

Chapter I

Introduction

1.1 Background and Significance of the Problem

The vitality and growing interests of Buddhist studies and in particular Buddhist ethics in modern society have been indicated by a number of scholars (e.g. Keown, 1992; Prebish, 2013). Some even assert that a study of Buddhism that emphasizes its ethical aspects will be the most important task facing Buddhists in the twenty-first century.¹

While the ethical or moral rules of Theravāda Buddhism had been conveniently grouped in the Vinaya Piṭaka and Sutta Piṭaka in Pāli language, the ethical guidances of Mahāyāna have been scattered in a number of scriptures in Sanskrit language; some scriptures had also been translated into Chinese and Tibetan languages. With regard to the scriptures being considered as important sources for Mahāyāna ethics, scholars referred to several texts. Dutt (1970)² claims that certain texts deal more specifically with moral conduct than others and these include two works of Śāntideva, i.e., the Śikṣāsamuccaya and Bodhicaryāvatāra, and the Chinese Brahmajāla Sūtra. Keown (1992)³, however, claims that the Bodhisattva Stage embodies a more systematic code of disciplinary rules than either of the two works of Śāntideva. The Chapter on Śīla of the Bodhisattva Stage, according to Keown (1992), “provides a comprehensive statement of Mahāyāna ethics. The text clearly regards itself as authoritative for Mahāyāna ethics and discipline and it would appear to be an early and influential source”⁴ and “[The Chapter] presents itself as the alternative

¹ Charles S. Prebish, “Mahāyāna Ethics and American Buddhism: Subtle Solutions or Creative Perversions?”, *Journal of Buddhist Ethics*, Vol. 20 (2013): 389, cf. Fu & Wawrytko 7.

² Nalinaksha Dutt, *Buddhist Sects in India*, (Calcutta: F.K.L. Mukhopadhyay, 1970).

³ Damien Keown, *The Nature of Buddhist Ethics*, (New York: St. Martin’s Press, 1992), p. 136.

⁴ Loc.cit

code of conduct for a Bodhisattva in contrast to the Vinaya and Pātimokkha of the Śrāvakayāna”.⁵

Prebish (2013) concurs to some extent with Dutt (1970) and with Keown (1992). Prebish (2013)⁶ asserts that there is little doubt that at least three major texts form the basis of Mahāyāna ethics, i.e., (1) (Mahāyāna) Brahmajāla-sūtra, an apocryphal Chinese work, (2) Śikṣāsamuccaya of Śāntideva, (3) Bodhicaryāvatāra of Śāntideva, and that two further texts are critically important: the Mahāyānasamgraha and the Bodhisattvabhūmi. The tenth chapter of the Bodhisattvabhūmi was an “ethical” chapter.⁷

Whereas the works of Śāntideva, i.e., the Śikṣāsamuccaya and Bodhicaryāvatāra, had recently been explored in terms of moral issues such as the work by Clayton (2006) who made a study on moral theory from the Śikṣāsamuccaya, Asaṅga’s work on the Śīlapaṭala, the tenth chapter of the Bodhisattvabhūmi, had been addressed to a lesser extent. Mark Tatz had translated Asaṅga’s work on the Śīlapaṭala in the book titled ‘The Complete Bodhisattva: Asaṅga’s Chapter on Ethics with the Commentary by Tsong-kha-pa’, which was published in year 1986. Based on this translated piece, Asaṅga’s work on the ‘Chapter on Ethics’ (“the Chapter”) provides excellent ethical codes for Bodhisattva aspirants. The Chapter comprehensively explains bodhisattva ethics, the essence of which includes three sorts of ethics for bodhisattva to accomplish, that is, the ethics of the vow, the ethics of collecting wholesome factors and the ethics of accomplishing the welfare of sentient beings. Bodhisattvas who have desires for the great awakening have to train in these sorts of ethics as past bodhisattvas had trained, as present bodhisattvas are training, and as future bodhisattvas will train. Asaṅga also made explicit that bodhisattva ethics comprised the lay side and the monastic side (8a.5 of the ‘Chapter on Ethics’). The work on bodhisattva ethics by Asaṅga is no doubt another great and valuable source of ethics in the Mahāyāna and it indicates that ethical codes for bodhisattva has been prescribed since the late third to mid-fifth centuries CE, the

⁵ Ibid., p. 145.

