H. and R. Gombrich (1984), *The World of Buddhism*. London : Thames & Hudson

Bechert, H. (1988), *Abkürzungsverzeichnis zur buddhistischen Literatur in Indien und Südostasien insbesondere zu den Veröffentlichungen der Kommission für Buddhistische Studien der Akademie der Wissenschaften in Göttingen*. Göttingen.

Bronkhorst, J. (1985), 'Dharma and Abhidharma.' Bulletin of the School of Oriental and African Studies, University of London. Vol XLVIII, Part 2, pp.305-320.

Bronkhorst, J. (1986), *The Two Traditions of Meditation in Ancient India*. Stuttgart : Franz Steiner Verlag Wiesbaden GmbH.

Buddhist Hybrid Sanskrit Dictionary, ed. Edgerton (1953). New Haven.

Chaplin, J. P. (1975), *Dictionary of Psychology*. New York : Dell Publishing Co. Ltd.

Critical Pāli Dictionary, ed. V. Trenckner, et al. Copenhagen. 1924 -

Dictionary of Pāli Proper Names by G. P. Malalasekara. London : Pali Text Society. 1974.

Drever, J. (1952), *The Penguin Dictionary of Psychology*. Penguin Books. [1982 edition]

Ergardt, J.T. (1977), *Faith and Knowledge in Early Buddhism*. Leiden : E. J. Brill.

Erikson, E.H. (1965), *Childhood and Society*. Penguin Books. [revised edition, 1975 reprint.]

Eysinck, H.J., W.J. Arnold & R. Meili (eds.) (1972), *Encyclopaedia of Psychology*. Collins/Fontana. [1975 Fontana edition]

Frauwallner, E. (1953), *Geschichte der indischen Philosophie*. 1. Band. Salzburg : Otto Müller Verlag.

Gethin, R.M.L (1992), *The Buddhist Path to Awakening : a study of the Bodhi-Pakkhiyā Dhammā*. Leiden : E.J. Brill.

Gombrich, R. (1984), 'The evolution of the Sangha', in Bechert, H. and R. Gombrich, 1984, pp.77-89.

Gombrich, R. (1990), 'Recovering the Buddha's message,' in Ruegg and Schmithausen, (1990), pp. 5-23.

Griffiths, P.J. (1983), *Indian Buddhist Meditation-Theory : history, development and systematization*. PhD dissertation, University of Wisconsin-Madison.

Grof, S. (1975), *Realms of the Human Unconscious : observations from LSD research*. London : Souvenir Press (E & A) Ltd. [First British edition, 1979]

Grof, S. (1985), *Beyond the Brain : birth, death and transcendence in psychotherapy*. University of New York Press.

Hare, E.M. (1934, 1935), *Gradual Sayings*. Vols. III and IV. [Reprinted 1973, 1978.]

Harrison, P. (1987), 'BUDDHISM: A Religion of Revelation After All?' (review article). Numen, Vol XXXIV, Fasc. 2. [Review of Masefield, 1986.]

Harvey, P. (1990), *An Introduction to Buddhism: teachings, history and practices*. Cambridge : Cambridge University Press.

Hinüber, O. v. (1991), 'Linguistic considerations on the date of the Buddha,' in *The Dating of the historical Buddha*. Part I. (Symposien zur Buddhismusforschung, IV,1). Göttingen : Vandenhoeck & Ruprecht. AAWG.

Horner, I.B. (1936), *The Early Buddhist theory of man perfected : a study of the arahan concept and of the implications of the aim to perfection in religious life*. London : Williams and Norgate Ltd. [Oriental Books Reprint.]

Johansson, R. (1969), *The Psychology of Nirvana*. London : George Allen and Unwin Ltd.

Johansson, R. (1979), *The Dynamic Pschology of Early Buddhism*. Scandinavian Institute of Asian Studies monograph Series No. 37. Oxford: Curzon Press.

Katz, N. (1982), *Buddhist Images of Human Perfection: The Arahant of the Sutta Piṭaka compared with the Bodhisattva and the Mahāsiddha*. Delhi : Motilal Banarsidass.

Lamotte, E. (1958), *Histoire du Bouddhisme Indien*. Louvain : Institut Orientaliste. [1967 ed.]

Lamotte, E. (1984), 'The Buddha, His Teaching and His Sangha,' in Bechert and Gombrich, (1984).

Levine, S. (1986), *Who dies : an investigation of conscious living and conscious dying*. Bath : Gateway Books.

Macqueen, G. (1988), *A Study of the Śrāmaṇyaphala-Sūtra*. Wiesbaden : Otto Harrassowitz.

Manné, Joy (1990), 'Categories of Sutta in the Pāli Nikāyas and their implictions for our appreciation of the Buddhist Teaching and Literature.' Journal of the Pali Text Society, XV, 29-87.

(1992), 'The Dīgha Nikāya Debates : Debating Practices at the time of the Buddha'. Buddhist Studies Review, Vol 9, 2, pp.117-136.

(forthcoming) '*Sīhanāda* - the lion's roar or what the Buddha was supposed to be willing to defend in debates. ' *Buddhist Studies Review*.

Manné-Lewis, Joy (1986), 'Buddhist Psychology: A Paradigm for the Psychology of Enlightenment,' in Guy Claxton, (ed.) *Beyond Therapy: the Impact of Eastern Religions on Psychological Theory and Practice*. London : Wisdom Publications.