⁶ Charles S. Prebish, “Mahāyāna Ethics and American Buddhism: Subtle Solutions or Creative Perversions?” p. 383.

⁷ Ibid., p. 384.

proposed range of Asaṅga's lifetime⁸, which was a few hundred years before the time of Śāntideva. Asaṅga's work should thus be explored in more details in light of its significance as one source of Mahāyāna Buddhist ethics and be investigated as ethical guidance for laity in modern society.

There has been an accepted notion of bodhisattva's direct involvement with society and the ethics of bodhisattva has been mentioned for the application to lay society. For instance, Prebish (2013)⁹ referred to the comment by Rick Fields (1987), a poet and a leading authority on Buddhism history and development in the US:

The Bodhisattva notions of direct involvement in the world will tend to overshadow tendencies towards renunciation and withdrawal. Buddhist ethics, as reflected in the precepts, the paramitas, and the Bodhisattva vow, will be applied to the specific problems of day-to-day living in contemporary urban North America.

Similarly, Martin Baumann (1998) delineated the interpretation of the attitude of Bodhisattva to be sociopolitical engagement in the Western world as follows:

... for members of the FWBO [Friends of the Western Buddhist Order], to be a Buddhist entails not only working on oneself individually through meditation and teachings. It should also encompass various kinds of sociopolitical activities, finding expression in projects and institutions pointing the way ahead. The bodhisattva ideal of Mahāyāna Buddhism is explicitly referred to in this context. The selfless and altruistic attitude of a bodhisattva is interpreted as sociopolitical engagement to create better conditions for the practice of the Dharma in the Western world.¹⁰

While societies nowadays have greatly advanced in technologies and have been closely connected to and interdependent with each other more than ever, leadership and ethics have grown in their importance. Leaders of organizations

⁸ James Mullen, "**Principles and Practices of Buddhist Education in Asaṅga's Bodhisattva- bhūmi**", A thesis submitted for fulfilling Doctor of Philosophy (Religious Studies), Ontario: McMaster University (1994), p. 282.

⁹ Charles S. Prebish, "Mahāyāna Ethics and American Buddhism: Subtle Solutions or Creative Perversions?", p. 390.

¹⁰ Martin Baumann, "Working in the Right Spirit: The Application of Buddhist Right Livelihood in the Friends of the Western Buddhist Order", **Journal of Buddhist Ethics**, Vol. 5 (1998): 132.

typically play important role as figureheads of organizations and most likely as role models for followers. Societies tend to look upon organizational leaders as representatives of organizations and build positive, negative, or neutral attitudes towards organizations based on organizational leaders. Leadership field, in the past five decades in particular, differs from leadership in the prior period in that rather than focusing on leaders' character, traits and behaviors to differentiate leaders from non-leaders, it has focused on the interaction between leader and situation (Fiedler, 1996). Avolio, Walumbwa & Weber (2009) also indicate that over the last two decades, leadership field focuses on leader and people involved (followers, peers, supervisors) and work context and culture in organizations from nations around the world.

Whereas leadership and ethics have been considered by many as closely related such as Johnson's (2014) assertion in his book 'Meeting the Ethical Challenges of Leadership' that "When we assume the benefits of leadership, we also assume ethical burdens",¹¹ modern leadership tend to face greater ethical challenges due to higher involvement with stakeholders. Modern leaders in a number of prominent organizations- business in particular, when facing with ethical challenges, had shown their lack of ethics which resulted in scandals and collapses of organizations such as the cases with Enron in year 2001 with main players as CEO Jeff Skilling and former CEO Ken Lay, WorldCom in year 2002 with main player as CEO Bernie Ebbers, Lehman Brothers in year 2008 with main players as Lehman executives and the company's auditors- Ernst & Young and several other cases. Such collapses of organizations had incurred enormous damages for a large number of stakeholders. For example, the collapse of Enron, a Houston-based commodities, energy and service corporation, which kept huge debt off the balance sheet, incurred shareholder loss of US\$ 74 billion, thousands of employees and investors lost their retirement accounts and many employees lost their jobs. Another example is WorldCom, a telecommunication company, which inflated assets with fake accounting entries by as much as US\$ 11 billion, leading to 30,000 lost jobs and US\$

¹¹ Craig E. Johnson, **Meeting the Ethical Challenges of Leadership: Casting Light or Shadow**, (CA: SAGE Publications, 2015).

180 billion in loss for investors.¹² Societies have thus called more seriously for ethical leaders for their concerned organizations.

In the light of growing importance of ethics for modern leadership, the author of this study views that while the ethics or śīla of bodhisattva may be selectively applied as good guidelines for leadership to follow, the studies about this subject have been very limited. In response to this, this study attempts to work on the subject. The study will first describe ethical challenges of modern leadership, followed by the description and analysis of Asaṅga's work on the Chapter on Ethics from the Bodhisattvabhūmi. The study will then present the contribution of the bodhisattva's ethics to moral theories of leadership and to the practical application of modern leadership. The author hopes to be able to show the benefits of the bodhisattva ethics, which was prescribed more than one thousand five hundred years ago, to laity in modern context.

1.2 Objectives of the Research

1.2.1 To present an overview of ethical challenges being faced by modern leadership

1.2.2 To investigate key ethical concepts from Asaṅga's work on the Chapter on Ethics

1.2.3 To present the application of ethical concepts from Asaṅga's work as moral guidelines for modern leadership

1.3 Statement of the Research Questions

1.3.1 What is an overview of ethical challenges of modern leadership?

1.3.2 What are the key ethical concepts from Asaṅga's work?

1.3.3 How can ethical concepts from Asaṅga's work be used as moral guidelines for modern leadership?

¹² Accounting-Degree.Org. "The 10 Worst Corporate Accounting Scandals of all time", [http:// www.accounting-degree.org/scandals/](http://www.accounting-degree.org/scandals/)

1.4 Scope of the Research

This study focuses on the ethics being described in the ‘Śīlapaṭala’ (or the Chapter on Ethics as translated by Tatz, 1986) of the *Bodhisattvabhūmi*, the author of which was Arya Asaṅga, the Indian Buddhist monk and great scholar whose lifetime ranges sometime between the late third to mid-fifth centuries CE. The ‘Śīlapaṭala’ was translated into English by Mark Tatz (1986) based on the Sanskrit of the *Bodhisattvabhūmi*, as edited by Unrai Wogihara and Nalinaksha Dutt, and on the Tibetan as edited by Tatz himself. The title of Tatz’s translated work, which provides a basis for this study, is ‘Asaṅga’s Chapter on Ethics with the Commentary of Tsong-Kha-Pa, The Basic Path to Awakening, The Complete Bodhisattva’. This work of Tatz is volume 4 in the continuing series of ‘Studies in Asian Thought and Religion’.

1.5 Definitions of the Terms used in the Research

Asaṅga or Arya Asaṅga was an Indian Buddhist monk and scholar who lived some time during the late third to mid fifth centuries CE. Asaṅga was recognized as a founder of the Yogācāra School, along with his guru, Maitreya-nātha, and his half-brother Vasubandhu. The Yogācāra, along with the Madhyamaka, is one of the two principal philosophical schools of early Indian Mahāyāna Buddhism.

Bodhisattva (Sanskrit; Pāli *Bodhisatta*) or Being-for-Enlightenment means one on the path to perfect Buddhahood, whose task is to help beings compassionately while maturing his/her own wisdom ¹³

Bodhisattvabhūmi Śāstra. The sixteenth section of the Yogācārabhūmi Śāstra. Attributed to Asaṅga or Maitreya-nātha, the work deals in detail with the entire career and training of a Bodhisattva. It comprises four parts: (1) the Adhāra-yoga-sthāna in 29 chapters covering the main features and practices of a Bodhisattva’s training; (2) the Adhāra-anuyoga-sthāna in four chapters covering the subsidiary practices; (3) the Adhāra-niṣṭhā-yoga-sthāna in six chapters dealing with the outcome of the training; and (4) the Anukrama which summarizes the stages of the

¹³ Peter Harvey, *An Introduction to Buddhist Ethics*, (Cambridge: Cambridge University Press, 2000), p. 123.