Masefield, P. (1986), *Divine Revelation in Pali Buddhism*. London : George Allen & Unwin.

Meisig, K. (1987), *Das Śrāmaṇyaphala-Sūtra*. Wiesbaden : Otto Harrassowitz.

Moody, R.A. Jr. M.D. (1976), *Life after Life*. New York : Bantam Books.

Netherton, M. and N. Shiffrin (1978), *Past Lives Therapy*. New York : Ace Books.

Norman, K.R. (1983), *Pāli Literature*. A History of Indian Literature, Vol. VII, Fasc. 2. Wiesbaden : Otto Harrassowitz.

Nyānatiloka (1980), *Buddhist Dictionary : Manual of Buddhist terms and doctrines*. Kandy : Buddhist Publication Society. Fourth Revised Edition, edited by Nyanaponika.

Oberhammer, G. (1977), *Strukturen Yogischer Meditation : Untersuchungen zur Spirituälitat des Yoga*. Wien : Österreichischen Akademie der Wissenschaft.

Pande, G.C. (1974), *Studies in the Origins of Buddhism*. Delhi : Motilal Banarsidass. [3rd ed. 1983]

Pāli English Dictionary, ed. T.W. Rhys Davids & W. Stede. London : Pali Text Society. 1921-1925.

Pāli Tipiṭakaṃ Concordance, ed. E. M. Hare and others. London : Pali Text Society, 1952-1984.

Ruegg, D.S. and L. Schmithausen (eds.) (1990), *Earliest Buddhism and Madhyamaka*. Panels of the VIIth World Sanskrit Conference. Vol.-ii. Leiden : Brill.

Schmithausen, L. (1981), 'On some aspects of descriptions or theories of "liberating insight" and "enlightenment" in early Buddhism,' in *Sudien zum Jainismus und Buddhismus : Gedenkschrift für Ludwig Alsdorf.* Klaus Bruhn und Albrecht Wezler, (eds.), Wiesbaden : Franz Steiner Verlag GmbH. pp. 199-250.

Schmithausen, L. (1990), 'Preface' to Part I: Earliest Buddhism, in Ruegg and Schmithausen (1990), pp. 1-3.

Sharf, R.H. (forthcoming), 'Buddhist Modernism and the Rhetoric of Meditative Experience'. *Numen.*

Siegel, B.S. (1986), *Love, medicine and miracles : lessons learned about self-healing from a surgeon's experience with exceptional patients*. New York : Harper & Row.

Siegel, L. (1991), *Net of Magic : wonders and deceptions in India*. Chicago : University of Chicago Press.

Takasaki, J. (1987), *An Introduction to Buddhism*. The Tōhō Gakkai. Translated by Rolf W. Giebel.

Tart, C.T. (ed.) (1969), *Altered States of Consciousness*. New York : Anchor Books.

Tart, C.T. (1975), *States of Consciousness.* New York : E. P. Dutton.

Wellek, R. and A. Warren (1966), *Theory of Literature*. (3rd revised edition). London : Johathan Cape.

Wilbur, K. (1977), *The Spectrum of Consciousness.* London : Theosophical Publishing House.

Wilbur, K. (1980), *The Atman Project : A transpersonal view of human development*. London : Theosophical Publishing House.

Witzel, M. (1987), 'The case of the shattered head'. Studien zur Indologie und Iranistik, Heft 13/14, pp. 363-415.

Woolger, R.J. (1988), *Other Lives, Other Selves*. New York : Bantam Books.

The Nigamanas of the Sumaṅgalavilāsinī and the Kaṅkhāvitaraṇī

Pāli texts usually end in a brief paragraph called *nigamana*, which corresponds in meaning and content to the *explicit* of mediaeval European manuscripts. In two instances these brief, though highly valuable, texts have been omitted from the respective PTS editions for reasons unknown. Consequently it seems useful, if not necessary, to provide the relevant paragraphs here on the basis of the Chaṭṭhasaṅgāyana Edition (Bᶜ), because they contain information important for the composition or history of the respective texts.

I. Sumaṅgalavilāsinī
(Bᵉ *1968* III 250,1-251,6)

Nigamanakathā

ettāvatā ca
āyācito **Sumaṅgalaparivenanivāsinā** thiraguṇena
Daṭhānāgasaṃghattherena theravaṃsanvayena | 1 |
Dīghāgamavarassa dasabalaguṇaparidīpanassa aṭṭhakathaṃ
yaṃ ārabhiṃ **Sumaṅgalavilāsiniṃ** nāma nāmena | 2 |
sā hi mahāṭṭhakathāya sāram ādāya niṭṭhitā
esā ekāsītipamāṇāya pāḷiyā bhāṇavārehi | 3 |
ekūnasaṭṭhimatto **Visuddhimaggo** pi bhāṇavārehi
atthappakāsanatthāya āgamānaṃ kato yasmā | 4 |
tasmā tena sahā 'yaṃ aṭṭhakathā bhāṇavāragaṇanāya
suparimitapariccchinnaṃ cattālīsasataṃ hoti | 5 |
sabbaṃ cattālīsādhikasataparimāṇaṃ bhāṇavārehi evaṃ
samayaṃ pakāsayantiṃ Mahāvihāre nivāsinaṃ | 6 |
mūlakaṭṭhakathāsāram ādāya mayā imaṃ karontena
yaṃ puññam upacitaṃ tena hotu sabbo sukhī loko ti | 7 |