Bodhisattva's path in sequence. The work survives in Sanskrit as well as Tibetan, Chinese, and Mongolian translations.¹⁴

Ethical Concepts means the thoughts or ideas about moral conducts. Philosophers have suggested a few theories to determine what moral conducts are. They have attempted to give the definition of good and evil conducts in concert with the ideal of life because the objective of life is also the definition of the good. Two different views on the ideal of life have been proposed, i.e., the theory of hedonism and a group of theories that oppose hedonism.¹⁵ Hedonism, which was proposed by a British moral philosopher named Jeremy Bentham, states that sensual pleasure should be accepted as the ultimate objective in human life; pleasure is the definition of the good. Bentham also proposes utilitarianism, a theory in normative ethics stating that the best moral action is the one that maximizes utility. The definition of utility, according to Bentham, was defined as the aggregate pleasure after deducting suffering of all involved in any action; the definition has been expanded later by John Stuart Mill to include not only the quantity, but quality of pleasure. On the contrary, non-hedonist philosophers believe that human beings are born to search for good things such as wisdom as proposed by Socrates and Plato and peacefulness of mind or liberation of the soul presented by Eastern religions/ ethical traditions including Hinduism, Taoism, and Confucianism.

With regard to the Mahayana Buddhism, the objective is for individuals to take the bodhisattva path which embraces the notion of being compassionate to others and help them to convert as well as to progress towards enlightenment. Sensual pleasure can be accepted if it is the lower step for the self-cultivation process of bodhisattva aspirants whereas their ultimate objective is the enlightenment. The bodhisattva ethics can thus be considered as including some aspects of both hedonism (sensual pleasure) and non-hedonism (enlightenment) whereas the latter carries much more weight since it is the desired end. Bodhisattva ethics can also be classified under utilitarianism since the focus is on helping other sentient beings to mature as much as possible. It should also be noted that Buddhist ethics can be classified into

¹⁴ Damien Keown, *Dictionary of Buddhism*, (New York: Oxford University Press), p. 38.

¹⁵ Somparn Promta, "**Buddhist Ethics and the Modern World**", retrieved from <http://www.crvp.org/book/Series03/IIID-3/chapter-7.htm> on February 15, 2016.

the worldly ethics (lokiyadhamma) and the transcendental one (lokuttaradhamma); the worldly ethics could be seen as a lower step leading to the higher one.

The ethical concepts in this study include the worldly ethics (leadership's ethics) and the transcendental ethics (bodhisattva ethics); they are non-hedonistic in the desired end. The aspects of hedonism such as sensual pleasure may exist, however, as a means to achieve the end of being highly ethical (for leaders) or purified (for bodhisattva aspirants).

Ethical Concepts from Asaṅga's Work means the thoughts or ideas about moral conducts being described in the Chapter on Ethics, a translated work of Asaṅga by Mark Tatz (1986) on Śīlapaṭala (Sanskrit), the tenth chapter of the Bodhisattvabhūmi.

Leadership is a process whereby an individual influences others in a group context (e.g. an organization) to achieve a shared goal. Based on this definition, a leader of an organization shares his/ her vision for the organization with others, instills own value regarding the organization in others, creates an organizational environment that facilitates the goal's achievement, uses his/her positional power or charisma to direct others to work towards such achievement.

Modern Leadership is leadership that focuses on linking its organization to wider contexts with great concern on its people's development and the drive for organization's sustainability. This definition calls for modern leadership to be visionary, creative, transformative, resilient, inspirational, and ethical.

Perfection or **Pāramitā** (Sanskrit; Pāli *Pāramī*) in Buddhism refers to the perfection or culmination of certain virtues.

Śīla (Sanskrit; Pali *Sīla*) means moral guidelines. According to the Noble Eightfold Path, Right Speech, Right Action, and Right Livelihood comprise the range of virtue and ethics (*śīla*)¹⁶

¹⁶ Martin Baumann, "Working in the Right Spirit: The Application of Buddhist Right Livelihood in the Friends of the Western Buddhist Order", p. 123.

1.6 Literature Review and Research Works Concerned

1.6.1 Literature Review on Mahāyāna ethics

Most of the work on Buddhist ethics has been concerned almost exclusively with Theravāda ethics and has been confined to simple descriptive ethics.¹⁷ Such literature includes for example, Tachibana (1926)'s book on 'Ethics of Buddhism' and Saddhatissa (1970)'s 'Buddhist Ethics'. Mahāyāna ethics was later included in a few texts, most of which attempt to go beyond simple descriptive ethics. The works being reviewed in this study include: a chapter in 'Comparative Ethics in Hindu and Buddhist Traditions' by Hindery (1978), a chapter in the book 'The Nature of Buddhist Ethics' by Keown (1992), a chapter in the book 'An Introduction to Buddhist Ethics' by Peter Harvey (2000), and the book 'Moral Theory in Śāntideva's Śikṣāsamuccaya' by Barbra Clayton (2006).

In the book 'Comparative Ethics in Hindu and Buddhist Traditions' by Roderick Hindery (1978), the author addressed Mahāyāna ethics in Chapter X- An Introduction to Ethical Thought in Mahāyāna Buddhist Texts. The author indicated that Mahāyāna Buddhism involved a moral perspective as worldview and directly as a system. Moral behavior can be delineated indirectly by inwardly realized, and not objectivized, views depicted in some Mahāyāna texts and this is referred to as **worldview**; moral behavior can be directly specified through set of action-guides, virtues and model of imitation and this is referred to as a **moral system**. While Mahāyāna Buddhism morality may contain precepts and values which can be found in other major ethical traditions, "a new moral gestalt or ethos ensouls this ethics with a unique and still unappreciated dynamic, one symbolized by bodhisattvas, who go on living for others and surrender not to death..."¹⁸ Though Hindery's work contributes in its clear specification of bodhisattva as a symbol of ethics; however, it does not mention the Bodhisattva path, which is regarded by other scholars (e.g. Harvey, 2000) as embracing Mahāyāna ethics.

Damien Keown (1992) in his comprehensive book on Buddhist ethics 'The Nature of Buddhist Ethics' provides one chapter for Mahāyāna ethics (Chapter 7:

¹⁷ Damien Keown, **The Nature of Buddhist Ethics**, p. 4.

¹⁸ Roderick Hindery, **Comparative Ethics in Hindu and Buddhist Traditions**, (Delhi-Varanasi-Patna: Motilal Banarsidass, 1978), p. 248.

Ethics in the Mahāyāna). Keown (1992) indicates that ethics (*śīla*) in the Mahāyāna is classified as one of the six Perfections (*pāramitās*). The first three Perfections, i.e., generosity (*dāna*), morality (*śīla*), and patience (*ksānti*) correspond to ‘Higher Morality’ (*adhiśīla*) in the Eightfold Path, as explained in the commentary to the Ornament of Mahāyāna Sūtras. Regarding the source of Mahāyāna ethics, he states that the Bodhisattva Stage (or Bodhisattvabhūmi) provides a comprehensive statement of Mahāyāna ethics¹⁹ and from the Bodhisattva Stage, the Mahāyāna ethics has embraced three functions or aspects: (a) temperance (*saṃvara*) (b) the cultivation of virtue (*kuśala-dharma-saṃgrāhaka-śīla*) and (c) altruism (*sattva-artha-kriyā-śīla*)²⁰. The Mahāyāna redressed the deficiency of Theravāda to recognize the importance of ethics in soteriology by emphasizing the ethical perfection involving concern for others (*karuṇā*), which was of equal importance to insight (*prajñā*). Keown also viewed that the continued ascendancy of ethics and its relation to metaphysics was explored symbolically in the figures of the Great Bodhisattvas (*Bodhisattva-Mahāsattvas*) and their antinomian conduct (*upāya*₂). Upāya or skilful means are distinguished by Keown into two aspects: upāya and upāya₂. Upāya refers to normative ethics and upāya₂ is the upāya of bodhisattvas of the seventh stage (*upāya-kauśalya-bhūmi*) and beyond, whose powers and perfections are supernatural. Upāya₂ is depicted as an activity of the Buddhas and the Great Bodhisattvas and it is only they who have the knowledge and power to use it. And by virtue of upāya₂, the Great Bodhisattvas transgress the precepts from motives of compassion and are said to do no wrong.²¹

Keown’s work contributed to Mahāyāna ethics by his emphasis of another important source of Mahāyāna ethics, that is, the Bodhisattvabhūmi, or in his term the ‘Bodhisattva Stage’, which somehow he neglected to mention the author - Asaṅga. Keown also laid down and classified the list of rules for bodhisattva from the Bodhisattva Stage and pointed out the striking feature of the group of offense actions that are permitted, the actions that bodhisattva is said to commit by way of skilful

¹⁹ Damien Keown, *The Nature of Buddhist Ethics*, p. 136.

²⁰ Ibid, p. 163.

²¹ Ibid, p. 157.

means. The two aspects of skilful means or upāya were proposed interestingly and this provides the issue for further discussion.

Peter Harvey addresses the topic of Mahāyāna ethics in a chapter titled ‘Mahāyāna Emphases and Adaptations’ in his book ‘An Introduction to Buddhist Ethics’ published in year 2000. Harvey indicated that the path of Bodhisattva supplemented the Noble Eightfold Path of ‘disciples’ of a perfect Buddha, directed at Arahantship and that the Mahāyāna made compassion an equal complementary virtue with wisdom, which was a key part of the Eightfold Path. The emphasis of the Mahāyāna on compassion meant that “it has accepted that this may, in certain circumstances, override the constraints of normal Buddhist morality”²² and the overriding the precepts came from the concept of upāya or skilful means. The Mahāyāna emphasized the concept of upāya kauśalya or means (*upāya*) which are skilful or wholesome (Pali *kusala*). Harvey indicated that the application of the idea of skilful means was various. For instance, the Buddha is said to use skilful means in adapting his teachings to the understanding of audience; Heavenly Buddhas and Bodhisattvas are said to use skilful means in manifesting themselves on earth (in the flesh or in visions) in ways which are ideally adapted to the needs of those who seek their help or teaching, etc. The point is that the Mahāyāna has a tendency to adapt the precepts flexibly to circumstance, the approach of which is absent in the Theravāda.²³ Harvey also indicated that the concept of ethics (*śīla*) in the Mahāyāna became broadened so as to be seen no longer as one component of the bodhisattva path and in the widest sense it encompassed the whole of it.²⁴

Ethics in the Mahāyāna elaborated by another great Indian Buddhist thinker named Śāntideva, was a topic of study by Clayton (2006), who claimed historical evidence to indicate the time of Śāntideva between the last half of the sixth and the first half of the seventh centuries CE. In the book ‘Moral Theory in Śāntideva’s Śikṣāsamuccaya’ of Barbra Clayton (2006), the author examined the work of

²² Peter Harvey, **An Introduction to Buddhist Ethics**, (Cambridge: Cambridge University Press, 2000), p. 148.

²³ Ibid., p. 134.

²⁴ Ibid., p. 130.

Śāntideva with a focus on the Śikṣāsamuccaya.²⁵ The Śikṣāsamuccaya consists largely of quotations and extracts from other Mahāyāna scriptures (*sūtras*), many of which are no longer extant in the original Sanskrit.²⁶ Clayton refers to Bendall's edition of the Śikṣāsamuccaya (1970) and indicates that verse four summarizes the key features and what Śāntideva understands to be the essence of the bodhisattva path. This verse echos the division of the work into a threefold explication of the protection, purification, and cultivation (*rakṣā, śudhi, vardhana*) of three phenomena: the self, one's enjoyments or the objects of enjoyment, and one's good fortune or welfare (*ātmabhāva, bhoga, śubha*).²⁷ Alternatively, the essence of the path is concerned with the vows of restraint for the Bodhisattva, the sacrifice of the body, the sacrifice of enjoyments or merit for the good of others and the increase of good conducts. Based on this text, the author addressed on three questions: What would Śāntideva's moral theory look like? How does that compare with other characterizations of Buddhist ethics? Can one moral theory adequately describe Buddhist moral traditions? Upon the analysis of morality in the text and structure of the Śikṣāsamuccaya and after some rather confusing arguments, Clayton suggests that Śāntideva's morality, as well as being a type of virtue ethic, also incorporates a 'utilitarian aspect' such that a maximizing principle seems to be in effect for the bodhisattva in certain cases, and in association with the concept of karmic fruitfulness.²⁸ The author also adopted a particularist approach to Buddhist ethics by using non-Buddhist categories like consequentialism, deontology, etc., to gauge their applicability.

Clayton's study was mentioned here since Śāntideva's work on morality in the Śikṣāsamuccaya appeared around a few centuries after the Bodhisattvabhūmi of Asaṅga. These two great thinkers belong to different and rival Buddhist schools in early Indian Mahāyāna, i.e., Asaṅga of Yogācāra School and Śāntideva of Mādhyamaka School. The central tenet of Yogācāra School is that consciousness is

²⁵ Śāntideva's works include the Śikṣāsamuccaya (Compendium of Teachings) and Bodhicaryāvatāra (Entering the Path of Enlightenment).

²⁶ Barbra R. Clayton, **Moral Theory in Śāntideva's Śikṣāsamuccaya**, (New York: Routledge, 2006), p. 2.

²⁷ Ibid., p.40, *Kārika 4: ātmabhāvaśya bhogānām tryaddhva-vṛtteḥ śubhasya ca utsargaḥ sarva-sattvebhyas tadrakṣā śuddhi-varadhanam*

²⁸ Ibid., p. 112.

real, but material objects have no existence beyond the conscious realm. In contrast, the Mādhyamaka (or “Middle School”) is based on the Doctrine of Emptiness, a principal tenet that all phenomena are empty of being. Spiritual development depends on seeing the emptiness in all things, thereby eliminating the craving or desire that is the source of suffering. Clayton’s study on the essence of bodhisattva path written by Śāntideva can be used to some extent to detect shared or diverged ethical concepts to those of Asaṅga.

Though some of the literature being reviewed above had addressed the work of Asaṅga such as that by Keown (1992) and by Harvey (2000), their works centered on some particular topics without mentioning the overall structure and aspects of bodhisattva ethics as proposed by Asaṅga. Keown (1992), while classifying ethics into three aspects (temperance, cultivation of virtue and altruism) and highlighting the equal importance of concern for others and insight, emphasizes on the distinction between upāya of bodhisattva of different stages and the function of upāya (upāya₂ in Keown’s term) that enables the transgression of bodhisattva conducts from the moral codes. Harvey (2000) also addressed and extended the issue of upāya of bodhisattvas, the application of which was various. This study, while acknowledging the valuable views of the previous literature, differs from the previous literature in that it will first address the overall structure of the text and the aspects of ethics prescribed by Asaṅga. Asaṅga’s notion of ethics has nine aspects: the essence of ethics, complete ethics, difficult ethics, universal gateway ethics, the ethics of a holy person, ethics as all modes, ethics as distress and wishing, ethics as well-being here and there, and purified ethics. The concepts of aspects of bodhisattva ethics will be investigated and then be explored for their beneficial application with the practice of modern leadership, the topic that has not been the focus of the previous literature being mentioned.

1.6.2 Literature Review on Leadership and Mahāyāna Ethics

An article by Charles S. Prebish was an attempt to use the notion of two distinctive forms of upāya (upāya and upāya₂) presented by Damien Keown (1992) to examine the scandalous behavior of two of the most popular and controversial figures in American Buddhism, Chögyam Trungpa, Rinpoche and Richard Baker, Rōshi. With reference to Keown (1992), whereas upāya is available to bodhisattvas prior to

stage seven of the bodhisattva's path and requires adherence to all proper ethical guidelines, upāya₂ is applicable to bodhisattvas at stage seven and beyond, and allows them to ignore any and all ethical guidelines in their attempts to alleviate suffering. Prebish's (2013) paper 'Mahāyāna Ethics and American Buddhism: Subtle Solutions or Creative Perversions?'²⁹ concluded that "we can at least infer that applied in the proper fashion, by accomplished teachers, the activities allowed by upāya do present possibly subtle solution and explanations of seemingly inappropriate behaviors".³⁰ The author also warns that if abused by less realized beings, we must recognize these acts (acts allowed by upāya) as merely creative perversions of a noble ethical heritage. This article by Prebish is of interest in its indication that upāya₂ may be used to explain actual occurring improper behaviors which transgress from normal ethical guidelines; however, such subtle solution or explanation tends to lead to society's doubtfulness or unacceptance of Mahāyāna ethics. Upāya₂ does not seem to be able to justify the conduct of the two controversial figures in the study.

The next article attempts to use Adam Smith as an exemplar of bodhisattva. The study by Swierczek and Jousse (2014) titled 'Adam Smith as Bodhisattva? A metta analysis of global leadership' found that there was insufficient attention given to the Buddhist thought and practice of leadership. The authors referred to the Dalai Lama who explicitly acknowledges the parallels between Buddhist thought and the moral philosophy outlined in Adam Smith's 'Theory of Moral Sentiments'. This work of Adam Smith, who was cited as the first theorist of capitalism, seemed to be neglected and has often been described as his lost legacy. From this work, Adam Smith refers to the development of moral sense by imagining one's self in the perspective of others and he emphasizes the process of Right Action based on selflessness. Based on the Right View or moral philosophy of Adam Smith, Swierczek and Jousse offer Adam Smith as an exemplar of Bodhisattva whom business executives would respect and emulate. The authors also point out that from the meta-theoretical perspective, the Theory of Moral Sentiments of Adam Smith has

²⁹ The article (although formatted differently) was noted for previous publishment in 'Destroying Māra Forever: Buddhist Ethics Essays in Honor of Damien Keown', edited by John Powers and Charles S. Prebish, (Ithaca, New York: Snow Lion Publications, 2009), pp. 95-111.

³⁰ Charles S. Prebish, "Mahāyāna Ethics and American Buddhism: Subtle Solutions or Creative Perversions?", p.377.

very interesting parallels with Buddhist practice in the twenty-first century with guidance for Global Leaders. The implications of the metatheoretical approach are to design Global Leadership Competencies with a greater emphasis on morality and ethical conduct. Although Swierczek and Jousse (2014) viewed Adam Smith to be an exemplar of bodhisattva for business leaders, their argument was not well grounded and may tend to mislead readers that simply showing significance of mindfulness and of selflessness qualify someone as bodhisattva. Their article, however, was a good attempt to indicate that the advocate for capitalism also emphasizes on ethical aspects and hence has implication for attention by leaders nowadays.

Bodhisattva is also proposed as leadership model for sustainability of business. In the conceptual paper of Sander Tideman for the Conference on Practical Wisdom from the Buddhist Tradition held in Bangkok during Nov. 15-16, 2012, its title is ‘The Bodhisattva as Leadership Model for Sustainable Business’. Tideman indicates that the leadership of the future implies a shift from the current way of thinking to a broader, more complex leadership mindset recognizing interdependency as central business principle while serving the needs of multiple stakeholders. Tideman indicates the development of consciousness (their own and others’) as the prime task of leadership for sustainability. He proposes that while wisdom is the basis of the path, the other qualities expressed in the six perfections of the Bodhisattva path – generosity, ethics, effort, patience and concentration – are equally important for leadership and correspond to what Tsong Khapa called the principles of detachment and compassion. Tideman then argues that these perfections and principles lead to effective social action, which is an essential feature of Transformational Leadership (Burns 1978; Bass 1985), which is directed at changing the social status quo to serve unmet needs of people.

As reviewed above, only few articles have examined the application of Mahāyāna ethics to the practices of laity. Whereas Prebish’s article highlights upāya as a means for explanation of behavioral transgression from ethical norms, the works by Swierczek and Jousse (2014) and by Tideman (2012) attempt to link bodhisattva with an actual person and propose bodhisattva as leadership model for sustainability of business, respectively. This study attempts to add to the works in the line of

application of Mahāyāna ethics to practices, the practices of modern leaders in particular.

1.7 Research Method

1.7.1 Gather relevant data from books, articles, studies, dissertations from libraries and from electronic sources

1.7.2 Arrange the collected data to explore ethical challenges of modern leadership as well as key ethical concepts from the Chapter on Ethics of the Bodhisattvabhūmi, the author of which was Asaṅga.

1.7.3 Analyze/ synthesize the key ethical concepts from the Chapter on Ethics

1.7.4 Study the application of key ethical concepts from the Chapter on Ethics to the practices of modern leadership

1.8 Expected Benefits

1.8.1 Increase the knowledge/ understandings about an overview of ethical challenges of modern leadership

1.8.2 Increase the knowledge/ understandings of key ethical concepts from Asaṅga's work on the Chapter on Ethics.

1.8.3 Increase the benefits from the application of ethical concepts from Asaṅga's work as moral guidelines for modern leadership